U.S. DEPARTMENT OF STATE
BUREAU OF POPULATION, REFUGEES, AND MIGRATION (PRM)

FY 2022 Notice of Funding Opportunity for Resettlement Support Center (RSC) Africa; RSC Asia; RSC Eurasia; and RSC Latin America

Funding Opportunity Number: SFOP0008110

Assistance Listings (formerly Catalog of Federal Domestic Assistance, CFDA) number: 19.018 - Resettlement Support Centers (RSCs) for U.S. Refugee Resettlement

Announcement issuance date: Thursday, May 6, 2021

Announcement type: Cooperative Agreement

Proposal submission deadline: Friday, July 9, 2021 at 11:59:59 p.m. (23:59:59) EDT
We are unable to consider proposals submitted after this deadline.

Anticipated timeframe to award for selected proposals: Pending the availability of funds, PRM anticipates, but makes no guarantee, that awards will be made less than six months from the proposal submission deadline.

ADVISORY: All applicants must submit application packages through the website Grants.gov. PRM strongly recommends submitting your application package early to allow time to address any technical difficulties that may arise on the Grants.gov website.

If you are new to PRM funding, the Grants.gov registration process can be complicated. We urge you to refer to PRM's General NGO Guidelines "Application Process" section for information and resources to help ensure that the application process runs smoothly. PRM also strongly encourages organizations that have received funding from PRM in the past to read this section as a refresher. Please note, some of the guidance and templates for refugee admissions programs differ from what is included on PRM's General NGO Guidelines website. Award

applicants should follow the directions and templates provided in this funding opportunity.

PRM strongly recommends proposals be submitted in Adobe PDF, as Microsoft Word documents may sometimes produce different page lengths based on software versions and configurations when transmitted. Do not include a cover page. Exceeding page length limits, including through the inclusion of cover pages, will result in disqualification. All documents must be in English.

Full Text of Notice of Funding Opportunity

1. <u>Program Description</u>

A. Purpose of Resettlement Support Centers (RSCs)

The admissions process for refugee applicants seeking resettlement in the United States is overseen by the Department of State's Bureau of Population, Refugees, and Migration (the Bureau).

The purpose of RSCs is to assist the Bureau in preparing the necessary casework for persons in selected locations eligible for interview by the Department of Homeland Security's (DHS) U.S. Citizenship and Immigration Services (USCIS) in support of the U.S. Refugee Admissions Program (USRAP). For those persons approved, the RSC provides assistance in completing the additional requirements for refugee admission under Section 207 of the Immigration and Nationality Act (INA). These requirements include, but are not limited to, ensuring the required security checks are requested, completing a medical exam, and attending cultural orientation. In addition, the RSC collects and maintains data to facilitate the services provided to refugees by U.S.-based resettlement agencies.

The Bureau will make one award each for RSC Africa (based in Nairobi, Kenya), RSC Asia (based in Bangkok, Thailand), RSC Eurasia (based in Kyiv, Ukraine), and RSC Latin America (based in San Salvador, El Salvador), for an initial period beginning October 1, 2021, through September 30, 2022, subject to availability of funds. With this award, the Bureau will provide full financial support to the selected organization, based on the proposal submitted in response to this funding opportunity. Each of the four awards will have the possibility of being extended for two additional fiscal years through September 30, 2024.

B. Refugee Processing Caseload

In order to serve the Administration's goal to admit up to 125,000 refugees in FY 2022, while taking into account the current state of USRAP capacity and ongoing operational constraints related to COVID-19, the Bureau intends to award initial funding and allocations at an operational level of 65,000 refugee arrivals. If the Presidential Determination sets a target beyond this initial operational level, the Bureau will work with successful applicants to adjust allocation numbers and proposal documents. Arrival trends will be reviewed mid-year to adjust budgets upwards, as needed.

Each RSC applicant should prepare proposal documents based on the allocations below. For proposal documents that reference years two and three of the program in FY 2023 and FY 2024, organizations should plan based on maximum actual departures for those fiscal years and the resources needed to achieve this level of departures.

- RSC Africa: 22,000 refugee departures from sub-Saharan Africa.

- RSC Asia: 6,000 departures from Indonesia, Malaysia, Mongolia, Nauru, Papua New Guinea, Thailand, Nepal, Pakistan, Sri Lanka, and other countries in Asia.

- RSC Eurasia: 4,000 refugee departures from the former Soviet Union (FSU), including Armenia, Belarus, Kyrgyzstan, Moldova, and Ukraine.

- RSC Latin America: Approximately 5,000 departures from Ecuador, El Salvador, Costa Rica, Guatemala, Honduras, and other countries in the region, as necessary.

C. Standardized Program Objectives and Indicators

In an effort to strengthen the quality and integrity of the USRAP, the Bureau has established the following standardized objectives and indicators, which will be monitored throughout the fiscal year, for each organization selected for funding. In addition to the standardized indicators below, applicants are required to propose at least one additional outcome-based indicator for each of these four objectives. Of the additional indicators proposed, one indicator per year must be related to a) cultural orientation, b) scheduling and coordinating medicals, and c) coordinating departures with the International Organization for Migration (IOM). Applicants may include additional objectives and indicators if they choose. In addition, PRM reserves the right to add or change indicators in consultation with applicants during final negotiations prior to award of the cooperative agreement. See Attachment B included in this

funding opportunity on Grants.gov for the objectives and indicators table that should be included as part of the application submission.

- Objective 1: RSC completes processing for refugee applicants in accordance with USRAP guidelines and the cooperative agreement.

  o Percent of target number of refugee applicants pre-screened.

  o Percent of circuit rides with an average score of 4 or 5 on the DHS Mission Support Feedback Form.

  o For RSCs using the START application: RSC passes random quality control checks performed by PRM/Refugee Processing Center (RPC) staff on RSC cases to verify the RSC is following USRAP START Standard Operating Procedure (SOP) guidance and has not deviated from this guidance without formally documented approval from PRM.

- Objective 2: RSC maintains program integrity and protects against fraud and malfeasance, in accordance with the PRM Integrity and Compliance module.

  o Percentage extent to which RSCs are deemed compliant with PRM's Integrity & Compliance module based on PRM's review of RSC annual compliance reports.

  o Percent of staff and refugee applicants aware of fraud reporting channels.

- Objective 3: RSC management provides oversight and support to maintain a trained and knowledgeable workforce.

  o Percent of RSC staff receiving on-boarding training and specialized training, as needed, to achieve USRAP objectives.

  o Percent of staff able to demonstrate knowledge required to fulfill their job.

- Objective 4: RSC maintains professional and respectful services, environment, and communications with refugee applicants.

  o Percent of refugee applicant inquiries responded to within two weeks.

  o Percent of refugee applicants reporting satisfaction with quality of interactions with RSC.

D. Program Requirements

The Bureau has established the following requirements for each organization managing RSC Africa, RSC Asia, RSC Eurasia, and RSC Latin America:

- Beginning on October 1, 2021, provide regional refugee processing services for all USRAP applicants regardless of nationality, religion, gender, sexual orientation, political opinion, race or ethnicity in:

  o Sub-Saharan Africa, with the primary RSC office to be located in Nairobi, Kenya, with sub-offices in Kasulu, Tanzania, and Pretoria, South Africa. The Pretoria office will support all southern Africa operations from referral to departure, while the Kasulu office will aid the Nairobi office with all operations in Kigoma, Tanzania.

  o Asia, with the primary RSC office to be located in Bangkok, Thailand, with a sub-office in Kuala Lumpur, Malaysia.

  o Europe and Central Asia, except Austria, with the RSC office to be located in Kyiv, Ukraine.

  o Latin America, with the primary RSC office to be located in San Salvador, El Salvador with sub-offices in Quito, Ecuador and Guatemala City, Guatemala.

- Collaborate equitably with all domestic resettlement agencies, including sharing relevant biographic and other background information with domestic resettlement agencies working in the Reception and Placement Program, as appropriate and in accordance with PRM confidentiality guidelines and procedures, to facilitate their provision of required sponsorship assurances.

- Provide refugee processing services in support of the USRAP using the Worldwide Refugee Admissions Processing System (WRAPS) and successor system, START, and in accordance with procedures established by the Bureau, as needs arise.

- Ensure that each potential refugee applicant is screened to determine eligibility for interview by USCIS under the processing priorities established for the refugee applicant's nationality.

- Conduct pre-screening interviews and casework in the countries listed above to capture all relevant information pertaining to the case, e.g., biographical data, special medical needs, information about victims of

torture, etc. Ensure that all necessary security checks are requested and remain in a valid status for travel in accordance with the USRAP Manual and RPC SOPs. Prepare the case file, including completion of all forms necessary for presentation of the case to USCIS for adjudication.

- Enter all required information into WRAPS/START in a timely manner in adherence with the USRAP Manual and RPC SOPs.

- Remain in close contact with the RPC, cooperating fully and at all times, to ensure that collected refugee information, WRAPS/START interface, and related equipment remains secure, functional, up to date, and in compliance with Department and Bureau guidance where appropriate.

- For applicants approved by USCIS, assist the refugees in completing all post-adjudication steps required for admission to the United States. This includes coordinating with the RPC to obtain sponsorship assurances from resettlement agencies working under cooperative agreements with the Bureau, preparing travel packets, coordinating medical screening, conducting cultural orientation training, and working with IOM in regards to travel arrangements.

- Correspond with applicants and partners on relevant case statuses and to obtain, as necessary, information relevant to the applicant's qualifications for admission, in accordance with PRM confidentiality guidelines and procedures, including PRM's Integrity and Compliance module.

- Provide cultural orientation to approved refugees in accordance with guidelines developed by the Bureau and by using materials and resources developed by the current cultural orientation technical assistance provider (see https://coresourceexchange.org/).

- Develop a formal curriculum, in consultation with the Bureau, for cultural orientation training for refugees that will prepare them for travel and initial adjustment to life in the United States. Develop a training and management plan for RSC staff who will conduct cultural orientation training. Conduct cultural orientation in such a way as to achieve performance outcomes as delineated by the Bureau.

- The cultural orientation training will cover, at a minimum, the following subjects:
    o Travel

o Role of the Resettlement Agency

o Housing

o Health

o Cultural Adjustment

o Rights and Responsibilities

o Employment

o Education

2. **Federal Award Information**

A. Proposed program start dates: October 1, 2021

B. Duration of Activity: An initial period beginning October 1, 2021 through September 30, 2022, subject to the availability of funds. Continued funding after the initial 12-month period of performance requires the submission of a noncompeting updated single year proposal and will be contingent upon available funding, strong performance, and continuing need. This agreement may be renewable for up to two additional fiscal years. At the end of three years, if the need to operate the RSC continues, the Bureau will re-compete the project, and the recipient of this award may participate in that process. In funding a project one year, PRM makes no representations that it will continue to fund the project in successive years.

C. Period of Performance: An initial 12-month period of performance with the possibility of two, one-year extensions for a total program duration of 36 months.

D. Funding Limits: The Bureau anticipates up to four awards with award amounts that will vary depending on the RSC location and anticipated number of refugee departures. Funding amounts for individual awards in previous years have varied, depending on the location. There is no funding floor or ceiling for this award. However, total award amounts will be contingent on funding availabilities.

E. Anticipated Number of Awards: As specified above, there will be a total of four awards with one award each for RSC Africa, RSC Asia, RSC Eurasia, and RSC Latin America.

F. Anticipated Amount to be Awarded Total: Total amounts awarded will

be based on a thorough review of each RSC proposal received, anticipated refugee departures for each region, and amount of funding available in FY 2022.

3. <u>Eligibility Information</u>

A. Eligible Applicants: (1) Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education (U.S.-based NGOs must be able to demonstrate proof of non-profit tax status); (2) Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education (overseas-based NGOs must be able to demonstrate proof of registration in country of domicile); and (3) International organizations. International multilateral organizations, such as United Nations agencies, should not submit proposals through Grants.gov in response to this funding opportunity. Multilateral organizations that are seeking funding for programs relevant to this announcement should contact the PRM Program Officer (as listed in Section 8) on or before the closing date of the funding opportunity.

B. Cost Sharing or Matching: Cost sharing, matching, or cost participation is not a requirement of an application in response to this funding opportunity.

C. Other Eligibility Requirements: Organizations must also be authorized to operate, or eligible for authorization, by the host governments to be considered for an award. This should be understood, when required by each government's law, to include registration with or receipt of project approval from any relevant country ministry, agency, or other official organization with jurisdiction over any activity to be conducted by the RSC. The RSC must also have authorization to operate in all countries where refugee processing activities will occur.

- **Africa**: Be authorized, or eligible for authorization, by the Governments of Kenya, Tanzania, and South Africa to operate the primary RSC office and sub-offices.

- **Asia:** Be authorized, or eligible for authorization, by the Governments of Thailand and Malaysia to operate the primary RSC office and sub-offices.

- **Eurasia:** Be authorized, or eligible for authorization, by the Government of Ukraine to operate the RSC office.

- **Latin America:** Be authorized, or eligible for authorization, by the Governments of El Salvador, Ecuador, and Guatemala to operate the primary RSC office and sub-offices.

4. **Other Requirements**

A. Proposals must have a concrete implementation plan with well-conceived objectives and indicators that are specific, measurable, achievable, relevant and reliable, time-bound, and trackable (SMART), have established baselines, and include at least one outcome indicator per objective. Objectives and indicators should originate from Section 1.C above and be detailed in the attached objectives and indicators table (Attachment B). Applicants may include additional objectives and indicators if they choose.

B. RSC applicants must have evidence of effective coordination with U.S. government agencies, non-governmental organizations, and international organizations involved with the USRAP and possess management capacity at the agency's headquarters sufficient to oversee the operation of the RSC.

C. In addition, WRAPS/START is deployed in all refugee processing sites. The use of WRAPS/START is mandatory, and the RSC must therefore establish itself as WRAPS/START-ready. Equipment that will be procured by the RSC and related costs must be included in the proposal. See Appendix 3 for a list of hardware and software items that are currently needed to access and/or operate WRAPS/START, including the equipment to operate the circuit ride functionality.

D. PRM strongly encourages programs that target the needs of vulnerable and underserved groups among the beneficiary population (such groups may include: women; children; adolescents; lesbian, gay, bisexual, transgender, queer, or intersex (LGBTQI+) individuals; older persons; persons with certain medical needs; persons with disabilities; and other members of underserved and/or underrepresented communities) and can demonstrate what steps have been taken to meet the specific and unique protection and assistance needs of these groups effectively.

5. **Application and Submission Instructions**

A. Address to Request Application Package: Application packages may be downloaded from the website www.Grants.gov.

B. Content and Form of Application: Each organization requesting consideration for an award from the Bureau must submit all information as requested below. Applicants should report all data in terms of the federal fiscal year (i.e., October 1 through September 30). All required proposal templates and instructions are attached to this funding announcement, unless otherwise specified.

C. Multi-year program proposal page limits: Proposals must not exceed 25 pages in length (Times New Roman, 12-point font, one-inch margins on all sides). Please note, the PRM NGO Guidelines specify that multi-year proposals must not exceed 20 pages in length. However, in order to include the new capacity development plan section in the proposal narrative, applicants may have proposals up to 25 pages. The requested attachments do not count toward the page limit total; however, annexes cannot be relied upon as a key source of project information. The proposal narrative must be able to stand on its own in the application process. Proposals exceeding the page limit will not be considered.

- PRM recommends proposals be submitted in Adobe PDF, as Microsoft Word documents may sometimes produce different page lengths based on software versions and configurations.

- Exceeding page length limits, including through the inclusion of cover pages, will result in disqualification.

- All proposals, and required documents, must be in English.

D. Multi-year applications selected for funding by PRM will be funded in 12 month increments based on the proposal submitted in the initial application as approved by PRM. Continued funding after the initial 12-month award requires the submission of a noncompeting single-year proposal and will be contingent upon available funding, strong performance, and continuing need. Follow-on applications are submitted annually for years two through three via non-competed directed announcements for the continuation of funding. It is strongly recommended that applicants submit as early as possible after the directed announcement has been issued for continuation of funding. Late submissions will jeopardize continued funding.

E. To be considered for PRM funding, organizations <u>must</u> submit a complete application package encompassing the documents below. Please note, information provided for FY 2023 and FY 2024 in the proposal narrative and budget documents will be used for planning purposes, but organizations will still be required to submit updated proposal documents before each fiscal year begins.

- A proposal narrative with the information included in Appendix 1 that details the first year of the program (October 1, 2021-September 30, 2022). This narrative includes an additional section from previous RSC funding opportunities where applicants will have to detail capacity development

plans to reach higher anticipated refugee arrivals throughout the three years that the organization operates the RSC.

- Budget summary, budget detail, and budget narrative. Appendix 2 provides more guidance and information on the template for the budget proposal documents. Attachment A, included in this funding opportunity on Grants.gov, provides the template for the budget summary and detail and should be prepared in Excel format. The budget summary and budget detail also include columns for planned budgets in FY 2023 and FY 2024. In the budget narrative, organizations should also provide a brief summary of the anticipated additional resources needed to reach maximum departures in FY 2023 and FY 2024.

- Completed SF-424, SF-424A, and SF-424B forms. PRM requires that Box 21 of the SF-424 be checked. Form SF-424B is now required only for those applicants who have not registered in SAM.gov or recertified their registration in SAM.gov since February 2, 2019 and completed the online representations and certifications. The SF-424 family forms are available for download on Grants.gov.

- Risk analysis (separate from proposal narrative and from the security plan). The template for this document is attached to this funding opportunity on Grants.gov as Attachment C.

- Organizational chart for award applicant.

- Key personnel for award applicant.
  - Applicants must furnish names, titles, and brief biographical information on the education and experience of key personnel in implementing the program and key supervisory personnel; (i.e., the members of the professional staff in a program supervisory position engaged for or assigned to duties under the award). Resumes of key personnel must be provided in an annex (or provided for approval prior to hiring).

- Copy of the organization's Prevention of Sexual Exploitation and Abuse (PSEA) Code of Conduct, and that there is a country or regional implementation plan specific to the country or region of the application.

- Copy of the organization's security plan.

- Copy of the organization's Accountability to Affected Populations (AAP) framework.

- Most recent Negotiated Indirect Cost Rate Agreement (NICRA), if applicable, or a *de minimis* rate calculation of Modified Total Direct Costs (MTDC) if the applicant is eligible and elects to use the *de minimis* rate.

- Most recent external audit report is required prior to issuance of an award, if proposal is chosen for implementation.

- Applicants should submit a table (see Attachment B included as part of this funding opportunity on Grants.gov) detailing objectives and indicators for the project in FY 2022. At a minimum, tables should include the program objectives and indicators in Section 1.C above.

- Proof of Eligibility per Sections 3.A and 3.C.

E. Dun and Bradstreet Data Universal Numbering System (DUNS) Number and System for Award Management (SAM)

- Each applicant is required to:

  - be registered in SAM at (www.sam.gov) before submitting its application;
  - provide a valid DUNS number in its application; and
  - continue to maintain an active SAM registration with current information at all times during which it has an active PRM award or an application or plan under consideration by PRM.

- No federal award may be made to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the PRM award is ready to be made, PRM may determine that the applicant is not qualified to receive a PRM award and use that determination as a basis for making a PRM award to another applicant.

F. Applications must be submitted via Grants.gov.
Grants.gov registration requires a DUNS number and active SAM.gov registration. If you are new to PRM funding, the Grants.gov registration process can be complicated. We urge you to refer to PRM's General NGO Guidelines "Application Process" section for information and resources to help ensure that the application process runs smoothly. PRM also strongly encourages organizations that have received funding from PRM in the past to read this section as a refresher. Applicants may also refer to the "For Applicants" page on Grants.gov for complete details on requirements.

- **Do not wait until the deadline to attempt to submit your application on Grants.gov.** Organizations not registered with Grants.gov should register well in advance of the deadline as it can take several weeks to finalize registration (sometimes longer for non-U.S. based NGOs to receive required registration numbers). We also recommend that organizations, particularly first-time applicants, submit applications via Grants.gov no later than one week before the deadline to avoid last-minute technical difficulties that could result in an application not being considered. PRM has extremely limited ability to correct or facilitate rapid resolution to technical difficulties associated with Grants.gov, SAM.gov or DUNS number issues. **PRM partners must maintain an active SAM.gov registration with current and correct information at all times during which they have an active federal award or an application under consideration by PRM or any federal agency.**

- When registering with Grants.gov, organizations must designate points of contact and Authorized Organization Representatives (AORs). Organizations based outside the United States must also request and receive an NCAGE code prior to registering with SAM.gov. **Applicants experiencing technical difficulties with the SAM.gov registration process should contact the Federal Service Desk (FSD) online or at 1-866-606-8220 (U.S.) and 1-334-206-7828 (International).**

- **Applications must be submitted under the authority of the AOR at the applicant organization.** Having proposals submitted by agency headquarters helps to avoid possible technical problems.

- **If you encounter technical difficulties with Grants.gov please contact the Grants.gov Help Desk at support@grants.gov or by calling 1-800-518-4726.**

- Applicants who are unable to submit applications via Grants.gov due to Grants.gov technical difficulties and;

  o who have reported the problem to the Grants.gov help desk;
  o received a case number;
  o have completed DUNS and SAM.gov registrations
  o and had a documented service request opened to research the problem;

may contact the relevant PRM Program Officer **before the submission deadline** to determine whether an alternative method of submission is appropriate.

G. It is the responsibility of each applicant to ensure the appropriate registrations are in place and active. Failure to have the appropriate organizational registrations in place or are experiencing issues resulting from discrepancies across registration platforms is not considered a technical difficulty and is not justification for an alternate means of submission.

H. In accordance with 2 Code of Federal Regulations (CFR) §200.113, Mandatory disclosures, the non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

I. Submission Dates and Times

- **Announcement issuance date:** Thursday, May 6, 2021

- **Proposal submission deadline:** Friday, July 9, 2021 at 11:59:59 p.m. (23:59:59) EDT. Proposals submitted after this deadline will not be considered.

J. Intergovernmental Review: Not Applicable.

K. Funding Restrictions: Federal awards will not allow reimbursement of Federal award costs without prior authorization by PRM.

L. Branding and Marking Strategy

- The following provisions will be included whenever assistance is awarded:

- The Recipient shall recognize the United States Government's funding for activities specified under this award at the project site with a graphic of the U.S. flag accompanied by one of the following two phrases based on the level of funding for the award:

- o Fully funded by the award: "Gift of the United States Government"

- o Partially funded by the award: "Funding provided by the United States Government"

- PRM highly encourages recognition of U.S. Government funding on social media and website platforms to be included in proposals branding and marking strategy. Recipients should tag PRM's Twitter account @StatePRM and/or Facebook account @State.PRM (rather than using hashtags). Additionally, the applicable U.S. Embassy should be tagged as well.

- **Updates of actions taken to fulfill this requirement must be included in quarterly program reports to PRM.**

- All programs, projects, assistance, activities, and public communications to foreign audiences, partially or fully funded by the Department, must be marked appropriately overseas with the standard U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. The requirement does not apply to the Recipient's own corporate communications or in the United States.

- The Recipient must appropriately ensure that all publicity and promotional materials underscore the sponsorship by or partnership with the U.S. Government or the U.S. Embassy. The Recipient may continue to use existing logos or project materials; however, a standard rectangular U.S. flag must be used in conjunction with such logos.

- **Do not use the Department of State seal without the express written approval from PRM.**

- Sub non-Federal entities (sub-awardees) and subsequent tier sub-award agreements are subject to the marking requirements and the non-Federal entity shall include a provision in the sub non-Federal entity agreement indicating that the standard, rectangular U.S. flag is a requirement.

- Exemptions from this requirement may be allowable but must be agreed to in writing by the Grants Officer. (Note: An exemption refers to the complete or partial cessation of branding, not use of alternative branding). Requests should be initiated with the Grants Officer and Grants Officer Representative. Waivers issued are applied only to the exemptions requested through the Recipient's proposal for funding and any subsequent negotiated revisions.

- In the event the non-Federal entity does not comply with the marking requirements as established in the approved assistance agreement, the Grants Officer Representative and the Grants Officer must initiate corrective action with the non-Federal entity.

6. **Application Review Information**

A. Criteria: Eligible submissions will be those that comply with the criteria and requirements included in this funding opportunity. In addition, the review panel will evaluate the applications on the below criteria. An example of this scorecard is included in Appendix 4.

- Organizational Structure and Management Capacity (20 points)

- Processing Expertise and Plan to Achieve Objectives (20 points)

- Cultural Orientation (5 points)

- Coordination with Stakeholders (5 points)

- Training, Monitoring, and Oversight (20 points)

- Risk Management (5 points)

- Accountability to Affected Populations (5 points)

- Gender Analysis (5 points)

- Budget (15 points)

PRM will conduct a formal competitive review of all proposals submitted in response to this funding announcement. A review panel of at least three people will evaluate submissions and determine whether and to what extent the applicant's plan for refugee processing meets the RSC objectives outlined in this funding opportunity, the overall refugee processing experience of the proposing organization, and the proposal's cost effectiveness for providing comprehensive service provision to applicants of all groups and in the context of available funding.

U.S. Department of State review panels may provide conditions and recommendations on applications to enhance the proposed program, which must be addressed by the applicant before further consideration of the award. To ensure effective use of limited PRM funds, conditions or recommendations may include requests to increase, decrease, clarify, and/or justify costs and program activities.

7. <u>Federal Award Administration Information</u>

A. Federal Award Administration. A successful applicant can expect to receive a separate notice from PRM stating that an application has been selected before PRM actually makes the federal award. That notice is not an authorization to begin performance. Only the notice of award signed by the Grants Officer is the authorizing document. Unsuccessful applicants will be notified following completion of the selection and award process.

B. Administrative and National Policy Requirements. PRM awards are made consistent with the following provisions in the following order of precedence: (a) applicable laws and statutes of the United States, including any specific legislative provisions mandated in the statutory authority for the award; (b) the CFR; (c) U.S. Department of State Standard Terms and Conditions of the award; (d) the award's specific requirements; and (e) other documents and attachments to the award.

C. Reporting: All reporting requirements will be further detailed in the cooperative agreement between the Bureau and awardee. Successful applicants will be required to submit:

- **Program Reports:** PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three-month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the cooperative agreement. Partners receiving multi-year awards should follow this same reporting schedule and should still submit a final program report at the end of each year that summarizes the organization's performance during the previous year. **New to program reporting requirements for FY 2022** – RSCs should also include an attachment to quarterly program reports with the following information on RSC staffing. This attachment must provide statistics (in an Excel spreadsheet format) on average output of staff with duties in the WRAPS/START application conducting core processing activities including prescreening, preparation of USCIS interview, creation of travel packets, etc. (e.g., number of prescreening interviews conducted by X number of staff, resulting in an average of Y interviews conducted by each staff assigned to this duty on a daily basis; number of travel packets prepared by X number of staff, resulting in an average of Y travel packets prepared by each staff assigned to this duty on a daily basis; etc.). RSCs should add metrics on

additional processing activities as relevant and available. Each submission of the statistics Excel spreadsheet should build on the previous submission to provide cumulative statistics. RSC System Solution Champions (SSCs) should work together on a shared format following receipt and acceptance of the cooperative agreement. The RPC Change Management and Communication Team will approve the proposed format. The first such submission of this RPC staffing attachment will be in the quarter two program report and subsequent quarterly program reports.

- **Financial Reports:** Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within sixty (60) days of the finalization of the applicable NICRA.

- Reports reflecting expenditures for the recipient's overseas and U.S. offices should be completed in accordance with the Federal Financial Report (FFR SF-425) and submitted electronically in the Department of Health and Human Services' Payment Management System (HHS/PMS) and in accordance with other award specific requirements. Detailed information pertaining to the FFR including due dates, instruction manuals and access forms, is provided on the [HHS/PMS website](#).

- **Audit Reports:** When a recipient-contracted audit is not required because the Federal award amount is less than the $750,000 threshold, the Department may determine that an audit must be performed and the audit report must be submitted to the responsible Grants Office(r) for review, dissemination, and resolution as appropriate. The cost of audits required under this policy may be charged either as an allowable direct cost to the award, or included in the organizations established indirect costs in the award's detailed budget.

- **Integrity and Compliance Reports:** All applicants selected for funding to manage an RSC will be required to also submit an annual Integrity and Compliance report.

8. PRM Contacts and Other Documentation

A. Applicants with technical questions related to this announcement should contact the PRM staff listed below prior to proposal submission. Please note that responses to technical questions from PRM do not indicate a commitment to fund the program discussed.

- **RSC Africa PRM Program Officer:** Sumi Siram, SiramS@state.gov

- **RSC Asia Program Officer:** Margaret Burkhardt, BurkhardtMA@state.gov

- **RSC Eurasia Program Officer:** Robert Stevens, StevensRM@state.gov

- **RSC Latin America Program Officer:** Nick Stokes, StokesFN@state.gov

B. This funding opportunity also includes appendices with more information on content that should be included in the proposal documents. The following appendices are included in the text of this funding opportunity, and all attachments are available on Grants.gov.

- Appendices:

    o Appendix 1 – Proposal Narrative Guidance

    o Appendix 2 – Budget Documents Guidance

    o Appendix 3 – WRAPS/START Equipment & Software Requirements

    o Appendix 4 – RSC Scorecard Template

- Attachments:

    o Attachment A – Budget Detail and Summary Template (Excel)

    o Attachment B – FY 2022 RSC Objectives and Indicators Table Template (Word)

    o Attachment C – Risk Analysis Template (Word)

Disclaimer: External websites linked above may not be supported or accessible by all web browsers. If you are unable to link to a referenced website, please try using a different browser or update to a more recent one. If you continue to experience difficulties to reach external resources, please contact PRM's NGO Coordinator.

Appendix 1: Proposal Narrative Guidance

The following format should be used when drafting the proposal narrative. The proposal narrative should be titled and numbered to correspond with the information below. If any individual section of information is not applicable, that fact should be stated. Page numbers should be sequential for the entirety of the proposal narrative and should not restart with each section of required information. This proposal narrative should mostly focus on the first year of the program (October 1, 2021-September 30, 2022) with organizations using Section 9 (capacity development plan) below to address how the RSC will reach a maximum proposed level of departures in FY 2023 and FY 2024.

1. Organizational Structure & Management

- How the applicant will meet the expectations outlined in Section 1.A (Purpose of the RSC) above, including: (a) the ability to provide regional refugee processing services for all USRAP applicants regardless of nationality, religion, gender, sexual orientation, political opinion, race or ethnicity; (b) the ability to collaborate equitably with all domestic resettlement agencies; (c) ensure that activities undertaken by the RSC effectively consider the specific and unique protection and assistance needs of potentially vulnerable and underserved groups; and (d) system security posture and ability to protect refugee data.

- Its organizational structure, including the number of headquarters staff (to be described in terms of "Full Time Equivalent" or FTE positions) that will be assigned to oversee RSC Africa, RSC Asia, RSC Eurasia, or RSC Latin America. Describe how the organizational structure demonstrates both cost effectiveness and strong management and program delivery.

- The number of local and international staff to be assigned to the RSC and staffing patterns. If applicable, explain proposed changes per position from FY 2021 to FY 2022. Justify the number and need for the proposed FTEs to process and depart the proposed number of refugees (include workflow calculations for how to staff each required RSC function based on projected caseloads, i.e., projected caseload for each caseworker, for each cultural orientation trainer, number of staff per supervisor, etc.).

- Local and headquarters management and oversight policies.

- Outline how the applicant will acknowledge PRM funding. If an organization believes that publicly acknowledging the receipt of U.S. Government funding for a particular PRM-funded project could potentially

endanger the lives of the beneficiaries and/or the organization staff, invite suspicion about the organization's motives, or alienate the organization from the population it is trying to help, it must provide a brief explanation in its proposal as to why it should be exempted from this requirement.

2. Processing

- How the organization will establish an operation to handle the processing of the caseload described in Section 1.B above as well as meet program objectives as outlined in Section 1.C and program requirements in Section 1.D. This includes adherence to USRAP SOPs and the demonstrated ability to adapt quickly to changing requirements at every stage of processing.

- The RSC's communication strategy for disseminating information to refugees, while adhering to privacy and confidentiality guidelines. How the applicant will respond to PRM inquiries about specific cases.

- If applicable, a detailed plan outlining how the organization will assume responsibility for the RSC, including logistics, staffing, and timeframe for transition.

3. Cultural Orientation

- How the applicant will develop and implement a formal curriculum for cultural orientation training for refugees that will prepare them for travel and initial adjustment to life in the United States and meet program requirements as outlined in Section 1.D.

- How the RSC is incorporating the Bureau's cultural orientation guidelines and other materials developed by the current cultural orientation technical assistance provider.

4. Coordination with Stakeholders

- How the applicant will collaborate and coordinate on USRAP operational matters with the UN High Commissioner for Refugees (UNHCR), IOM and other organizations involved in referring applicants to USRAP and resettling them in the United States.

5. Training, Monitoring & Oversight

- How the applicant will develop and implement an annual and new staff training and management plan for all RSC staff, including how the proposed plan will strengthen service delivery.

- How the applicant will ensure compliance with USRAP Integrity and Compliance Module guidelines training requirements.

- How the applicant proposes internal monitoring of its processing and cultural orientation activities described in Section 1.D.

- How the applicant will establish and document procedures for fraud mitigation and response and how the applicant will ensure compliance with the USRAP Integrity and Compliance module.

- How the organization will provide timely and accurate reports on processing and orientation activities.

- The organization should identify the Bureau's point of contact at the headquarters office and at the RSC for training, monitoring, and oversight activities.

6. **Risk Management**

- Summarize the risk analysis in the risk management section of the project narrative (provide more than a reference to the risk analysis attachment). The risk analysis should be specific to operations at the RSC in question and should address any potential programmatic or administrative risks, including that of fraud or corruption. The analysis should also assess the level of risk that the proposed program may inadvertently benefit terrorists or their supporters specific to the proposed project.

- Applicants are urged to submit the risk analysis in the format of the template provided in Attachment C.

7. **AAP Framework**

- PRM requires applicants to include in their proposal an organizational AAP framework prior to an award being issued.

- The framework should be three to five pages in length, discuss collection and analysis techniques, and explain how beneficiary feedback will be used to change programming decisions where appropriate. We encourage partners to align their AAP frameworks with Inter-Agency Standing Committee guidance on AAP.

- This section of the proposal narrative should describe the organization's procedures for collecting, analyzing, and responding to beneficiary feedback throughout the refugee processing process.

8. **Gender Analysis**

   - PRM partners must complete a gender analysis in the proposal narrative that briefly explains (1) experiences of men, women, boys, and girls with a focus on the different familial roles, community privileges, and gender dynamics within the target population; (2) associated risks and threats experienced by women, girls, and other vulnerable populations based on their gender; (3) power imbalances and needs that arise based on gender inequalities that exist within the family or community; and (4) proposed responses that will address the above and mitigate any gender differences in access, participation, or decision-making that may be experienced by at-risk groups, particularly women and girls.

9. **Capacity Development Plan**

   - Please provide a macro-level description of how you plan to reach higher departure numbers in FY 2022, FY 2023, and FY 2024, if not already addressed in the proposal narrative. Some of the topics you should address include a broad overview of the increased resources (staffing, infrastructure, etc.) you will need to achieve your departure number, as specified in this funding opportunity. Organizations can also address number of referrals, USCIS interviews/circuit rides, medicals, etc. needed to reach the allocations provided in Section 1.B and the proposed number of departures for FY 2023 and FY 2024. As feasible, justify the likely/intended impact of increased resources on departure numbers based on data and past experience. Please also address any limitations that may prevent you from reaching these level of departures. Within this section, organizations should propose a number of departures for FY 2023 and FY 2024, based on capacity and expected RSC growth. The RSC will not be held to these numbers, but it will allow for better outyear planning.

Appendix 2: Budget Documents Guidance

The following provides guidance for the preparation of a proposal's budget summary, detail, and narrative.

1. Please include the following items in the FY 2022 budget. These in-person workshops will be dependent on the current COVID-19 pandemic posture:

   - One System Solution Champion in-person meeting for one participant for five days in the Middle East (location subject to change)

   - One Reporting Working Group Meeting for two participants for five days in Rosslyn, Virginia

   - One RSC Director's Workshop for two participants for four days in Rosslyn, Virginia

   - Two Cultural Orientation Workshops

     o Leadership Meeting in Q4 for one participant for four days in Silver Spring, Maryland

     o Provider's Workshop in Q3 for one participant for five days in Silver Spring, Maryland

   - The security and compliance framework in use for the RSC must continue to be followed. The RSC must align to the National Institute of Standards and Technology (NIST) security compliance framework by March FY 2022. RSCs should be ready to receive a security assessment by PRM-funded personnel in FY 2022.

   - The budget must include funding for qualified IT/system security personnel to maintain the security posture of the system, perform continuous monitoring, and ensure the RSC remains compliant with the NIST security standards. More details on this position provided in Appendix 3.

   - Travel for relevant satellite office staff to receive a two-week START training at the main RSC location (for sites that are scheduled to deploy to START in FY 2022).

2. For the FY 2022 budget, applicants are required to submit a budget narrative explaining all line items proposed in the budget. For FY 2023 and FY 2024, applicants do not need to include a justification of all line items in the budget narrative, but rather, there is a summary narrative for FY 2023 and FY 2024

that will address expected costs in years two and three of the program (as detailed at the end of this appendix).

3. The use of the PRM budget detail template is **strongly recommended** and estimates should be rounded to the nearest dollar. Information included in the budget detail should correspond to information in the budget summary and be explained in greater detail in the budget narrative.

4. Applicants should provide real quarterly budgets in the budget summary and detail, factoring in timing for expected costs such as travel, purchase of equipment, etc.

5. The purpose of the budget narrative is to explain the costs that PRM expects an organization to include in each budget category. Please include all information in the budget narrative that is included in the budget detail spreadsheet. Make sure that budget documents are consistent in terms of the order in which items are presented and that dollar amounts match in the budget narrative and budget detail.

6. Applicants with current awards from the Bureau should provide a justification for and clearly explain any changes made to the prior year's budget.

7. For applicants currently managing the RSC, indicate if a budget line item is new in the comments section of the budget detail and include a rationale for the proposed change in the budget narrative.

8. For policy guidance concerning U.S. Government regulations or admissible expenditure limits, etc., please refer to 2 CFR 200. The suggested budget template is provided as Attachment A. Additionally, RSC award-specific information on the budget categories and what should be included in the budget narrative is detailed below.

- **Personnel:**
  - This category includes annual salaries/wages, stipends, allowances, differentials, bonuses or extra months' salary, and any anticipated termination/severance pay for any personnel to be charged to the proposed agreement. (Note: headquarters personnel should not be included here but under the other direct costs category below).
  - All positions listed should be in terms of FTE, expressed as a percent, the rate of pay, and the associated unit measurement (hour/month/year) anticipated to fulfill project implementation. In the budget narrative, identify each position and indicate its role in RSC operations. The

budget narrative should indicate both the number of FTEs and the number of employees occupying each type of position.

o For example, RSC Director – This individual is responsible for the overall management of the RSC. This position is responsible for compliance with all the terms and conditions of the agreement including implementation, program, and financial reporting. $85,000/year x 100% of time = $85,000.

o Identify consultants separately from other permanent staff by listing them in the contractual category detailed below. Include anticipated position title(s), the proposed daily or hourly rate to be paid as compensation, and the number of consultant days that are anticipated.

o The Bureau will not authorize personnel positions to be charged based on a flat monthly fee that includes salaries, benefits, travel costs, etc.

o If your organization anticipates the payment of employee termination and/or severance pay during the proposed funding period, the Bureau will consider such costs an allowable charge to the extent of the Bureau's responsibility in accordance with each employee's direct relation to the Bureau's funded activities. For example, an employee charged to Bureau activities for one-half of their employment with the organization shall have only one half of their termination or severance costs charged to the agreement. Explain anticipated termination or severance expenses in the budget narrative section. Severance pay must be consistent with the organization's established personnel policies and practices as well as local labor laws.

o Other types of allowances such as housing and education or differentials must be shown separately and identified against the position to be charged. The budget detail should specify which positions and the number of employees being given each service; i.e., housing for 3 employees; education allowance for 2 children of 2 employees, etc. Allowances should be based on established policies and should be made available to all employees of the organization in similar situations or positions, not just to employees funded by the U.S. Government. The Bureau's policy is to limit the payment of allowances to amounts which do not exceed the rates approved for government employees in similar situations.

o Additionally, attach a staff organizational chart with the above information, indicating existing and proposed positions, staff

restructuring or reorganization from the previous year (if applicable), and an organizational chart. Attach a copy of your organization's established salary schedule showing different pay levels and step increases on which the budget is based.

o Information on the Cost of Living Allowance (COLA) and proposed salary increase or adjustment should be noted in the budget narrative accompanying the budget worksheet.

- **Fringe Benefits:**

o This category identifies the various fringe benefits offered to employees for which the Bureau will be charged under the agreement. While the cost of individual benefits need not be specified, the total cost, including the percentage of salaries, if appropriate, should be shown. The benefits must be consistent with the organization's established personnel policies and practices for all of its employees, not just for those employees who may be funded by the government.

- **Travel:**

o List local and program travel by function in this category (in-country, regional, international, etc.) and type of trip (circuit ride, monitoring, etc.). Headquarters staff travel should also be included in this travel cost category.

o In the budget detail, provide one total for each category and type of trip. All anticipated international trips must be listed individually. Show only the total cost of each trip. Do not itemize by category (airfare, per diem, etc.); rather, list general categories as well as the number of trips included in the trip total in the comments column for each type of travel.

o In the budget narrative, a detailed description of all anticipated travel by category is required. Travel should be identified via mode of travel, departure and arrival city, purpose, unit of measurement, and duration of trip. Please note that the movement of project participants and supplies is a separate transportation line item.

o For example, 10 in-country trips will be undertaken to conduct case processing. Roundtrip airfare from Jordan to Algeria for 5 employees is anticipated. Each trip will include 5 days of per diem per employee.

o In-country Airfare – 10 trips x 5 employees x $1,000 = $50,000

o Lodging - 10 trips x 5 employees x 5 days x $161/day = $40,250

- o Per diem - 10 trips x 5 employees x 5 days x $57 = $14,250

- o It is the Bureau's policy not to reimburse organizations for per diem allowances, both overseas and domestic, which exceed the rates approved for government employees. Current rates can be found at the following link: https://aoprals.state.gov/web920/per_diem.asp.

- **Equipment:**

  - o This category must include a complete and detailed listing of all non-expendable equipment anticipated to be purchased for program activities and to be charged to the agreement. Non-expendable equipment is that which has a useful life of one year or more and an acquisition cost of $5,000 or more per unit. However, consistent with the recipient's policy, lower limits may be used. The program budget must identify which of the above is followed and must be consistently applied to all U.S. Government funding arrangements. PRM's Office of the Comptroller must be informed, in writing, of a recipient's policy and the threshold amount if equal to or greater than $5,000. Any equipment that may be determined, after the initial budget approval, to be required to meet the program objectives must be specifically approved by the Bureau in writing prior to the purchase. Equipment not included in the approved budget or subsequently approved by the Bureau will be considered an unallowable cost under the agreement.

  - o List all equipment that will be leased, including vehicles. For each new vehicle to be purchased and charged to the agreement, please state the purpose for which it will be used and indicate whether the vehicle will be assigned to a motor pool or to an individual. Also, please list separately any vehicle that may currently be owned or leased that is expected to be charged to the agreement. Bureau policy prohibits the use of program vehicles and drivers for personal use, which includes commuting between home and place of employment. Any non-direct program or unofficial use of a vehicle must be reimbursed at the appropriate government rate.

  - o For organizations that have not previously received Bureau funding: Include a summary description of your property management procedures that are currently in place. This will be incorporated into the Bureau's funding arrangements with your organization. In the budget narrative, include a detailed listing of all non-expendable equipment anticipated to be purchased for program activities including justification. For example, Land Rover – Due to the challenging road conditions, inclement weather,

terrain conditions, and geographical location(s) of project sites, it is deemed reasonable and necessary to purchase a new vehicle. Vehicle x 1 quantity = $40,000

o Consolidate like items of lesser value by type of equipment (i.e., telephones, office furniture) with quantities or types to be purchased noted in the comments column. See Appendix 3 for WRAPS/START requirements.

o List all equipment that will be leased, including vehicles.

o For guidance in determining allowable insurance costs, please refer to 2 CFR 200, Subpart D, Section 310 Insurance Coverage. The Bureau will no longer allow charges to its agreements for costs of insuring equipment purchased with program funds against loss or damage, except for unique or high expense items. The Bureau will allow charges for automobile liability and comprehensive insurance coverage.

- **Supplies:**

  o Show all tangible personal property by appropriate category (office supplies, classroom supplies, etc.) that may be purchased and charged under the agreement. The budget narrative should describe the types of items included in each of the categories and the proposed use (e.g. pens, pencils, notebooks, printer paper, etc.).

  o For example: 12 months x $100/month x 3 project offices = $3,600

  o Due to the opening of a new project office to support DHS circuit rides, project supplies include the following items: 2 laptop computers, 3 desktop computers, and 2 printers (2 laptop computers x $700 = $1,400 ; 3 desktop computers x $1,200 = $3,600; 2 printers x $400 = $800).

- **Contractual:**

  o List all proposed sub-contracts or sub-recipients that are anticipated to carry out the proposed program, i.e., security guards, additional personnel, sub-agreements with an implementing partners etc. These agreements are subject to the regulations set forth in 2 CFR 200, Appendix II.

- **Construction:**

  o Generally, the Bureau limits the use of Federal assistance awards to implement new construction programs and programs involving

significant construction activities consistent with Department-wide policy. An applicant may, however, request consideration of minor construction related activities that consist of the renovation or rehabilitation of existing permanent structures with a sufficient description of the activities and/or related statements of work to be performed. The construction, renovation, or rehabilitation of temporary structures should be excluded from this section.

- **Other Direct Costs:**
  - Include any other direct cost not clearly covered herein. Examples are computer use, telephone, postage, space rental (list projected rental items), audit fees, insurance, printing/duplicating, utilities, etc. Each item must be listed separately showing an estimated cost.

  - Other direct costs also included any expenses related to refugee processing which do not fit in any other category, such as medical exam or fees for panel physicians. Provide a detailed breakdown of anticipated costs for each category of activity. Headquarters staff costs associated with the RSC should also be included under the other direct cost category and include the percentage of time dedicated to this program.

  - Describe in the budget detail as follows:
    - Rent of Office space in three locations - 12 months x 3 offices x $400 = $14,400
    - Utilities - 12 months x 3 offices x $100 = $3,60
    - Postage - 12 months x 3 offices x $50 = $1,800
    - Courier – 25 trips x 2 offices x $25 = $1,250
    - Communication (phone, fax, internet) = 12 months x 3 offices x $200 = $7,200
    - Transportation cost of case files via ground freight = 2 trips x $3,000 = $6,000

- **Indirect Costs:**
  - Show the amount of indirect costs and the base amount on which it is determined. It must be indicated whether the rate has been approved by a government cognizant agency and the type of rate (provisional, predetermined, or fixed). A copy of the most current NICRA must be

submitted for the recipient and sub-recipient(s), if applicable. In accordance with guidance from the Office of Management and Budget (OMB), applicants with no NICRA may elect to charge a de minimis rate of 10 percent of the MTDC which may be used indefinitely ([2 CFR 200, Subpart E, Section 414 Indirect (F&A) Costs](#)). A de minimis rate calculation must be provided if the applicant elects to charge the de minimis rate.

- **Comments:**

  - Comments are not required for every budget line item. This column provides space for further identification of items included in the budget categories. For example, under travel, total cost for each trip should be provided under the "Proposed Budget" column, with the number of trips and items included in the costs, e.g., airfare, per diem, taxis, etc., specified under "Comments." The comments column is not intended to replace the budget narrative section.

- **FY 2023 and FY 2024 Budget:**

  - The budget now includes a budget summary and detail for the second and third years of the program. This will be used for planning purposes only, and organizations will still have to submit updated budget documents before the start of each fiscal year of the award. Organizations should attempt to provide a realistic budget that accounts for the proposed maximum level of departures for each RSC and expected RSC growth. In the budget narrative for FY 2022, organizations should include a section at the end titled FY 2023 and FY 2024 budget and briefly address the staffing, resources, infrastructure, etc. with funding implications needed to reach the proposed level of departures for FY 2023 and FY 2024. This should be in line with the departure numbers provided in the capacity development plan section of the proposal narrative. In planning for FY 2023 and FY 2024, organizations should assume the guidance provided in this appendix, Section 1 will also be line items included in year two and year three budgets (e.g.: travel for workshops, meetings, etc.). Organizations do not need to provide a line-by-line justification for all of the budget items proposed in FY 2023 and FY 2024.

Appendix 3: WRAPS/START Equipment & Software Requirements

1. The following guidance provides information on START deployment requirements.

   - **System Solution Champion (SSCs)**: SSCs will remain in their role after START deployment at their specific RSC. The RPC will continue to provide guidance to SSCs on key priorities and activities post-START deployment. The SSC will remain fully dedicated to RPC-directed START activities.

   - **Information Security Personnel**: RSCs should have at least one dedicated system security staff member who understands the NIST framework. This staff member will need to understand all system details including: architecture; system components (hardware, software, peripherals, etc.); location of each system component; data flow; interconnections (internal and external); security categorization; security requirements; configuration management processes and procedures; users (roles, responsibilities, access controls, location, etc.); key personnel by name.

2. For RSCs that have not deployed to START:

   - **Data Conversion Support**: The RPC will need RSC staff assistance to conduct validations and testing of case data converted from WRAPS to START, as well as responding to data calls and corrections, in the 2-3 months before an RSC's deployment. We expect data validations and testing to take approximately 175 hours of staff time. We expect data calls and corrections to take 40 to 60 hours at all RSCs except for RSC Africa where we expect it to take 80 hours.

   - **Training and Local SOP Development**: We expect **all** RSC staff that will use START to participate in training prior to deployment. Training will generally occur within the month before an RSC's deployment. Training will last approximately 50-60 hours and will take two to three weeks depending on the RSC's time zone and the RPC's ability to adjust for the time change. RSC Power Users will be called on to assist with training activities in addition to the SSC, in some instances leading training sessions themselves. We also expect some RSC staff, primarily supervisors, to support drafting of local SOPs that deviate from the START Master SOPs. SSCs, Power Users, and key supervisors will participate in processing conversations beginning 5-6 months ahead of deployment

(approximately 12 meetings, 60-90 minutes/meeting), in order to complete a Business Process Impacts Mapping and inform local SOP drafting.

- **Deployment Planning/Readiness**: Key staff including supervisors and RSC leadership will evaluate Access and Assignment groups for the entirety of RSC staff to determine the level of access provided to their user base in START. Review of Assignment groups for the RSC will reflect the internal team structure of the RSC and may necessitate the RSC to spend time evaluating its organizational structure. The SSC and Power Users will also review spreadsheets of dropdown lists (e.g. supporting document types) in START prior to deployment and provide recommendations, as well as provide information around partner applications used at their RSC. Depending on the size of an RSC (both in terms of staffing and case size) these activities may take 20 hours or more to complete.

- **Reporting**: RSC Data Integrity teams will work collaboratively with SSCs in the months leading up to deployment to re-evaluate and recreate reports in the new Tableau data lake using START data. These POCs will also complete analysis on START Filtering capabilities and identify RSC workflow enhancements. Hours of engagement will vary, however, depending on the number of reports an RSC has, and the size of its Data Team, data teams may spend several weeks fully dedicated to START-related reporting transition tasks.

3. The following includes RSC required equipment for WRAPS/START. Please note the equipment listed below is the "minimum" requirement. The RSC may exceed any of the recommendations. Should the RSC replace a previous RSC in the same location and find that the existing hardware does not meet the minimum requirements specified in document, the new RSC staff will be responsible for any and all necessary upgrades.

- **Facility Server/IT Room**

   o The RSC is responsible for providing and maintaining an IT server room capable of housing all the necessary networking, computer, and telephony hardware required to support the business operations of an RSC. This includes space, power (minimum two-15amp circuits per device), enterprise UPS (uninterruptible power supply) solution, cooling, and fire suppression solution.

   o The RSC is responsible for enforcing physical access authorization at entry/exit points to the server room by (at minimum);

- Verifying individual access authorizations before granting access to the facility

- Controlling ingress/egress to the facility using well defined physical access control systems/devices and/or guards

- Providing security safeguards to control access to areas within the facility officially designated as publicly accessible;

- Escorts visitors and monitors visitor activity

o The RSC will hold in reserve the necessary IT server capacity (i.e. space, power, enterprise UPS (uninterruptible power supply) solution, and cooling) required to provide colocation services for a WRAPS/START on premise solution.

o Networking

- CISCO 4431 Routers – minimum 2

- U.S. manufactured commercial grade switch(es) – minimum 2

o Firewall

- A pair of CISCO ASA or Palo Alto (with VLAN separation) and IPSec VPN tunnel to RPC

o Structured cabling (wireless access is prohibited)

- Cable run from wall jacks to patch panel in wiring closet

- RJ45 patch cables to connect PC to wall jacks

- RJ45 patch cables to connect patch panel to LAN switched

o Telecommunications. The RSC must have an primary and alternate Internet Service Provider (ISP) with a minimum of:

- Primary link: 50/50 MB dedicated link

- Alternate link: 20/20 MB dedicated link – This will only be used when primary link is not available for more than 72 hours

- IP subnet with at least 14 usable host addresses

- **RSC Office Operations:** Server Hardware to function as an RSC. The following equipment/software is representative of an environment to support desktops accessing WRAPS. If not already available, it should be included in the proposal.

- o Domain Controller
  - 1 Dual Core Processor 64-bit
  - 8 GB RAM
  - 2 – 80 GB SATA Disk Drives
  - CD-RW/DVD-ROM
- o Enterprise Level Microsoft Exchange & File Server (2 Servers)
  - 2 Dual Core Processors 64-bit
  - Minimum 16 GB RAM
  - Minimum 2TB Storage
  - CD-RW/DVD-ROM
  - RAID Controller
  - Spam Filtering Solution
  - Tape Drive for backups
  - Redundant Power Supply
  - Redundant Fan Kit
- o Server Software
  - All non-WRAPS Servers:
  - Windows Server 2012 or higher (2016 recommended)
  - Commercial grade Anti-Virus Software
  - Automated patch management and compliance reporting
  - Backup Software
- o Required Peripherals
  - Network Printer(s)
  - Network Label Printer (Zebra LP2844 is utilized at the RPC)
  - Digital Camera
  - Double-sided Image Scanner
  - Copy Machine(s)

- Fax Machine(s)/Service
- Telephony System
  - All caseworkers and supervisors must have access to a telephony solution that provides the ability to make and receive local and long distance phone calls. This may be achieved via a third party VOIP solution (recommend US based solutions), traditional telephony provider, or a combination of both.
    - VOIP solutions should be monitored and controlled. The RSC should established usage restrictions based on the potential to cause damage if used maliciously
    - If RSC decide to procure a cloud based VOIP solution. The RSC is responsible to make sure they are choosing FedRAMP certified solution.
- Workstation Desktops
  - Each caseworker and each supervisor at the RSC must have at least a 64-bit capable Intel or AMD desktop computer with the following minimum requirements:
  - Workstation Hardware
    - Minimum 8 GB RAM
    - Minimum 100 GB Hard Disk
    - CD/DVD-ROM Drive
    - 4 USB Ports
    - 17-in Monitor
  - Workstation Software
    - Windows 10 Professional or Enterprise
    - Microsoft Office 2013
    - Microsoft Internet Explorer 11 or higher
    - Google Chrome
    - Adobe Acrobat Reader

> ➢ Commercial Anti-Virus Software – RSCs need approval from the RPC Security Team on type of software

> ➢ Full disk encryption for all RSC workstations

Note: Kaspersky products are not permitted.

- o Security & Compliance

  - ▪ The RPC will be responsible for assessment, authorization and continuous monitoring of WRAPS/START application and components.

  - ▪ In accordance with Federal Information Security Act (FISMA), the RSC is responsible for implementing appropriate security controls and assurance requirements for a "moderate impact" system as described in NIST Special Publication (SP) 800-53 Revision 4.

  - ▪ The RSC is required to adhere to PRM Integrity & Compliance guidelines. Note: These guidelines align with the requirements identified in NIST SP 800-53 Rev.4.

  - ▪ The RSC information systems must be able to receive an authorization to operate (ATO) in accordance with NIST SP 800-37 Rev 2. The ATO assessment will be conducted by the RPC through an RPC-procured auditor. The audit findings and recommendations to issue an ATO will be adjudicated by the RPC security team for final determination.

  - ▪ The auditor will start contacting RSCs starting in FY 2022 to schedule audits. The RSC does not need to budget for this audit as it will be funded and coordinated by PRM.

  - ▪ In preparation for the RSC information system assessment and authorization, the RSC is responsible for developing all required documentation in accordance with NIST SP 800-37 Rev 2. RSCs are encouraged to obtain a NIST external audit as a "dry run" in FY 2021 to prepare for the official PRM/RPC audit if they have not received one already. The list below defines, but is not limited to, minimum documentation required:

Document/Artifact Name	Standards/Guidance
Security Categorization Document	NIST SP 800-37 REV 2, SP-800-53 REV 4:RA-2, FIPS 199
Minimum Security Controls Selection Document	NIST SP 800-37 REV 2, FIPS 200
E-authentication Risk assessment	NIST SP 800-37 REV 2 , SP-800-53 REV 4:RA-2
Privacy Threshold Analysis (PTA)	NIST SP-800-37 REV 2, SP-800-53 REV 4:AR-2
Privacy Impact Assessment (PIA)	NIST SP-800-37 REV 2, SP-800-53 REV 4:AR-2
External Interconnection Security Agreement(s)	NIST SP 800-47, SP-800-53 REV 4:CA-3,FIPS 199
Plan of Action and Milestones (POA&M)	NIST SP 800-53 REV 4:CA-5, OMB Memorandum 02-01
Continuous Monitoring Strategy	NIST SP 800-53 REV 4:CA-7, OMB Memorandum 11-33
Internal Interconnection Agreement(s)	NIST SP 800-53 REV 4:CA-9
Configuration Management Plan	NIST SP 800-53 REV 4:CM-9 (CM-2, CM-3, CM-4, CM-5, CM-6, CM-7, CM-8), NIST SP-800-128
Contingency Plan	NIST SP 800-53 REV 4:CP-2,CP-6, CP-7, CP-9, CP-10, NIST SP 800-34 REV. 1
Contingency Plan Testing, Training & Exercise	NIST SP 800-53 REV 4: CP-3,CP-4, NIST SP 800-34 REV. 1, FIPS-199
Incident Response Plan	NIST SP 800-53 REV 4:IR-2, IR-3, IR-9, NIST SP 800-61

Security Awareness and Training Plan	NIST SP 800-53 REV 4, AT-2,AT-3,IR-2, Executive Order 13587
System Security Plan	NIST SP 800-37 REV 2, NIST SP 800-53 REV 4:PL-2
Rules of Behavior (Users, privileged users)	NIST SP 800-53 REV 4:PL-4, NIST SP 800-18
Information System Hardware/Software Inventory	NIST SP 800-53 REV 4:CM-8, NIST SP 800-128
Information Security Architecture Diagram	NIST SP 800-53 REV 4:PL-8
Vulnerability Scans (Web, OS, and database)	NIST SP 800-53 REV 4:RA-5, NIST SP 800-40

- o Information Assurance

    - RSCs should ensure all staff review and sign applicable Rules of Behavior/Acceptable Use Policy within 30 days of receiving an account. This policy defines the local RSC rules users must follow and acceptable use of the system.

    - RSCs should develop a formal process to ensure all processing staff receive initial and yearly Information Awareness training. RSCs should maintain a current roster of general users and those that maintain elevated privileges (i.e. Administrators).

    - RSCs should develop a system plan to include a network diagram, a record of all connections to RPC and other partners, and an up to date inventory of hardware/software.

    - The RPC provides the curriculum to facilitate both general training geared towards all staff and privileged user training, which covers advanced principles of IT Security, policies, and procedures.

- o Vulnerability Scanning and Maintenance

    - Each RSC is responsible for the maintenance and security of their own equipment but must adhere to an acceptable security standard. This requires that the RSC do regular vulnerability scanning and

patching of all desktops and servers on their network. To ensure that this is maintained, RSCs must provide scan data on a monthly basis to the RPC Security Team at RPC-Security@wrapsnet.org and to the RPC Director. One of the following scanning solutions is recommended:

- ➢ Nexpose Rapid 7
- ➢ Tenable Network Security (Nessus)
- ➢ Qualys

- o Incident handling

  - ▪ The RSC is responsible for implementation of incident handling capability for security incidents that includes preparation, detection and analysis, containment, eradication and recovery. Incident-related information can be obtained from a variety of sources including but not limited to, audit monitoring, network monitoring, physical access monitoring, user/administrator reports and inside threat program. It is recommended that the RSC should employ automated mechanisms to support the incident handling process.

- o Backup and disaster recovery

  - ▪ The RSC is responsible for an enterprise level backup and recovery solution that includes the backup of all servers with regular weekly rotation full backups held offsite for a minimum of 6 months. All backup data must be encrypted at rest. Evidence of a Disaster Recovery plan and the results of a Disaster Recovery test should be provided to the RPC Security Team at RPC-Security@wrapsnet.org and to the RPC Director on an annual basis.

  - ▪ Circuit Ride Laptops: With the transition from WRAPS to START, RSCs that use circuit ride servers should not procure any new equipment outlined below without consultation and approval from their program officer and the RPC. The circuit ide server itself, containing the WRAPS application, will be provided. Include all other equipment required to use the circuit ride server in the field.

  - ▪ Hardware – laptops to connect to circuit ride server

    - ➢ Workstations/laptops, LAN equipment and switches for circuit ride processing are determined by local circuit ride requirements

- The workstations and/or laptops should have BitLocker or equivalent encryption

- Any external devices should be encrypted (for instance Ironkey Thumbdrives should be used)

- Printers, Label Printers, Scanners, Digital Cameras, etc. as needed

o Additional Information: The RPC utilizes HP equipment for servers, desktops, and network printers. Both AMD and Intel-based processors are acceptable for desktops. Also, Cisco is the preferred manufacturer for the networking/security infrastructure. Any subscription-based anti-malware/anti-virus products should be sufficient. Symantec is utilized at the RPC and has been verified to not interfere with WRAPS/START operations.

Appendix 4: RSC Scorecard Template

FY 2022 RSC Proposal Review
Rating Sheet

Organization	
RSC Region	
Same as current organization?	Yes ☐ No ☐ If new organization list here:
Rater # (to be assigned at review)	
Total Score	

Criteria	Score
I. Organizational Structure & Management Capacity (20 points)	
II. Processing Expertise and Plan to Achieve Objectives (20 points)	
III. Cultural Orientation (5 points)	
IV. Coordination with Stakeholders (5 points)	
V. Training, Monitoring, & Oversight (20 points)	
VI. Risk Management (5 points)	
VII. Accountability to Affected Populations (5 points)	
VIII. Gender Analysis (5 points)	
IX. Budget (15 points)	
Total (out of 100)	

I. Organizational Structure and Management Capacity (20 points)
- Ability to provide regional refugee processing services for all USRAP applicants regardless of nationality, religion, gender, sexual orientation, political opinion, race or ethnicity;
- Ability to collaborate equitably with all resettlement agencies;
- Headquarters capacity to provide oversight and management;
- RSC activities effectively consider the specific and unique protection and case processing needs of potentially vulnerable and underserved groups;
- Organizational structure, description of FTEs, and justification for FTE levels based on projected caseload
- Ability to maintain system security posture, comply with PRM security requirements and protect refugee data

SCORE: _____ /20

II. Processing Expertise and Plan to Achieve Objectives (20 points)
- Proposed processing plan that addresses refugee caseload and program objectives and requirements, and shows how resources (staffing, equipment) link to potential number of departures based on data, past experience, and taking into account the organization's capacity development plan;
- Ability to implement Standard Operating Procedures and adapt quickly to changing requirements ;
- Communication strategy for disseminating information to refugees in line with confidentiality guidelines;
- If applicable, detailed plan outlining how the organization will assume responsibility for the RSC; including logistics, staffing and timeframe for transition.

SCORE: _____ /20

III. Cultural Orientation (5 points)
- Plan to develop and implement curriculum to prepare refugees for travel and initial adjustment to life in the United States;
- Incorporates the Bureau's cultural orientation guidelines and other materials developed by the cultural orientation technical assistance provider

SCORE: _____ /5

IV. Coordination with other Stakeholders (5 points)
- Capacity to coordinate effectively with partners (UNHCR, IOM, US Embassy, USCIS, other NGOs)

SCORE: _____ **/5**

V. Training, Monitoring and Oversight (20 points)
- Develop and implement annual and new staff training plans, addresses how plan will strengthen service delivery;
- How applicant will ensure compliance with PRM's USRAP Manual Integrity and Compliance module;
- Evidence of capacity to monitor processing and cultural orientation activities, and perform robust quality control to ensure staff adhere to USRAP SOPs to ensure program standardization where possible;
- Establish and document procedures for fraud mitigation strategies and compliance with USRAP Manual Integrity and Compliance requirements;
- Capacity to provide timely and accurate reporting on activities;

SCORE: _____ **/20**

VI. Risk Management (5 points)
- Risk analysis is specific to operations at the RSC, addresses potential programmatic or administrative risks (including fraud or corruption)
- Analysis specifically examines the risk that the program may inadvertently benefit terrorists or their supporters and includes a responsive mitigation plan/action;

SCORE: _____ **/5**

VII. Accountability to Affected Populations (AAP) (5 points)
   a) Organizational framework that adheres to Inter-Agency Standing Committee AAP guidelines;
   b) Procedures for collecting, analyzing, and responding to beneficiary feedback throughout processing process

SCORE: _____/5**

VIII. Gender Analysis (5 points)
   a) Analysis explaining experiences of gender dynamics and roles within target populations, associated risks experienced by vulnerable populations, power imbalances, and proposed responses to mitigate differences in access, participation, or decision making.

SCORE: _____/5**

IX. Budget (15 points)
   a) Detailed and cost-effective budget including justification for staffing, travel, and other funding needs.
   b) Does the budget detail follow the instructions in Appendix 2?
      ☐ Yes   ☐ No
   c) Does the budget narrative follow the template in Attachment A?
      ☐ Yes   ☐ No

SCORE: _____/15**