

**U.S. Department of State  
U.S. Consulate General Ho Chi Minh City  
Annual Program Statement**

**Program Office:** Public Affairs Section  
**Funding Opportunity Title:** Annual Program Statement  
**Funding Instrument Type:** Grant or Cooperative Agreement  
**Funding Opportunity Number:** SVM700-19-PAS-001  
**Deadlines for Applications:** Round 1: January 1, 2019 (11:59 p.m.);  
Round 2: March 1, 2019 (11:59 p.m.);  
Round 3: June 1, 2019 (11:59 p.m.)  
Vietnam time  
**CFDA Number:** 19.040 - Public Diplomacy Programs

**CONTACT INFORMATION**

For assistance with the requirements of this solicitation, contact [HCMCGrants@state.gov](mailto:HCMCGrants@state.gov).

**SUMMARY**

This document contains detailed instructions and information about the Proposal process. Please read it carefully.

All applicants must submit proposals via email to [HCMCGrants@state.gov](mailto:HCMCGrants@state.gov). Activities will only be funded in the provinces south of and including Thua Thien Hue. We will generally consider proposals in the \$1,000-\$30,000 range. Proposals over \$30,000 will only be considered with a cost share and on a case-by-case basis.

All first-time grantees requesting under \$25,000 must include the following:

1. Mandatory Forms SF424 (for Organizations) OR SF424I (for Individuals) and SF424A, SF424B (See further details below)
2. Grant proposal form and detailed budget (using Consulate General Ho Chi Minh City templates)
3. A DUNS number (not required for individuals)

All grantees who have previously received a U.S. Government Federal Assistance Award OR are requesting more than \$25,000 must additionally submit:

1. Proof of active SAM and NCAGE registration

Registration/Renewal for SAM and NCAGE can take up to four weeks. Please plan accordingly.

**Due to the volume of applicants and inquiries, Public Affairs Section does not accept requests for meetings or phone calls prior to application.**

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## A. PROGRAM DESCRIPTION

The U.S. Consulate General Ho Chi Minh City Public Affairs Section (PAS) is pleased to announce funding is available through the Public Diplomacy Federal Assistance Awards.

This Annual Program Statement solicits proposals for projects that further the U.S. Mission's public diplomacy goals of expanding media engagement, strengthening people-to-people ties between Vietnam and the United States, and building and strengthening local partners through the specific objectives listed below.

Proposals for projects must focus on one of the priority areas specified below. Applicants should pay close attention to the Public Affairs Section's goals, priority program objectives, target audiences, and geographic locations when developing their proposals.

### Public Diplomacy Goals:

Successful proposals must include an element of public outreach to meet the criteria for use of Public Diplomacy funds. **Public diplomacy funds may only be given to non-profit entities or individuals.** Public diplomacy programming includes communication with international audiences, cultural programming, educational exchanges, trade promotion, regional security, English language programming, innovation in and improvement of education systems, promoting science, technology, engineering and math (STEM) education, and promoting journalistic professionalism. Proposals funded under this Annual Program Statement will further one or more of the U.S. Mission to Vietnam's overarching public diplomacy goals: improving Vietnam's global integration, market orientation, commitment to good governance, improved education systems and environmental sustainability; partnering with Vietnam on regional security cooperation.

### Priority Program Objectives and Target Audience:

**Proposals must explicitly address one or more of the Public Affairs Section priority objectives listed below and create or extend the communities engaged in those areas:**

- **Economic Prosperity:** improved opportunities for U.S. businesses, labor standards, developing soft skills to work with U.S. businesses, reducing the bilateral trade deficit, intellectual property rights, promotion of U.S. products, or U.S. business values.
- **Security:** rule of law, combating transnational crime, combating trafficking in persons, improving relations with the Vietnamese diaspora community.
- **Education:** English teaching, improving teaching methods, curriculum development, modernizing education systems, STEM,
- **Inclusiveness:** women's rights and empowerment, access and legal reform for disabled persons, LGBT rights, ethnic/religious minorities' rights, civil society development
- **Fundamental Freedoms:** freedom of expression, press, association, religion
- **Environment:** Lower Mekong Initiative, environmental standards, climate mitigation and adaptation

**Activities and expenses that are generally not funded include, but are not limited to:**

- the purchase or long term lease of space or buildings in support of program activities;
- support personal business;
- construction projects;
- individual travel to conferences;
- scholarships to support educational opportunities or study for individuals;
- funding ongoing projects, which would otherwise be funded through other means;
- financial support for fundraising or fund development projects;
- projects that are inherently political in nature or that contain the appearance of partisanship/support to an individual or single party in electoral campaigns;
- political party and lobbying activities;
- projects that support specific religious activities;
- cash prizes for competitions;
- **networking events;**
- **business-class travel;**
- **development projects without a clear public diplomacy component**
- **translations;**
- **alcoholic beverages.**

Target Audience:

The target audience for successful projects is 15-35 years old. Priority given to projects in Ho Chi Minh City, Central Coastal Vietnam, and the Mekong Delta, especially in Da Nang and Can Tho.

Priority Region:

Activities will only be funded in the provinces south of and including Thua Thien Hue.

Length of performance period:

Projects generally must be completed in one year, but can be longer in certain circumstances. The Public Affairs Section will entertain applications for continuation grants funded under these awards 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.

Award Amount:

Award Amount will vary between \$1,000 and \$30,000. Proposals over \$30,000 will be considered only with a cost share and on a case-by-case basis. Proposals which include a cost share are strongly encouraged, and have a higher likelihood of being funded. The Public Affairs Section of the U.S. Consulate General Ho Chi Minh City reserves the right to award less or more than the amount of funds described in the absence of worthy applications or under such other circumstances as they may deem to be in the best interest of the U.S. government.

**B. ELIGIBILITY ENTITY**

Submissions are encouraged from **U.S. and Vietnam** entities with relevant programming experience. This experience should be documented in the proposal. Eligible entities include:

- not-for-profit, civil society/non-governmental organizations
- public educational institutions
- individuals

**For-profit entities are not allowed to apply. Previous federal award recipients who are not/were not in compliance with the terms of their financial and program reporting requirements are ineligible to apply.** It is the applicant's responsibility to ensure they are in compliance with all applicable terms, conditions, and Office of Management and Budget guidance and requirements. Those organizations found to be in non-compliance may be found ineligible for funding or designated high risk if selected for funding.

## **C. APPLICATION AND SUBMISSION INFORMATION**

### **1. Application Deadline**

Applications for this opportunity will be reviewed and considered three times throughout the year after each deadline or until funding is exhausted. Applications may be submitted for consideration at any time before the closing dates of this opportunity; however, submissions will not be reviewed until after each deadline. For the purposes of determining if an award is submitted on time, officials will utilize the time-stamp provided by email. **NO EXCEPTIONS WILL BE MADE FOR LATE SUBMISSIONS.** However proposals submitted late for rounds one and two can be considered for future rounds.

**It is the responsibility of the applicant to ensure that an application has been received in its entirety. U.S. Consulate General Ho Chi Minh City bears no responsibility for applications not received before the due date or for data errors resulting from transmission.**

### **2. Content of Application**

**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 deemed ineligible and will not be reviewed.**

Please ensure:

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

#### **Step 1: Mandatory forms:**

- SF424 (Application for Federal Assistance - Organizations) at

<https://vn.usembassy.gov/sf424> OR SF424I (Application for Federal Assistance - Individuals) at <https://vn.usembassy.gov/sf424i>

- SF424A (Budget Information for Non-Construction programs) at <https://vn.usembassy.gov/sf424a>
- SF424B (Assurances for Non-Construction programs) required for all Round 1 applications but optional for Round 1 and 2 at <https://vn.usembassy.gov/sf424b>

## Step 2: Proposal

Our suggested proposal form can be found on our website: <https://vn.usembassy.gov/proposal>.

You may use your own proposal format, but it must include all the items below.

- **Summary page:** include the applicant name and organization, project title, project period proposed start and end date, and brief purpose of the project.
- **Introduction to Organizational or Individual and the Capacity:** a description that shows ability to carry out the project, including information on all previous grants from the U.S. Consulate and/or U.S. government agencies.
- **Project Justification/Needs Statement:** Clear, concise and well-supported statement of the problem to be addressed and why the proposed project is needed
- **Project Goals, Objectives:** The “goals” describe what the project is intended to achieve. The “objectives” refer to the intermediate accomplishments on the way to the goals, as well as the sustainability and impact of the project. These should be achievable and measurable.
- **Project Activities:** Describe the project activities and how they will help achieve the objectives, including a clear public outreach component.
- **Implementation Timeline:** The proposed timeline for the project activities. Include the dates, times, and locations of planned activities and events.
- **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
- **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?
- **Project Partners:** List the names and type of involvement of key partner organizations and sub-awardees.

### Step 3: Budget Justification and Narrative

After filling out the SF-424A Budget (above), use a separate sheet to describe each of the budget expenses in detail at [https://vn.usembassy.gov/budget\\_narrative](https://vn.usembassy.gov/budget_narrative)

See section *F. Other Information: 1. Guidelines for Budget Submissions* below for further information.

### Step 4: Required Registrations

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

#### Step 4a Apply for a DUNS number<sup>1</sup>

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>

All grantees who have previously received a U.S. Government grant OR are requesting more than \$25,000 must additionally submit:

#### Step 4b: Apply for NCAGE code (this can be completed simultaneously with DUNS)

NCAGE application<sup>2</sup>: Application page here (but need to click magnifying glass and then scroll down to click new registration)

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

**Step 4c:** Register or Renew in System for Award Management (SAM). You must have DUNS number and NCAGE code before proceeding to this step. SAM registration must be renewed annually.

<b>SAM Account</b>	Create SAM Individual User Account at <a href="http://www.SAM.gov">www.SAM.gov</a>
<b>SAM Registration<sup>3</sup></b>	Log in the account and select “Register New Entity”

**Please note: Only DUNS, NCAGE, and SAM can assist with technical questions or problems applicants may experience during the registration process.**

**Step 5:** Submit your complete package to [HCMCGrants@state.gov](mailto:HCMCGrants@state.gov).

- DO NOT WinZar or WinZip your application otherwise it may not be reviewed.
- DO include “Application for [Funding Notice Number]\_ Round #\_Project Name” corresponding to the deadline of your choice in the subject of your email.

<sup>1</sup> For DUNS support: <http://support.dnb.com/>

<sup>2</sup> Instructions: <https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf>

For NCAGE help from within the U.S., call 1-888-227-2423. For NCAGE help from outside the U.S., call 1-269-961-7766. Email [NCAGE@dliis.dla.mil](mailto:NCAGE@dliis.dla.mil) for any problems in getting an NCAGE code.

<sup>3</sup> Quick Guide is available at [https://www.sam.gov/sam/transcript/Quick\\_Guide\\_for\\_Grants\\_Registrations.pdf](https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf). For support on SAM, please access <https://fsd.gov/>

*A formal decision on your proposal will normally be made within 60 days, but may take longer. Once a decision is made to fund your proposal, and all documentation is complete we will begin the process of funding.*

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## **D. REVIEW AND SELECTION PROCESS**

Each technically eligible application submitted under this announcement will be evaluated and rated by a panel on the basis of the criteria detailed below. Each organization/individual can submit more than one proposal.

- 1. Quality and Feasibility of the Program Idea** – The program idea should be well developed, with sufficient detail about how project activities will be strategically carried out. The proposals should demonstrate originality and outline clear, achievable objectives. The proposal includes a reasonable implementation timeline. The project scope is appropriate and clearly defined.
- 2. Project Justification and Support of U.S. Public Diplomacy Priorities** – The project is likely to provide maximum impact in furthering the broader U.S. Public Diplomacy policy objectives. The project addresses one or more of the priority program objectives, target audiences, and geographic areas identified in the solicitation. The proposal contains a compelling justification, demonstrating an in-depth understanding of the environment and citing specific factors creating/influencing the need for the proposed project.
- 3. Organization’s Record and Capacity** – The organization has expertise in the subject area and demonstrates the ability to perform the proposed activities. The organization demonstrates capacity for successful planning and responsible fiscal management. Applicants who have received grant funds previously have been compliant with applicable rules and regulations. Where partners are described, the applicant details each partner’s respective role and provides curriculum vitae (CVs) for persons responsible for the project and financial administration. Proposed personnel, institutional resources and partners are adequate and appropriate.
- 4. Cost-Effectiveness** - The budget and narrative justification are sufficiently detailed and linked. Projects with budgets that do not match the program narrative, and vice versa, are unlikely to be successful. 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. The results and proposed outcomes justify the total cost of the project. Budget items are reasonable, allowable, and allocable.
- 5. Monitoring and Evaluation** - Applicant demonstrates it is able to measure program success against key indicators and provide milestones to indicate progress toward Public Affairs Section goals. Projects should demonstrate the capacity for engaging in outcome-based evaluations and identify proscribed outputs and outcomes to measure how program activities will achieve the program’s strategic objectives. The Monitoring and Evaluation (M&E) Plan should include output- and outcome-based indicators, baseline and target for each indicator,



disaggregation if applicable, monitoring and evaluation tools, data source, and frequency of monitoring and evaluation.

- 6. Sustainability and Impact** - Proposals should clearly delineate how elements of their program will have a multiplier effect and be sustainable beyond the life of the grant. A good multiplier effect may include but is not limited to, plans to build lasting networks for direct and indirect beneficiaries, follow-on training and mentoring, and continued use of project deliverables. A strong sustainability plan may include demonstrating capacity-building results, a plan to generate revenue, or interest and support from the private sector. Proposed impact should be clearly outlined and coincide with public diplomacy goals.

## **E. FEDERAL AWARD ADMINISTRATION INFORMATION**

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

The successful applicant will be notified via email that its proposal has been selected to move forward in the review process; this email IS NOT an authorization to begin performance. The notice of Federal award signed by the Grants Officer (or equivalent) is the authorizing document. It shall be written, signed, awarded, and administered by the Grants Officer. 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 through email transmission. The recipient may only incur obligations against the award beginning on the start date outlined in the DS-1909/DS-1909i award document that has been signed by the Grants Officer. Organizations whose applications will not be funded will also be notified via email, usually within 60 days, but may take longer. Decisions on funding are non-reviewable, nor subject to appeal.

### **2. Policy requirements**

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:

- **Department of State Standard Terms and Conditions**, available at <https://vn.usembassy.gov/terms>
- All applicants must adhere to the regulations found in **2 CFR 200, 2 CFR 600 Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Federal Awards**.
- **Branding Requirements:** As a condition of receipt of a grant award, all materials produced pursuant to the award, including training materials, materials for recipients or materials to communicate or promote with foreign audiences a program, event, project, or some other activity under an agreement, including but not limited to invitations to events, press materials, and backdrops, podium signs, etc. must be marked appropriately with the standard, rectangular U.S. flag in a size and prominence equal to (or greater than) any other logo or identity.

### 3. Reporting Requirements

Recipients are required to submit quarterly (calendar year) program progress and financial reports electronically throughout the project period. Final certified programmatic and financial reports are due 90 days after the close of the project period.

First Quarter (January 1 – March 31): Report due by March 31

Second Quarter (April 1 – June 30): Report due by June 30

Third Quarter (July 1 – September 30): Report due by September 30

Fourth Quarter (October 1 – December 31): Report due by December 31

Awardees that are deemed to be high risk may be required to submit more extensive and frequent reports until their high risk designation has been removed.

The Awardee must also provide the Consulate on an annual basis an inventory of all the U.S. government provided equipment using the SF428 form.

**Failure to comply with the reporting requirement may result in a loss of funds, and will adversely affect your ability to successfully apply for future grants.**

#### F. OTHER INFORMATION

##### 1. 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 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, for both program staff, consultants or speakers, and participants/beneficiaries. 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. Consulate. 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.

## 2. Disclaimers

The Federal government is not obligated to make any Federal award as a result of the announcement. Issuance of this APS 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. The U.S. government also reserves the right to make an award in excess of the award ceiling.

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

This APS is subject to funds availability. Awards may be granted only if appropriated funds are allocated to the United States Consulate General by Department of State central budget authorities.

## 3. Copyrights and Proprietary Information

If any of the information contained in your application is proprietary, please note in the footer of the appropriate pages that the information is Confidential – Proprietary. Applicants should also note what parts of the application, program, concept, etc. are covered by copyright(s), trademark(s), or any other intellectual property rights and provide copies of the relevant documentation to support these copyrights.