

**U.S. DEPARTMENT OF STATE
U.S. EMBASSY TOKYO, PUBLIC AFFAIRS SECTION
Notice of Funding Opportunity**

Funding Opportunity Title: U.S. Embassy Tokyo PAS Annual Program Statement
Funding Opportunity Number: PAS-Tokyo-FY23-APS01
Deadline for Applications: September 30, 2023
CFDA Number: 19.040 – Public Diplomacy Programs
Maximum for Each Award: \$100,000

A. PROGRAM DESCRIPTION

The U.S. Embassy Tokyo Public Affairs Section (PAS) of the U.S. Department of State is pleased to announce that funding is available through its Public Diplomacy Small Grants Program. This is an Annual Program Statement, outlining our funding priorities, the strategic themes we focus on, and the procedures for submitting requests for funding. Please carefully follow all instructions below.

Purpose of Small Grants: PAS Tokyo invites proposals for programs that **strengthen cultural ties between the U.S. and Japan** through cultural and exchange programming that highlights shared values and promotes bilateral cooperation. All programs must include an American cultural element, or connection with American expert/s, organization/s, or institution/s in a specific field that will promote increased understanding of U.S. policy and perspectives. PAS Tokyo encourages new proposals; if previously submitted under a NOFO, it is recommended you not apply for APS.

Examples of PAS Small Grants Program programs include, but are not limited to:

- U.S. experts conducting speaking tours/public talks, roundtable discussions, and workshops in Japan;
- Academic and professional lectures and seminars;
- Professional and academic exchanges and programs;
- Artistic and cultural workshops, joint performances and exhibitions; and/or
- Development of initiatives aimed at maintaining contacts with alumni of our exchange programs; and
- Initiatives that develop stronger ties between the United States, Japan, and third countries.

Priority Program Areas:

- Programs that strengthen the U.S.-Japan Alliance and security cooperation, including bilateral and regional security issues, deterring illegal maritime activities, and strengthening the use of international law to resolve disputes in the Indo-Pacific region.
- Programs that foster greater bilateral trade and investment between the U.S. and Japan, including securing supply chains, enhancing women’s participation in the Japanese economy, fighting climate change, and promoting sustainable infrastructure investment in the Indo-Pacific region.

- Programs that use U.S.-Japan cooperation to increase transparency and good governance, strengthen democratic processes, counter state-sponsored disinformation, and promote the respect for the rule of law and human rights in the Indo-Pacific region.

Participants and Audiences:

PAS Tokyo engages a variety of audiences, including national and regional media; NGOs and think tanks; government officials (national, prefecture, and municipal officials; policy makers, civil servants); cultural and educational leaders; next generation leaders (e.g., innovators, digital influencers, campus leaders); and universities.

The following types of programs are not eligible for funding:

- Programs relating to partisan political activity;
- Charitable or development activities;
- Construction programs;
- Programs that support specific religious activities;
- Fund-raising campaigns or programs charging a fee for participation;
- Lobbying for specific legislation or programs;
- Scientific research;
- Programs intended primarily for the growth or institutional development of an organization; or
- Programs that duplicate existing programs.

Authorizing legislation, type and year of funding:

Funding authority rests in Smith-Mundt. The source of funding is FY2023 Public Diplomacy Funding.

B. FEDERAL AWARD INFORMATION

Length of performance period: up to 12 months

Award amounts: awards may range from a minimum of \$10,000 to a maximum of \$100,000

Proposals are accepted on a rolling basis throughout the year and will be reviewed quarterly.

Proposals that address key strategic interests may be approved for immediate funding. This notice is subject to availability of funding.

Type of Funding: Fiscal Year 2023 Public Diplomacy Funding

This notice is subject to availability of funding.

Funding Instrument Type: Grant, Fixed Amount Award, or Cooperative agreement.

Cooperative agreements are different from grants in that PAS Tokyo staff are more actively involved in the grant implementation.

Program Performance Period: Proposed programs are usually completed in one year or less, but may be extended in special circumstances. PAS Tokyo 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 Public Affairs Section encourages applications from U.S. and Japan. Individuals and registered not-for-profit organizations, including think tanks and civil society/non-governmental organizations with relative programming experience are encouraged to apply. For-profit or commercial entities are *not* eligible to apply.

Cost sharing is not required.

Pre-award costs are not an allowable expense for this funding opportunity. Applications may be submitted for consideration at any time on or before the closing date of this funding opportunity.

2. Other Eligibility Requirements

In order to be eligible to receive an award, all organizations must have a Unique Entity Identifier (UEI) number issued via www.SAM.gov as well as a valid registration on www.SAM.gov. Please see Section D.3 for more information. Individuals are not required to have a UEI or be registered in SAM.gov.

D. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application forms required below are available at <https://jp.usembassy.gov/federal-assistance-awards/>.

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**:

- I. Mandatory application forms**
- SF-424 ([Application for Federal Assistance - organizations](#)) or SF-424-I ([Application for Federal Assistance - individuals](#))
 - SF424A ([Budget Information for Non-Construction programs](#))
 - SF424B ([Assurances for Non-Construction programs](#)) only mandatory for individual applicants
- II. Summary Coversheet:** 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.
- III. Proposal (5 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. What aspect of the relationship between the U.S. and XXX will be improved? The “objectives” refer to the intermediate accomplishments on the way to the goals. These should be achievable and measurable.
 - **Program Activities:** Describe the program activities and how they will help achieve the objectives.
 - **Program Methods and Design:** A description of how the program is expected to work to solve the stated problem and achieve the goal.
 - **Proposed Program Schedule:** The proposed timeline for the program activities. Include the dates, times, and locations of planned activities and events.
 - **Key Personnel:** Names, titles, roles and experience/qualifications of key personnel involved in the program. What proportion of their time will be used in support of this program?
 - **Program Partners:** List the names and type of involvement of key partner organizations and sub-awardees.
 - **Program Monitoring and Evaluation Plan:** This is an important part of successful grants. Throughout the 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.
 - **Program Location:** Where will the program take place?
- IV. 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.

<https://jp.usembassy.gov/federal-assistance-awards/> has a sample template. See section *H. Other Information: Guidelines for Budget Submissions* below for further information.

Required Registrations:

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

- www.SAM.gov registration which will generate a UEI
- NCAGE/CAGE code

Any applicant with an exclusion 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.”

The Unique Entity Identifier (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. SAM.gov is the Federal government's primary database for complying with FFATA reporting requirements. OMB designated SAM.gov as the central repository to facilitate applicant and recipient use of a single public website that consolidates data on all federal financial assistance. Under the law, it is mandatory to register in SAM.gov.

Starting April 2022, the UEI is assigned when an organization registers or renews its registration in SAM.gov at www.SAM.gov. To access SAM.gov an organization is required to have a Login.gov account. Organization can create an account at <https://login.gov/>. As a reminder, organizations need to renew its sam.gov registration annually.

US-based organizations: A CAGE code will be automatically assigned when the U.S. organizations registers in www.sam.gov. CAGE must be renewed every 5 years. Site for CAGE : <https://cage.dla.mil/Home/UsageAgree>. Grantees may be asked for more information to finalized and must comply.

Foreign-based organizations: Must apply for a NCAGE code before registering in SAM.gov. Go to : <https://eportal.nspa.nato.int/AC135Public/CageTool/home> to apply for a NCAGE code. NCAGE codes must be renewed every 5 years.

It is in the organization's best interest to check if their CAGE/or NCAGE codes are active. Organizations are required to register/or renew their CAGE or NCAGE codes **prior** to registering or renewing www.sam.gov. Both registration and renewals for both CAGE and NCAGE can take up to 10 days. Organization's legal address in NCAGE/CAGE must mirror www.sam.gov.

www.sam.gov requires all entities to renew their registration once a year in order to maintain an active registration status in SAM.gov. It is the responsibility of the applicant to ensure it has an active registration in SAM.gov.

If an organization plans to issue a sub-contract or sub-award, those sub-awardees must also have a unique entity identifier (UEI number). Those entities can register for a UEI only at SAM.gov.

If an organization does not have an active registration in SAM.gov prior to submitting an application, the application will be deemed **ineligible**. All organizations applying for grants (except individuals) must obtain these registrations, the latter are free of charge.

Note: As of April 2022, a DUNS number is no longer required.

3. Submission Dates and Times

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

- Proposals received between October 1 and December 31 will be reviewed by January 15, with responses going out by January 31;
- Proposals received between January 1 and March 31 will be reviewed by April 15, with responses going out by April 30;
- Proposals received between April 1 and June 30 will be reviewed by July 15, with responses going out by July 31; and
- Proposals received between July 1 and September 30 will be reviewed by October 15, with responses going out by October 31.

4. Other Submission Requirements

All application materials must be submitted by email to: TokyoPASGrants@state.gov.

E. APPLICATION REVIEW INFORMATION

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 as a whole in judging the overall quality of an application.

Organizational capacity and record on previous grants: The organization has expertise in its stated field and PAS is confident of its ability to undertake the program. This includes a financial management system and a bank account. (10 points)

Quality and Feasibility of the Program Idea: The program idea is well developed, with detail about how program activities will be carried out. The proposal includes a reasonable implementation timeline. (15 points)

Goals and objectives: Goals and objectives are clearly stated and program approach is likely to provide maximum impact in achieving the proposed results. (15 points)

Embassy priorities: Applicant has clearly described how stated goals are related to and support U.S. Embassy Tokyo's priority areas or target audiences. (20 points)

Budget: The budget justification is detailed. Costs are reasonable in relation to the proposed activities and anticipated results. The budget is realistic, accounting for all necessary expenses to achieve proposed activities. (20 points)

Monitoring and evaluation plan: Applicant demonstrates it is able to measure program success against key indicators and provide milestones to indicate progress toward goals outlined in the proposal. The program includes output and outcome indicators and shows how and when those will be measured. (10 points)

Sustainability: Program activities will continue to have positive impact after the end of the program. (10 points)

A Grants Review Committee will evaluate all eligible applications.

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

- i. That the Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;
- iii. That the Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

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

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

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

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

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

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

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

G. FEDERAL AWARDING AGENCY CONTACTS

If you have any questions about the grant application process, please contact PAS at: TokyoPASGrants@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.

H. OTHER INFORMATION

Guidelines for Budget Justification

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

Travel: Estimate the costs of travel and per diem for this program. If the program involves international travel, include a brief statement of justification for that travel.

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

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

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

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

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

“Cost Sharing” refers to contributions from the organization or other entities other than the U.S. 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.