

**U.S. Department of Education  
OFFICE OF POSTSECONDARY EDUCATION  
International and Foreign Language Education  
Washington, DC 20202**

[www.ed.gov/ope/iegps](http://www.ed.gov/ope/iegps)

**FY 2016  
APPLICATION FOR GRANTS  
under the  
AMERICAN OVERSEAS RESEARCH CENTERS PROGRAM**

**CFDA NUMBER: 84.274A**

FORM APPROVED

OMB No. 1840-0006

Expiration Date: TBD



**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE: TBD**

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Dear Applicant:

Thank you for your interest in applying for a fiscal year (FY) 2016 grant under the American Overseas Research Centers (AORC) program. Included in this application booklet are the program introduction, instructions, and forms needed to submit a complete application package to the U.S. Department of Education.

The AORC program provides grants to consortia of United States institutions of higher education to establish or operate an AORC that promotes postgraduate research, exchanges, and area studies.

The U. S. Department of Education has announced an invitational priority for the FY 2016 competition. We encourage all applicants to include information in their AORC program applications that addresses the invitational priority. For additional information about this priority, please refer to the Notice Inviting Applications published in the Federal Register and included in the application package.

Applications for the AORC program must be submitted electronically using the Grants.gov system, accessible through the Department's Grants.gov site at: [www.Grants.gov](http://www.Grants.gov). If you think you may need to obtain an exception, you are urged to review the requirements closely as the requirements for obtaining an exception to the electronic submission have changed. Applications submitted late will not be accepted. **We suggest that you submit your application several days before July 8, 2016 by 4:30:00 p.m. Washington, D.C. time.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline.

We encourage you to review the entire application package before preparing and submitting your application. Information on the AORC program is accessible through the U.S. Department of Education Web site at:

[www.ed.gov/programs/iegpsaorc/index.html](http://www.ed.gov/programs/iegpsaorc/index.html)

We look forward to receiving your application and appreciate your efforts to promote excellence in international education. If you have any questions or require additional information, please contact Cheryl Gibbs, Director, Advanced Training and Research Division and Senior Program Officer for the AORC program at (202) 453-5690 or you may send an email to [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov)

We look forward to receiving your application and appreciate your contribution to strengthening U.S. capacity in international education.

Sincerely,

/s/

Mohamed Abdel-Kader  
Deputy Assistant Secretary  
International and Foreign Language Education

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## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information

collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. The obligation to respond to this collection is required to obtain or retain benefit (20 USC 1128a). If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form, please contact Cheryl E. Gibbs, International and Foreign Language Education, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, D.C. 20202-4260.

1. **Grants.gov Submission Requirement**: Applications for FY 2016 grants under the AORC program must be submitted **electronically using Grants.gov**. For information about submitting your application through Grants.gov, you should review and follow the “U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants” included in this application package. You are urged to acquaint yourself with the Grants.gov procedures early to ensure sufficient time for completing the registration process and submitting your application in a timely manner, as the registration process may require 5 or more days to complete.

Grants.gov is accessible through its portal page at: **<http://www.Grants.gov>**.

You must upload any narrative sections and all other attachments to your application as files in a .PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application instructions.

2. **Page Limitation**: The page limit for Part III, Program Narrative, is **30 pages**. The Program Narrative is where you address the selection criteria used to evaluate applications.
3. **Waiver to the Electronic Submission Requirement**: The requirements for obtaining an exception to the electronic submission are included in the Notice Inviting Applications for New Awards for FY 2016. If you think you might need an exception, you should review the exception requirements early in the application process. The Department must receive your written waiver request and justification at least fourteen days prior to the application deadline date.
4. **Uploading and Submitting using Grants.gov**: The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov

Please note that you must submit your application by 4:30:00 p.m. (Washington, D.C. time) on or before the application deadline date (estimated **July 8, 2016**). Late applications will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

**NOTE**: Grants.gov does not allow applicants to “un-submit” applications. Therefore, if you discover that you need to make revisions to your application after you have submitted it, **you must submit another application on or before the application deadline date**. The Department will accept and process the application with the latest “date/time received” validation.

5. **Grants.gov Support:** For Grants.gov related questions and assistance, please call toll-free at 1-800-516-4726, or e-mail Support@grants.gov. The Support Desk is available 24 hours, 7 days a week except Federal holidays.
6. **AORC Program Invitational Priorities:** For the FY 2016 competition, the U.S. Department of Education is particularly interested in applications that address the following invitational priorities:

*Projects that propose outreach and related activities designed to inform scholars and faculty at community colleges and minority-serving institutions of potential fellowship and other research and professional development opportunities at the Overseas Centers and encourage and facilitate the participation of these individuals in Center programs.*

*Projects that propose to leverage technology to provide open access to the Overseas Center's resources such as conference proceedings, and teaching, research, and outreach materials for use by the scholarly and general public.*

Under 34 CFR 75.105(c) (1), we do not give an application that meets this priority a competitive or absolute preference over other applications.

7. **Project Abstract:** Provide a one-page abstract. The abstract should describe the purpose of the overseas center and the constituents it serves. The abstract should also provide an overview of the activities proposed and identify the invitational priority/ies which the Center proposes to address. You may single-space the abstract, which does not count toward the page limit. Upload the project abstract using the **ED Abstract Form** in Grants.gov.
8. **Performance Measure Form(s) (PMFs):** Insert the PMFs after your response to criterion 8, "Quality of the project evaluation", in the **Part III, 30-page Project Narrative**. Use the PMFs to present the project goals, performance measures, and activities for the proposed project period. You will provide data indicators, frequency, data sources, and baselines and targets at a later time, **ONLY** if your application is successful.

The FY 2016-19 AORC grant cycle includes the following budget periods:

FY 2016-17 (October 1, 2016 – September 30, 2017)

FY 2017-18 (October 1, 2017 – September 30, 2018)

FY 2018-19 (October 1, 2018 – September 30, 2019)

FY 2019-20 (October 1, 2019 – September 30, 2020)

9. **Estimated Funding Levels:** The following FY 2016 funding levels are estimated amounts only. The Department is not bound by these estimated amounts.
  - Estimated Available Funds: \$650,000
  - Estimated Size of Awards: \$65,000 per year
  - Estimated Number of Awards : 10

## INTRODUCTION

### AMERICAN OVERSEAS RESEARCH CENTERS PROGRAM

## **AUTHORIZATION**

Title VI, Part A, sections 601 and 609 of the Higher Education Act of 1965, as amended.

## **PURPOSE**

The AORC program provides grants to a consortium of United States institutions of higher education to establish or operate an AORC that promotes postgraduate research, exchanges, and area studies.

## **PROGRAM REGULATIONS**

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 86, 97, 98 and 99. (b) The Education Department suspension and debarment regulations in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

## **ELIGIBLE APPLICANTS**

Any American overseas research center that is a consortium of United States institutions of higher education that receives more than 50 percent of its funding from public or private United States sources; has a permanent presence in the country in which the center is located; and is an organization described in section 501(c) (3) of the Internal Revenue Code of 1993, which is exempt from taxation under section 501 (a) of the Code.

## **ACTIVITIES FUNDED UNDER THIS PROGRAM**

AORC grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including—

- The cost of operation and maintenance of overseas facilities
- The cost of organizing and managing conferences
- The cost of teaching and research materials
- The cost of acquisition, maintenance, and preservation of library collections
- The cost of bringing visiting scholars and faculty to the center to teach or to conduct research
- The cost of faculty and staff stipends and salaries
- The cost of faculty, staff, and student travel
- The cost of publication and dissemination of materials for the scholarly and general public

## **SUPPLEMENTAL INFORMATION**

The following information supplements the information provided in the “Dear Applicant” letter and the Notice Inviting Applications (NIA).

- 1) **Budget Information**: Your proposed four-year budget includes costs to establish or operate the overseas center and to conduct the allowable activities under the AORC program. Funds under this program are to establish and operate overseas centers. Therefore, costs to support the salaries and operational costs at U.S. based offices should be held to a minimum.
- 2) **Indirect Cost Rate**: The AORC program is designated a training grant program. Therefore, the Education Department General Administrative Regulations (EDGAR)

limit reimbursement of indirect costs under training grants to non-governmental grantees. These grantees may recover indirect costs under training grants up to the grantee's actual indirect cost as determined by the grantee's negotiated indirect cost agreement or 8 percent of MTDC, whichever is lower. Applicants should not exceed this rate for their proposed projects.

- 3) **Intergovernmental Review of Federal Programs**: The AORC program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Applicants must contact the appropriate State Single Point of Contact (SPOC) for specific information about the process under Executive Order 12372. A listing of the Single Point of Contact for each State may be viewed at: <http://www.whitehouse.gov/OMB/grants/spoc.html>.

Submit the application to the SPOC, if applicable, 90 days after July 8, 2016.

- 4.) **AORC Eligibility Certification Form**: All applicants must demonstrate compliance with the program limitations in section 609 (c) of the authorizing statute. Complete the and upload the AORC Eligibility Certification Form included in this application package using the “**Other Attachments Form**” function in the Grants.gov application package.

5.) **Appendices**:

- a) Curriculum vitae for key personnel, e.g. the domestic and overseas project directors, external evaluators, etc. Please limit each CV to two pages. Provide position descriptions (also limit to two pages) for proposed positions.
- b) List of United States institutions of higher education that are members of the consortium.
- c) Eligibility Limitations Certification Form

- 6.) **Application Review Process**: A panel of non-Federal peer reviewers with area studies, international studies, evaluation, and foreign language expertise will review each application in accordance with the EDGAR selection criteria.

- 7.) **Selection Criteria**: The selection criteria use to evaluate this program are from 34 CFR 75.209(a) and 75.210 in the Education Department General Administrative Regulations (EDGAR). The selection criteria including the maximum points possible are listed in this application.

- 8.) **Notifying Applicants**: If your application is successful, we notify your U.S. Representative and U.S. senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

**Electronic Notification Option for Grant Awards**

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); **OR** we may send you an e-mail containing a link to access G5, the Department's Grant Management System. The email will be sent to both the project director and certifying representative in order for them to view and print the Adobe Acrobat version of the electronically signed GAN. If neither the project director nor certifying representative is registered in G5, they will immediately be prompted to register once the link is accessed. **The electronic signature and issuance of the GAN makes it crucial that your**



**application include correct email addresses for both the project director and certifying representative.**

9.) If your application is not evaluated or not selected for funding, we notify you.

10.) All applicants will receive copies of the peer reviewers' evaluations.

11.) **IRIS Performance Reports**: If you are awarded a new FY 2016 –19 grant, you will be required to submit fall interim, spring annual, and a final performance report in the International Resource Information System (IRIS) web based data and reporting system. We require grantees to submit annual performance data to assess whether the grantee is making substantial progress toward achieving its stated goals. Our recommendation for continuation funding is based on the annual performance report and our making a determination of substantial progress. You can view the IRIS screens at: [www.http://iris.ed.gov/iris/pdfs/AORC.pdf](http://iris.ed.gov/iris/pdfs/AORC.pdf)

12.) **Contact Information**:

**For answers to program related questions, please contact--**

Cheryl E. Gibbs  
International and Foreign Language Education  
U.S. Department of Education  
400 Maryland Avenue, SW, room 3E 245  
Washington, D.C. 20202-4260  
Telephone: (202) 453-5690  
E-mail: [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov)

**For answers to technical questions about Grants.gov, please contact—**

Support Desk:	Grants.gov Support Desk
Telephone:	800-518-4726
Hours:	24 hours, 7 days a week, except Federal holidays
Email:	<a href="mailto:support@grants.gov">support@grants.gov</a>

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
**Grants.gov Application Submission Procedures and Tips for Applicants**

<http://www.Grants.gov>

**IMPORTANT – PLEASE READ FIRST**

**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

**ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) [Note: Your organization will need to update its SAM registration annually (formerly Central Contractor Registry (CCR)<sup>1\*</sup>.]
  
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

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<sup>1</sup> Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov: <http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html>.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the SAM (formerly CCR - Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### Helpful Hints When Working with Grants.gov

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/contactus/contactus.jsp> for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/applicants/submit\\_application\\_faqs.jsp](http://www.grants.gov/applicants/submit_application_faqs.jsp).

### Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### MAC Users

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when

attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: [http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp).

2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

## **Grants.gov FY 16 AORC Application Instructions**

The Grants.gov application contains four parts. Please develop and submit your application in the following order:

**Part I:** **Title page form**-Application for Federal Assistance SF 424 and U.S. Department of Education Supplemental Information for the SF 424 Form

**Notes regarding Part I:**

- Applicants must complete the SF 424 form first, because information that you provide on the SF 424 automatically populates other sections of the Grants.gov application package.
- ***DO NOT*** attach any narratives, supporting files, or other information to the SF 424. Although the SF 424 accepts attachments, the Department of Education will only review attachments that are requested in Part II and Part III below.

**Part II:** **ED 524 Form Department of Education Budget Summary Form**  
Section A - Budget Summary Non Construction Programs  
Section B - Budget Summary Non-Federal Funds

**Notes regarding Part II:**

- Section B- Budget Summary Non-Federal Funds. The “Section B Budget Summary Non-Federal Funds” form is required in the application only if the program legislation requires **cost-share or matching** funds. The **AORC program does not have such a requirement**. Therefore, be advised that if you include this form in your application and if you are recommended for a grant, the Department will hold the center accountable for matching any funds reported in Section B.
- **DO NOT** include Section C – Budget Narrative (the detailed budget) in Part II. Instead, please upload Section C – Budget Narrative as an attachment form in **Part III**.

**Part III:      Attachments**

**ED Project Abstract Form** (one page, single-spaced; does not count toward the 30-page limit)

**Program Narrative Attachment Form** (the 30-page narrative that addresses the eight selection criteria and includes the Performance Measure Form(s))

**Other Attachments Form**

**Curriculum Vitae and Position Descriptions** (2-page maximum for each person/position)

**List of Institutions of Higher Education in the Consortium**

**Eligibility Certification Form**

**Section C - Budget Narrative Attachment Form** (detailed budget for the 4-year project period)

**Notes regarding Part III:**

- **All attachments must be in a .PDF format. Other formats will not be accepted.**
- Please include a table of contents (TOC) at the beginning of the Program Narrative (the TOC does not count toward the page limitation). **Refer to the Notice Inviting Applications for detailed information about page limits and formatting requirements.**
- The project abstract is not counted toward the 30- page limitation.
- The **Program Narrative Attachment Form** is where you attach the 30 pages that address the **selection criteria**. This is where you will also describe the goals for the project and include the Performance Measure Forms (PMFs) which present project goals, performance measures, activities, data indicators, frequency, data source, and baselines and targets. This Project Narrative, including the PMFs, is limited to 30 pages only.
- The response to the “Adequacy of Resources” selection criterion is where you describe the extent to which the budget is adequate to support the proposed project, and that the costs proposed are reasonable and necessary to accomplish the project activities. **Section C-Budget Narrative Attachment Form** is where you present the four-year detailed budget with itemized costs.

- The “**Other Attachments Form**” allows you to attach multiple attachments. The CVs, List of Institutions, Eligibility Certification Form, and Section C Budget Narrative must be attached in the “**Other Attachments Form**” section.

**Part IV: Assurances, Certifications, and Survey Forms**

ED-GEPA Section 427 Requirement  
 Assurances – Non-Construction Programs (SF 424B)  
 Grants.gov Lobbying Form (formerly ED Form 80-0013)  
 Survey on Ensuring Equal Opportunity for Applicants  
 Disclosure of Lobbying Activities (SF-LLL)

**PROGRAM NARRATIVE**

The following information supplements the information provided in the “Dear Applicant” letter, “Competition Highlights,” and the Notice Inviting Applications (NIA).

**The Program Narrative is to be attached to the Part III Program Narrative Attachment Form in the Grants.gov application.**

The Secretary evaluates AORC applications using the selection criteria listed in this application package. The Program Narrative should provide substantive information that addresses all factors in each selection criterion. A summary of the total points possible for the criteria appears below.

You must limit the Program Narrative to **30 pages** and adhere to the formatting standards published in the Federal Register Notice Inviting Applications (NIA). Please refer to the Content and Form of Application Submission section of the NIA for specific guidance.

To facilitate the review of your application, present the Program Narrative in the following sequence because this is the how the selection criteria appear on the technical review form that reviewers will use to evaluate your application:

(1) Meets the purpose of the authorizing statute	(20 points)
(2) Need for project	(15 points)
(3) Significance	(10 points)
(4) Quality of the project design	(10 points)
(5) Quality of project services	(10 points)
(6) Quality of project personnel	(10 points)
(7) Adequacy of resources	(10 points)
(8) Quality of the project evaluation	(15 points)
<b>Total Possible Points</b>	<b>100 points</b>

**INSERT THE PERFORMANCE MEASURE FORM(s) IN ONE SECTION AFTER SELECTION CRITERION (8).**

*(1) Meets the purpose of the authorizing statute (up to 20 points)*

The extent to which the applicant's project

- (a) promotes postgraduate research, exchanges, and area studies;
- (b) contributes to the development of a pool of international experts to meet national needs; (c) promotes access to research and training overseas.

*(2) Need for project (up to 15 points)*

(a) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project; (b) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses; (c) The extent to which the proposed project will prepare personnel for fields in which shortages have been demonstrated.

*(3) Significance (up to 10 points)*

(a) The national significance of the proposed project; (b) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.

*(4) Quality of the project design (up to 10 points)*

(a) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; (b) The extent to which the proposed activities constitute a coherent, sustained program of training in the field; (c) The extent to which the proposed project represents an exceptional approach to the priority or priorities established for the competition.

*(5) Quality of Project Services (up to 10 points)*

(a) The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally underrepresented based on race, color, national origin, gender, age, or disability; (b) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

*(6) Quality of project personnel (up to 10 points)*

(a) The extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability; (b) The qualifications, including relevant training and experience of key project personnel.

*(7) Adequacy of Resources (up to 10 points)*

(a) The extent to which the budget is adequate to support the proposed project; (b) The extent to which the proposed costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

*(8) Quality of the project evaluation (up to 15 points)*

(a) The extent to which the methods of evaluation are appropriate to the context within which the project operates; (b) The extent to which the methods of evaluation include the



use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantifiable and qualitative data to the extent possible.

*Total Points Possible: (up to 100)*

## **INSERT THE PERFORMANCE MEASURE FORM(S) IN ONE SECTION AFTER SELECTION CRITERION (8)**

### **PERFORMANCE MEASURES FORM**

**Performance Measure Form(s) (PMFs):** You must insert the PMFs in one section after selection criterion (8), “Quality of the project evaluation”, as part of the 30-page **Project Narrative (Part III)**. The number of PMFs you include is contingent upon the total number of project goals you propose for the four-year project period. You may have a minimum of three and no more than five project goals; thus, a minimum of three PMFs and no more than five PMFs. Please insert all PMFs in one section after the selection criteria narratives. Each PMF includes the Project Goals, Performance Measures, Activities, Data Indicators, Frequency, Data Source, Baselines and Targets that you have selected as necessary to demonstrate your project’s performance. **For the purposes of this application, you should include ONLY the Project Goals, Performance Measures, and Activities in the PMF. You will provide Data Indicators, Frequency, Data Sources, and Baselines and Targets at a later time, ONLY if your application is successful.** Information provided in each section of the PMF will make it possible to assess the project’s progress toward, and ultimate achievement of, its goals in a clear, relevant, and quantifiable manner. You may submit PMFs for a minimum of 3 and no more than 5 project goals (with the other required elements).

#### **PROJECT GOAL (Min. 3; Max. 5)**

A project goal is a broad, overall statement of what the project is aiming to achieve/accomplish. The Project Goals selected for your PMFs do not have to cover every aspect or goal in your proposed application, but the three to five that you do select must align with the overall scope of your proposal. The Project Goals that you select should be reasonable and realistic representations of what you anticipate achieving by the end of the grant cycle; they should allow you and others to make a determination of your project’s substantial progress.

#### **PERFORMANCE MEASURES (Min. 1; Max. 3)**

The performance measure (s) is the metric against which you will measure whether the project is meeting its overall Project Goal. It should be specific and time-bound, with well-defined units of measure (increases in number of scholars, number of MSI faculty collaborations, etc.). It should reflect the Project Goal, so that meeting the Performance Measure(s) would result in the achievement of the Project Goal. The Performance Measure(s) may address direct products and services delivered by a program (outputs), and/or the results of those products and services (outcomes).

#### **ACTIVITIES (Min. 1, Max. 3)**

Activities are the actions the applicant will carry out in order to meet the Performance Measure(s) and achieve the Project Goal. Each Performance Measure will have one, and up

to three, Activities. You may wish to include more than one Activity, if more than one Activity is necessary to meet a Performance Measure. In addition, if meeting the Performance Measure will take longer than one reporting period, you may include up to two additional “interim” Activities to measure yearly progress toward meeting the Performance Measure. This will provide concrete evidence of progress to include in every IRIS annual performance report.

Examples of Activities for an establishing an overseas language program might include:

- Recruit and hire qualified priority language instructors
- Support OPI training
- Provide access to innovative instructional pedagogy such as Content and Language Integrated Learning

**DESCRIPTIONS OF THE FOLLOWING ITEMS ARE PROVIDED FOR INFORMATIONAL PURPOSES ONLY. Please do not include these items in your application narrative PMFs. You will provide Data Indicators, Frequency, Data Sources, and Baselines and Targets at a later time, ONLY if your application is successful:**

**DATA INDICATORS** (Min. 1; Max. 3)

Data indicators are specific, observable, and measurable characteristics that can be used to determine whether carrying out the activity results in progress being made toward meeting the Performance Measure. Data Indicators are therefore linked to and should reflect both the Activity and the Performance Measure. **One Data Indicator must correspond directly to the Performance Measure so that this relationship is explicit and so that evidence of meeting the Performance Measure is easy to document and express.** When deciding on a Data Indicator, consider which types and sources of data e;; best demonstrate that the project is achieving, or will achieve, its objectives and intended outcomes.

**FREQUENCY**

Frequency is the period of measurement, e.g., monthly, quarterly, annually. Each Data Indicator must have a Frequency for collecting.

**BASELINES and TARGETS**

The Baseline is the initial value collected for the Data Indicator, at or prior to the start of the project, which serves as a point of reference. The Target is the planned value for the Data Indicator over the course of the project period. For performance reporting, you will provide the “Actual” value for the Data Indicator at the time of reporting. Baselines, Targets, and Actuals are numerical, and therefore, quantitative. Baselines, Targets, and Actuals may be numbers or percentages.

**Targets may be discrete for each reporting period or cumulative over the course of the performance period.**

**Sample Performance Measure Form (PMF)**

<b>PROJECT GOAL:</b> Increase number of scholars from MSIs conducting postgraduate research overseas with assistance from the center.										
Performance Measures	Activities	Data Indicators	Frequency	Data Source	Baselines and Targets					
					BL	T1	T2	T3	T4	

1. Increase MSI membership in the consortium (overseas center) by 2 institutions annually	1a. Conduct information sessions to recruit MSIs as members	1ai.Number of MSIs contacted	Annually	Center communications records, MSI webinar attendance, trip reports	0	10	7	15	9
		1aii. Number of MSIs that join	Annually	Signed agreements, memberships paid	0	2	4	6	8
	2. Expand the Center's data base of minority and underrepresented faculty by a total of 50 postgraduate researchers	2bi.Leverage institutional membership initiative to create and faculty data base	2bi.Number of faculty contacted	Annually	Phone and E-mail records	20	15	20	5

## EXCEPTION to ELECTRONIC SUBMISSION REQUIREMENT

**Exception to Electronic Submission Requirement:** You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through Grants.gov because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to Grants.gov; and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.
  - If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date.
  - If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or email your statement to: Cheryl Gibbs, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3E247, Washington, DC 20202-4260; [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov)

# APPLICATION TRANSMITTAL INSTRUCTIONS

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice:

**a. Submission of Paper Applications by Mail**

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before **the deadline date**, to the Department at the following address:

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.274A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260**

You must show proof of mailing consisting of one of the following:

- 1) A legibly dated U.S. Postal Service postmark
- 2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service
- 3) A dated shipping label, invoice, or receipt from a commercial carrier.
- 4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- 1) A private metered postmark
- 2) A mail receipt that is not dated by the U.S. Postal Service

If your application is postmarked after the application deadline date, we will not consider your application.

*Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.*

**b. Submission of Paper Applications by Hand Delivery**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

**U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.274A)  
550 12<sup>th</sup> Street, SW.  
Room 7039, Potomac Center Plaza  
Washington, DC 20202-4260**

8:00 a.m. and 4:30 p.m., Washington, D.C. time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department—

- 1) You must indicate on the envelope and—if not provided by the Department—in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- 2) The Application Control Center will mail to you a notification of receipt of your

grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; American Overseas Research Centers  
Program

AGENCY: Office of Postsecondary Education, Department of  
Education.

ACTION: Notice.

Overview Information:

American Overseas Research Centers Program

Notice inviting applications for new awards for fiscal year (FY) 2016.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.274A.

Dates:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The American Overseas Research Centers (AORC) Program provides grants to consortia of institutions of higher education (IHEs) to establish or operate an AORC that promotes postgraduate research, exchanges, and area studies.

AORC grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including: the cost of operation and maintenance of overseas facilities; the cost of organizing and managing conferences; the cost of teaching and research materials; the cost of acquisition, maintenance, and preservation of library collections; the cost of bringing visiting scholars and faculty to the center to teach or to

conduct research; the cost of faculty and staff stipends and salaries; the cost of faculty, staff, and student travel; and the cost of publication and dissemination of materials for the scholarly and general public.

Priorities: This notice contains two invitational priorities.

Invitational Priority: Under 34 CFR 75.105(c)(1), we do not give an application that meets the priority a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1. Projects that propose outreach and related activities designed to inform scholars and faculty at community colleges and minority-serving institutions of potential fellowships and other research and professional development opportunities at the AORC and encourage and facilitate the participation of these individuals in AORC programs.

For the purpose of this priority:

Community college means an institution that meets the definition in section 312(f) of the Higher Education Act of 1965, as amended (HEA) (20 U.S.C. 1058(f)); or an institution of higher education (as defined in section 101 of the HEA) that awards degrees and certificates, more than 50 percent of which are not bachelor's degrees (or an equivalent) or master's, professional, or other advanced degrees.

Minority-serving institution means an institution that is eligible to receive assistance under sections 316 through 320 of



part A of title III, under part B of title III, or under title V of the HEA.

Note: You may view lists of title III- and title V-eligible institutions at the following link:

<https://ww2.ed.gov/about/offices/list/ope/idades/t3t5-eligibles-2015.pdf>. The eligibility status is still current for institutions listed at this link. You may also view the list of Historically Black Colleges and Universities at 34 CFR 608.2.

Invitational Priority 2. Projects that propose to leverage technology to provide open access to the AORC's resources such as conference proceedings, and teaching, research, and outreach materials for use by the scholarly and general public.

Program Authority: 20 U.S.C. 1128a.

Areas of National Need: In accordance with section 601(c) of the HEA (20 U.S.C. 1121(c)) the Secretary has consulted with and received recommendations regarding national need for expertise in foreign languages and world regions from the head officials of a wide range of Federal agencies. The Secretary has taken these recommendations into account, and a list of foreign languages and world regions identified by the Secretary as areas of national need may be found on the following Web site:

<http://www2.ed.gov/about/offices/list/ope/iegps/consultation-2016.pdf>.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 82, 84, 86, 97, 98, and 99. (b) The Office of Management and

Budget (OMB) Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) in 2 CFR part 180, as adopted and amended as regulations of the Department in 2 CFR part 3485. (c) The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200, as adopted and amended as regulations of the Department in 2 CFR part 3474.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$650,000.\_

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2017 from the list of unfunded applications from this competition.

Estimated Range of Awards: \$48,000 - \$65,000 per year.

Estimated Average Size of Awards: \$56,000 per year.

Maximum Award: The maximum award amount is \$65,000. We will reject any application that proposes a budget exceeding \$65,000 for a single budget period of 12 months.

Estimated Number of Awards: 10.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 48 months.

### III. Eligibility Information

1. Eligible Applicants: Consortia of United States institutions of higher education that receive more than 50 percent of their funding from public or private United States sources, have a permanent presence in the country in which the center is located, and are organizations described in section 501(c)(3) of the Internal Revenue Code of 1986, which are exempt from taxation under section 501 (a) of such code.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

### IV. Application and Submission Information

1. Address to Request Application Package: Cheryl E. Gibbs, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, DC 20202-4260. Telephone: (202) 453-5690 or by email: [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov).

If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the program contact person listed in this section.

1. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative (Part III) to no more than 30 pages. Partial pages will count as a full page toward the page limit. For the purpose of determining compliance with the page limit, each page on which there are words will be counted as one full page. Applicants must use the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin.

- Double space (no more than three lines per vertical inch) all text in the project narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in figures and graphs. Text in charts and tables may be single-spaced. You should also include a table of contents in the project narrative, which will not be counted against the page limit.

- Use a font that is either 12 point or larger, or no smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the Application for Federal Assistance face sheet (SF 424); Part II, the Budget

Information Summary form (ED Form 524); Part III A, the one-page Project Abstract form; Part III B, the Performance Measure Form(s); and Part IV, the Assurances and Certifications. You must include your complete response to the selection criteria and priorities in Part III, the Project Narrative.

We will reject your application if you exceed the page limit.

3. Submission Dates and Times:

Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Deadline for Transmittal of Applications: [INSERT DATE 45 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Other Submission Requirements in section IV of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability

in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: [INSERT DATE 105 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and System for Award Management: To do business with the Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the System for Award Management (SAM) (formerly the Central Contractor Registry), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application;  
and

d. Maintain an active SAM registration with current information while your application is under review by the

Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet at the following Web site: <http://fedgov.dnb.com/webform>. A DUNS number can be created within one to two business days.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The SAM registration process can take approximately seven business days, but may take upwards of several weeks, depending on the completeness and accuracy of the data you enter into the SAM database. Thus, if you think you might want to apply for Federal financial assistance under a program administered by the Department, please allow sufficient time to obtain and register your DUNS number and TIN. We strongly recommend that you register early.

Note: Once your SAM registration is active, it may be 24 to 48 hours before you can access the information in, and submit an application through, Grants.gov.

If you are currently registered with SAM, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you

will need to update your registration annually. This may take three or more business days.

Information about SAM is available at [www.SAM.gov](http://www.SAM.gov). To further assist you with obtaining and registering your DUNS number and TIN in SAM or updating your existing SAM account, we have prepared a SAM.gov Tip Sheet, which you can find at:

<http://www2.ed.gov/fund/grant/apply/sam-faqs.html>.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page:

[www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html).

7. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the American Overseas Research Centers Program, CFDA Number 84.274A, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not email an electronic copy of a grant application to us.



We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Training Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.274, not 84.274A).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not

consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at [www.G5.gov](http://www.G5.gov). In addition, for specific guidance and procedures for submitting an application through Grants.gov, please refer to the Grants.gov Web site at: [www.grants.gov/web/grants/applicants/apply-for-grants.html](http://www.grants.gov/web/grants/applicants/apply-for-grants.html).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic

submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a read-only, non-modifiable Portable Document Format (PDF). Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF (e.g., Word, Excel, WordPerfect, etc.) or submit a password-protected file, we will not review that material. Please note that this could result in your application not being considered for funding because the material in question--for example, the project narrative--is critical to a meaningful review of your proposal. For that reason it is important to allow yourself adequate time to upload all material as PDF files. The Department will not convert material from other formats to PDF.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. This notification

indicates receipt by Grants.gov only, not receipt by the Department. Grants.gov will also notify you automatically by email if your application met all the Grants.gov validation requirements or if there were any errors (such as submission of your application by someone other than a registered Authorized Organization Representative or inclusion of an attachment with a file name that contains special characters). You will be given an opportunity to correct any errors and resubmit, but you must still meet the deadline for submission of applications.

Once your application is successfully validated by Grants.gov, the Department will retrieve your application from Grants.gov and send you an email with a unique PR/Award number for your application.

These emails do not mean that your application is without any disqualifying errors. While your application may have been successfully validated by Grants.gov, it must also meet the Department's application requirements as specified in this notice and in the application instructions. Disqualifying errors could include, for instance, failure to upload attachments in a read-only, non-modifiable PDF; failure to submit a required part of the application; or failure to meet applicant eligibility requirements. It is your responsibility to ensure that your submitted application has met all of the Department's requirements.

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that the problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. We will contact you after we determine whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Cheryl E. Gibbs,  
U.S. Department of Education, 400 Maryland Avenue, SW., room  
3E245, Washington, DC 20202-4260. FAX: (202) 453-5780.

Your paper application must be submitted in accordance with  
the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission  
requirement, you may mail (through the U.S. Postal Service or a  
commercial carrier) your application to the Department. You must  
mail the original and two copies of your application, on or  
before the application deadline date, to the Department at the  
following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.274A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the  
following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped  
by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a  
commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary  
of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

We will not consider applications postmarked after the application deadline date.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.274A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the



Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

Note: Applicants must include in the one-page abstract submitted with the application a statement indicating if they have addressed the invitational priorities.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 75.209(a) and 75.210 in EDGAR, and are listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

For this competition, a panel of non-Federal reviewers will review each application in accordance with the selection criteria in 34 CFR 75.209 and 75.210. The individual scores of the reviewers will be added and the sum divided by the number of reviewers to determine the peer review score received in the review process.

3. Risk Assessment and Special Conditions: Consistent with 2 CFR 200.205, before awarding grants under this program the Department conducts a review of the risks posed by applicants. Under 2 CFR 3474.10, the Secretary may impose special conditions and, in appropriate circumstances, high-risk conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 2 CFR part 200, subpart D; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email

containing a link to access an electronic version of your GAN.

We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multiyear award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR

75.720(c). Performance reports for the AORC Program must be submitted electronically using the International Resource Information System (IRIS), the International and Foreign Language Education office Web-based reporting system. For information about the system and to view the instructions on reporting, please go to <http://iris.ed.gov/iris/pdfs/AORC.pdf>.

(c) Under 34 CFR 75.250(b), the Secretary may provide a grantee with additional funding for data collection analysis and reporting. In this case the Secretary establishes a data collection period.

4. Performance Measures: The Department intends to use the following program measures to assess the effectiveness of the Overseas Centers projects:

AORC Performance Measure: Number of individuals conducting postgraduate research utilizing the services of Title VI AORCs.

AORC Performance Measure: Percentage of AORC Program participants who advanced in their professional field two years after their participation.

5. Continuation Awards: In making a continuation grant under 34 CFR 75.253, the Secretary considers, among other things: whether a grantee has made substantial progress in achieving the goals and objectives of the project; whether the grantee has expended funds in a manner that is consistent with its approved application and budget; and, if the Secretary has established

performance measurement requirements, the performance targets in the grantee's approved application.

In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contacts

For Further Information Contact: Cheryl E. Gibbs, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E245, Washington, DC 20202-4260. Telephone: (202) 453-5690 or by email: [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov).

If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free

Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or PDF. To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov).

Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

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Lynn B. Mahaffie,  
Deputy Assistant Secretary for Policy,  
Planning, and Innovation, Delegated the  
Duties of the Assistant Secretary for  
Postsecondary Education.

**TITLE VI – INTERNATIONAL EDUCATION PROGRAMS**

**SEC. 601. INTERNATIONAL AND FOREIGN LANGUAGE STUDIES.**

Part A of title VI (20 U.S.C. 1121 et seq.) is amended to read as follows:

**PART A--INTERNATIONAL AND FOREIGN LANGUAGE STUDIES**

**SEC. 601. FINDINGS; PURPOSES; CONSULTATION; SURVEY**

(a) FINDINGS- Congress finds as follows:

(1) The security, stability, and economic vitality of the United States in a complex global era depend upon American experts in and citizens knowledgeable about world regions, foreign languages, and international affairs, as well as upon a strong research base in these areas.

(2) Advances in communications technology and the growth of regional and global problems make knowledge of other countries and the ability to communicate in other languages more essential to the promotion of mutual understanding and cooperation among nations and their peoples.

(3) Dramatic changes in the world's geopolitical and economic landscapes are creating needs for American expertise and knowledge about a greater diversity of less commonly taught foreign languages and nations of the world.

(4) Systematic efforts are necessary to enhance the capacity of institutions of higher education in the United States for--

(A) producing graduates with international and foreign language expertise and knowledge; and

(B) research regarding such expertise and knowledge.

(5) Cooperative efforts among the Federal Government, institutions of higher education, and the private sector are necessary to promote the generation and dissemination of information about world regions, foreign languages, and international affairs throughout education, government, business, civic, and nonprofit sectors in the United States.

(b) PURPOSES- The purposes of this part are--

(1) (A) to support centers, programs, and fellowships in institutions of higher education in the United States for producing increased numbers of trained personnel and research in foreign languages, area studies, and other international studies;

(B) to develop a pool of international experts to meet national needs;

(C) to develop and validate specialized materials and techniques for foreign language acquisition and fluency, emphasizing (but not limited to) the less commonly taught languages;

(D) to promote access to research and training overseas, including through linkages with overseas institutions; and

(E) to advance the internationalization of a variety of disciplines throughout undergraduate and graduate education;

(2) to support cooperative efforts promoting access to and the dissemination of international and foreign language knowledge, teaching materials, and research, throughout education, government, business, civic, and nonprofit sectors in the United States, through the use of advanced technologies; and

(3) to coordinate the programs of the Federal Government in the areas of foreign language, area studies, and other international studies, including professional international affairs education and research.

(c) CONSULTATION.—

(1) IN GENERAL.—The Secretary shall, prior to requesting applications for funding under this title during each grant cycle, consult with and receive recommendations regarding national need for expertise in foreign languages and world regions from the head officials of a wide range of Federal agencies.

(2) CONSIDERING RECOMMENDATIONS; PROVIDING INFORMATION.—

The Secretary—

(A) may take into account the recommendations described in paragraph (1); and

(B) shall—

(i) provide information collected under paragraph (1) when requesting applications for funding under this title; and

(ii) make available to applicants a list of areas identified as areas of national need.

(d) SURVEY.—The Secretary shall assist grantees in developing a survey to administer to students who have completed programs under this title to determine postgraduate employment, education, or training. All grantees, where applicable, shall administer such survey once every two years and report survey results to the Secretary.

**SEC. 609. AMERICAN OVERSEAS RESEARCH CENTERS.**

(a) CENTERS AUTHORIZED- The Secretary is authorized to make grants to and enter into contracts with any American overseas research center that is a consortium of institutions of higher education (hereafter in this section referred to as a center') to enable such center to promote postgraduate research, exchanges and area studies.

(b) USE OF GRANTS- Grants made and contracts entered into pursuant to this section may be used to pay all or a portion of the cost of establishing or operating a center or program, including--

(1) the cost of faculty and staff stipends and salaries;

(2) the cost of faculty, staff, and student travel;

(3) the cost of the operation and maintenance of overseas facilities;



- (4) the cost of teaching and research materials;
- (5) the cost of acquisition, maintenance, and preservation of library collections;
- (6) the cost of bringing visiting scholars and faculty to a center to teach or to conduct research;
- (7) the cost of organizing and managing conferences; and
- (8) the cost of publication and dissemination of material for the scholarly and general public.

(c) **LIMITATION.**-- The Secretary shall only award grants to and enter into contracts with centers under this section that--

- (1) receive more than 50 percent of their funding from public or private United States sources;
- (2) have a permanent presence in the country in which the center is located; and
- (3) are organizations described in section 501(c)(3) of the Internal Revenue Code of 1993 which are exempt from taxation under section 501(a) of such Code.

(d) **DEVELOPMENT GRANTS.**-- The Secretary is authorized to make grants for the establishment of new centers. The grants may be used to fund activities that, within 1 year, will result in the creation of a center described in subsection (c).

(e) **APPLICATION.**—Each center desiring to receive a grant or contract under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information and assurances as the Secretary may require.

## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS EXECUTIVE ORDER 12372

This program falls under Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:

<http://www.whitehouse.gov/omb/grants/spoc.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. ***Do not send applications to the above address.***

### AORC Program Eligibility Certification

Applicants must complete and save this form as a word document on your computer first, then attach it to the "Other Attachments Form" in Grants.gov as a .PDF document. If you chose to

recreate the form (rather than cut and paste into a document), please do not modify the language in any way.

I certify that the applicant center meets the following eligibility requirements as authorized in section 609(c) of the program statute:

**(a)** LIMITATION – The Secretary shall only award grants to and enter into contracts with centers under this section that--

**(1)** receive more than 50 percent of their funding from public or private United States sources;

**(2)** have a permanent presence in the country in which the center is located; and

**(3)** are organizations described in section 501(c)(3) of the Internal Revenue Code of 1993, which are exempt from taxation under section 501(a) of the Code.

\_\_\_\_\_  
Authorized Certifying Official's Signature

\_\_\_\_\_  
Printed Name of Authorized Certifying Official

\_\_\_\_\_  
Title of Authorized Certifying Official

\_\_\_\_\_  
Name of Applicant AORC

\_\_\_\_\_  
Date

**INSTRUCTIONS FOR STANDARD FORMS**

- Application for Federal Assistance (SF 424)

- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants

### INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which

	agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>		assistance is being requested with this application.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.  <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration  B. Decrease Award                      E. Other (specify)  C. Increase Duration</p>	11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.	13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.

	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.																				
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.																				
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																				
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)																				
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																						
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																						
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native</td> </tr> <tr> <td>J. Indian/Native American Tribal</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native	J. Indian/Native American Tribal			
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J. Indian/Native American Tribal																							

	Government (Other than Federally Recognized)	Hawaiian Serving Institutions		
K.	Indian/Native American Tribally Designated Organization	V. Non-US Entity W. Other (specify)		
L.	Public/Indian Housing Authority			

**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

# INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.



**(Attachment to Instructions for Supplemental Information for SF 424)**

**Definitions:**

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

**—Research**

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

**—Human Subject**

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living*

*person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

**B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed

public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture. II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

#### **A. Exempt Research Narrative.**

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

#### **B. Nonexempt Research Narrative.**

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement

of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

**Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>**

NOTE: The State Applicant Identifier on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).



## INSTRUCTIONS FOR ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary

### Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

"Please provide your Indirect Cost Rate (e.g. 10%) and your Restricted Indirect Cost Rate, if applicable as part of your budget narrative."

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to IFLE, U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## INSTRUCTIONS FOR THE BUDGET SUMMARY AND ITEMIZED LINE ITEM BUDGET

**NOTE:** Applicants must submit: (1) ED Form 524 with amounts entered for the categories, **AND** (2) a detailed budget narrative for the 4-year project period.

The budget costs, per category, are included on **ED Form 524 Budget Summary Section A – Non-Construction Programs**.

The **budget narrative attachment** for the 4-year project period is one of the attachments in **Part III Attachments**. In the **budget narrative attachment** please provide the detailed line item budget with notations to justify the funds being requested for the 4 years. The funds requested should be reasonable and necessary to carry out the proposed activities.

The Budget Summary Section A – Non-Construction Programs and the Budget Narrative (Part III Attachment) cover the following categories, as applicable to your project.

1. Personnel. Project personnel salaries and wages. [Fees and expenses for consultants should be included in line 8.] The narrative budget should include position title, percent of time on the grant, and salary to be charged to the grant.
2. Fringe Benefits. Indicate both the dollar amount and fringe benefits rate as a percent. Leave this line item blank if the fringe benefits are treated as part of the indirect costs. Provide notations to explain how fringe benefits are assessed.
3. Travel. Include travel costs for project personnel and participants in this category. Consultant related travel should be included in “Other” (line 8). In the budget narrative, specify domestic and international travel. Provide the purpose and the number of persons traveling. Include per diem rates, ground transportation, etc.
4. Equipment. Is defined in EDGAR as non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. However, consistent with the center’s guidelines, lower limits may be established. In the budget detail, explain why the requested equipment is necessary to carry out project activities and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.
5. Supplies. All tangible personal property not included as “equipment” on line 4. In the budget, provide an itemized list of supplies.
6. Contractual. Not applicable. Leave blank.
7. Construction. Not applicable. Leave blank.

8. Other. Includes direct costs not covered in lines 1 through 5. Consultant and evaluator fees and their travel should be included here. Additional examples of “Other” costs include: rental of space; utilities costs; communication costs, technology costs; conference costs, and library acquisitions. In the budget narrative provide a breakdown of all costs included as “Other”.

**Note regarding use of consultants, evaluators.**

If the project proposes to use consultants and evaluators, provide a detailed breakdown of the costs (personal services fees to be paid, estimated number of days, and all travel expenses, including per diem.)

9. Total Direct Costs. The total direct costs requested (lines 1-8.)
10. Indirect Costs. The amount of indirect costs that you propose to charge against the grant.

All grants awarded under the AORC program are considered training grants. EDGAR limits reimbursement to grantees for the indirect costs they incur under training grants to the grantee’s actual indirect costs as determined by the grantee’s negotiated indirect cost agreement or a maximum of 8 percent of a modified total direct cost base, **whichever is less**.

Grantees charging indirect costs to a Department grant are required to have a negotiated rate with their cognizant agency (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect cost support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8 percent rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8 percent [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect cost rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: The sum of lines 9 and 10.



## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such information displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0014**. The time required to complete this information collection is estimated to average 5 minutes for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

## **GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427**

Section 427 of GEPA requires all applicants for new awards to include in their applications a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: *gender, race, national origin, color, disability, or age*.

A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

### **NOTES:**

- **Applicants must include information in their applications to address this provision in order to receive funding under this program. You must provide information within the Program Narrative in response to the relevant selection criteria.**
- **You are also asked to include the ED GEPA 427 Form in Part IV (Assurances, Certifications, and Survey Forms).**

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## **GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

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### **What is GPRA?**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

### **What are the GPRA performance measures for the American Overseas Research Centers (AORC) Program?**

AORC Performance Measure 1: Number of individuals conducting postgraduate research utilizing the services of the Title VI AORCs.

AORC Performance Measure 2: Percentage of AORC program participants who advanced in their professional field 2 years after their participation.

### **How does the Department of Education determine whether performance goals have been met?**

The Department will use the information and data that grantees submit in their IRIS performance reports to determine whether grantees have met these performance measures.

## APPLICATION CHECKLIST

Before you submit your application, please use this checklist to make sure that you have included all required sections and forms.

- Part I - Application for Federal Assistance - (SF 424)

**NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the Grants.gov Other Attachment Forms listed below.**

- Part I - Department of Education Supplemental Information for SF 424
- Part II - Department of Education Budget Summary Information – Non-Construction Programs  
(ED Form 524) – Section A
- Part III – *Attachments*:
  - ED Abstract (one-page). Attach this document to the ED Abstract Form in the Grants.gov application. The one-page abstract, which may be single-spaced, does not count against the 30- page application narrative.
  - Program Narrative that addresses the selection criteria.  
Performance Measures Form(s). Attach this document to the Program Narrative Attachment Form in the Grants.gov application. (30-page limit)
- Part III - Other Attachments –
  - Curriculum Vitae and Position Descriptions
  - List of U.S. Institutions
  - Eligibility Certification Form
  - ED 524 Section C Budget Narrative (itemized budget)
- Part IV - Assurances, Certifications, and Survey Forms
  - GEPA Section 427 Requirement
  - Assurances – Non-Construction Programs (SF 424B)
  - Lobbying Form (Formerly ED Form 80-0013)
  - Disclosure of Lobbying Activities (SF LLL)
  - Survey on Ensuring Equal Opportunity for Applicants

## AORC Program Frequently Asked Questions

### **1. What is the purpose of the American Overseas Research Centers (AORC) program?**

The AORC program awards grants to any American overseas research center to establish or operate an overseas center to promote postgraduate research, exchanges, and area studies.

### **2. Who is eligible to apply for grants under this program?**

Any American overseas research center that is a consortium of institutions of higher education that receives more than 50 percent of funding from public or private United States sources, has a permanent presence in the country in which the center is located, and is a tax exempt organization.

### **3. Is it permissible for the applicant consortium to include institutions in the United States and institutions overseas?**

No. The eligible consortium (center) is comprised of institutions in the United States only.

### **4. What kinds of activities can be supported with grant funds?**

AORC grants may be used to pay all or a portion of the cost of establishing or operating a center or program, including—

- Cost of operation and maintenance of overseas facilities
- Cost of organizing and managing conferences
- Cost of teaching and research materials
- Cost of acquisition, maintenance, and preservation of library collections
- Cost of bringing visiting scholars and faculty to the center to teach or to conduct research
- Cost of faculty and staff stipends and salaries
- Cost of faculty, staff, and student travel
- Cost of publication and dissemination of materials for the scholarly and general public

In conducting these kinds of activities and more, the centers contribute to the generation of knowledge about a country or world region and they promote a greater understanding about the cultures in which the centers are located.

### **5. What are concrete examples of allowable activities?**

The American Institute of Indian Studies (AIIS) has operated intensive summer and academic-year language programs in India for decades and has provided language training to nearly 4,000 students. The number of language programs has expanded in recent years; in addition to offering regular programs in Bengali, Hindi, Malayalam, Marathi, Punjabi, Sanskrit, Tamil and Urdu, the Institute will operate summer programs in lesser-taught Indian languages upon demand, even for one student. The Institute's intensive language programs provide invaluable training to students who need the language training in order to conduct their research projects or pursue their other career goals. AIIS provides practically the only opportunity for students to obtain this intensive training in these languages.

### **6. How often is the AORC program competitions generally held?**

The AORC program competition is generally held every four years.

**7. How many applications does the Department typically receive, and of these, how many are you likely to recommend for funding?**

We typically receive 22 applications, and based on the peer review, we estimate making ten new FY 2016-19 awards. The Department, however, is not bound by the estimates announced in the Notice Inviting Applications..

**8. What is the duration (project period) for grants awarded under this program?**

The duration for AORC grants is up to 48 months.

**9. What is the average annual grant amount?**

The estimated average annual grant amount is \$65,000.

**10. Is there a cost-sharing or matching requirement?**

No. This program does not have a cost-sharing or matching requirement.

**11. What are the reporting requirements for grantees?**

Grant recipients are required to submit an interim report in the fall and an annual performance report in the spring through the International Resource Information System (IRIS).

**12. Who reviews submitted applications, and how are applications evaluated?**

Applications are reviewed by panels of peers with area studies expertise, overseas research experience, and foreign language specialization. Reviewers are selected from the Office of Postsecondary Education Field Reader System. Review panels evaluate applications using the selection criteria in the Education Department General Administrative Regulations as well as the extent to which the applicant meets any announced priorities.

**13. How are applicants notified about the outcome of their applications?**

If your application is successful, we notify your U.S. Representative and U.S. Senators first and subsequently send you a Grant Award Notification document. If your application is not selected for funding, we will notify you.