

## **PROJECT OBJECTIVES, GOALS, AND IMPLEMENTATION (POGI)**

### **FY2017 Hubert H. Humphrey Fellowship Program**

### **Funding Opportunity Number: ECA-ECAAS-17-001**

### **Office of Global Educational Programs**

### **Humphrey Fellowships and Institutional Linkages Branch (ECA/A/S/U)**

These POGI guidelines apply specifically to the Notice of Funding Opportunity (NOFO) issued by the Office of Global Educational Programs for the administration of the FY2017 Hubert H. Humphrey Fellowship Program. Proposals must conform to the NOFO, the Guidelines stated in this document, and the standard Proposal Submission Instructions (PSI). Applications not adhering to the conditions set forth herein may be deemed technically ineligible. These guidelines are specific to the Hubert H. Humphrey Fellowship Program and are IN ADDITION TO the Standard Guidelines outlined in the PSI. If there is a perceived disparity between the standard and program specific Guidelines and the program information supplied in the accompanying NOFO, the NOFO is to be the dominant reference.

#### **I. STATEMENT OF WORK**

This competition is to administer and implement the FY2017 Hubert H. Humphrey Fellowship Program. Pending the availability of FY2017 funds, this Agreement should begin on October 1, 2016 and run through September 30, 2019 (the administrative portion of this Agreement will only cover October 1, 2016 through September 30, 2017). This solicitation includes both the administration and program portions of the Hubert H. Humphrey Fellowship Program, such as the selection and placement of the 2017-2018 class of Fellows; the administration and implementation of enhancement activities that may include, but are not limited to, a fall program-wide seminar (Humphrey Global Leadership Forum), and professional enhancement workshops; and the administration of follow-up support and coordination with Humphrey Fellowship Program alumni from all previous classes.

In a cooperative agreement, ECA's Humphrey Fellowships and Institutional Linkages Branch (ECA/A/S/U) is substantially involved in program activities above and beyond routine monitoring.

#### **A. ECA/A/S/U's substantial involvement will include consultation regarding, and final approval of, the following activities:**

1. Formulation of program policies;
2. Program evaluation activities;
3. Co-funding initiatives;
4. Publication of program materials;
5. Selection of Humphrey Fellows;
6. Design and scheduling of Distinguished Humphrey Leadership Fellows program component;
7. Selection of Distinguished Humphrey Leadership Fellows;

8. Selection of candidate review committee members;
9. Selection of host campus review committee members;
10. Selection of host campuses;
11. Alumni conferences and other alumni initiatives;
12. Selection of Alumni Impact Award and Professional Development Grant recipients;
13. Theme, agenda, and speakers for Global Leadership Forum;
14. Selection and scheduling of enhancement workshops;
15. Country eligibility and nomination allocations for participating countries;
16. Liaison with U.S. embassies and Fulbright commissions regarding policies and priorities for recruitment of candidates, in-country screening, and transmittal of Humphrey nominations;
17. Overall management of participant emergencies and crisis situations and coordination of response with stakeholders, including U.S. embassies and Fulbright commissions.

**B. Specific responsibilities of the award recipient for the administration of the Humphrey Program in FY2017 include:**

1. Receive, log, and review applications and send an acknowledgment to U.S. embassies or Fulbright commissions (approximately 450 applications from 110 countries annually);
2. Follow up with U.S. embassies or Fulbright commissions regarding missing documents; respond to their inquiries and copy appropriate ECA Program Officer;
3. Coordinate candidate review committee meetings;
4. In coordination with ECA, prepare candidate lists for the Bureau to submit to the J. William Fulbright Foreign Scholarship Board (FFSB) for final review;
5. Prepare and send letters of award and program guidelines for candidates selected for the program; notify the U.S. embassy or Fulbright commission of candidate's U.S. arrival date and prepare and send the DS-2019 form as early as practical to facilitate the visa adjudication procedure (DS-2019 forms should be sent earlier to countries with longer clearance processes upon post/commission request);
6. Place Fellows in long-term and pre-academic English language programs, as needed;
7. Place Fellows at universities that have been approved to host Humphrey Fellows in the relevant field of academic and professional interest, with exceptional placements to be concluded only in consultation with the responsible ECA Program Officer;
8. Prepare congratulatory letters from the FFSB chair to Fellows;
9. Enroll participants in ECA's Accident and Sickness Program for Exchanges (ASPE) health benefits plan or other health insurance as directed by ECA; assist participants with accessing necessary health care and assist with claims as necessary;
10. Submit final placement reports to ECA;
11. Ensure that adequate and consistent pre-departure orientation materials are created and made available to U.S. embassies and Fulbright commissions and provided to Fellows;
12. Issue maintenance, book allowance and other support to Fellows;
13. Disburse tuition payments;
14. Monitor and evaluate host campus performance and ensure that the coordinators are pro-actively supporting the Fellows at a consistently high level across all campuses;

15. Promote networking opportunities among Fellows in related fields while in the United States;
16. Recruit and review applications for host campuses in appropriate fields of study;
17. Open and maintain an up-to-date file on each Fellow;
18. In consultation with ECA and with U.S. host universities regarding contents and timing as appropriate, produce and distribute recruitment guidelines for 2017-2018 Fellows, information packets, application forms, recruitment guidelines for U.S. embassies and Fulbright commissions, program brochures and newsletters;
19. Assume overall responsibility for complying with all applicable tax treaties and federal, state and local laws on tax withholding and reporting for Fellows;
20. Respond to all requests for extension of stay in consultation with ECA;
21. In coordination with ECA, provide electronic data updates for ECA's electronic databases;
22. Provide impact statements to ECA about important campus projects and on the Distinguished Humphrey Fellows' and traditional Fellows' programs, including their participation in community activities, forums and workshops as well as notable professional activities, accomplishments, and projects;
23. Respond to periodic requests from ECA for historical or other program data that may be needed to inform Department of State colleagues, Congress, or the public about the Humphrey Program.

**C. In addition to the activities above, responsibilities of the award recipient for the Distinguished Humphrey Leadership Fellows program component, the fall 2017 Global Leadership Forum, and the professional enhancement workshops will include:**

1. For enhancement activities, applicants should plan and organize an integrated program of approximately five inter-disciplinary enhancement workshops, reinforcing the on-campus experience of the Fellows and building on the Program's goal of developing leadership skills in public service;
2. For the fall program-wide seminar (Humphrey Global Leadership Forum), applicants should include in the proposal a theme and identify names of potential speakers who will engage the Fellows in ways that are consistent with the Program's goals.
3. For the Distinguished Humphrey Leadership Fellows initiative, applicants should include a budget, program design, and timeline for the continuation and normalization of the current pilot project. Please refer to the NOFO for additional information.
4. For the 40<sup>th</sup> program anniversary in 2019, applicants should propose a program concept, budget, and timeline to mark this important program milestone. Please refer to the NOFO for additional information.

**D. Responsibilities of the award recipient for alumni support will include:**

1. Maintaining contact with the approximately 5,000 Humphrey Program alumni and with alumni associations worldwide and performing follow-up/alumni programming;
2. Maintaining and updating an alumni-tracking database;
3. Facilitating alumni access to an interactive database to which they may submit current information and news;
4. In consultation with ECA, working with alumni to facilitate local workshops and other joint activities;

5. In consultation with ECA, administering a small grants program for Humphrey alumni; evaluate guidelines and suggest program revisions as appropriate;
6. In consultation with ECA, administering the Alumni Impact Awards program for Humphrey alumni; evaluate guidelines and suggest program revisions as appropriate;
7. Providing impact statements to ECA about prominent alumni or alumni projects. Collaborate with campus coordinators in collecting information;
8. Please refer to the PSI for additional guidance on alumni outreach and follow-on engagement.

## II.

### PROGRAM SPECIFIC GUIDELINES

#### PRE-ACADEMIC SESSIONS & ENGLISH TRAINING

Pre-academic English training programs ranging from 8 to 24 weeks in the United States are offered to Fellows who need to elevate their language skills and knowledge to a level necessary to successfully undertake their programs. Pre-academic English training programs enable the Humphrey Program to recruit a more diverse group of Fellows, especially from areas where advanced English training may not be available.

Please include in your proposal a plan for pre-academic English training programs for Fellows who will require such extra preparation, giving special attention to the specific needs of Fellows from under-represented populations. Fellows may be clustered at U.S. university training sites to achieve greater cost efficiency and to facilitate communication and networking opportunities among the Fellows who arrive in the United States before the start of the academic year. Please propose options to meet the pre-academic English-language training needs of these Fellows. Currently, programs of 8, 12, and 24 weeks are offered. Please include budget figures for pre-academic English-language training for at least half of the Fellows.

#### SEMINARS AND RETREATS

Program elements should include program-wide and thematically specific seminars and workshops as described in the NOFO. Costs for the administration and implementation of these events should be included in the budget or cost shared. Program concepts for these events must be included in the narrative. Final agendas must be coordinated with and approved by ECA.

#### PROFESSIONAL AFFILIATIONS AND DEVELOPMENT

Professional affiliations are a critical part of the Humphrey Fellowship Program. They provide an opportunity for the Humphrey Fellows to apply and reinforce skills learned during the period of academic study and for the Fellows' professional development. Each Fellow is required to identify and undertake a professional affiliation of at least six weeks. Finding quality affiliations requires the Fellows to have advance preparation and clarity of professional goals. Please include a brief description outlining a plan to coordinate the professional affiliation portion of the program with the

host universities to ensure that Fellows can make the most of this opportunity.

The professional development portion of the program should include allowances to the Fellows to cover costs associated with travel, conference participation or other professional activities the Fellows might need to pursue during the year. The activities should be consistent with the Fellows' professional goals for the year and should build on other portions of the program such as professional development and enhancement workshops.

Please note that participants in this program are not eligible for the 18-month maximum allowable internship period cited in the J visa regulations.

### HOST UNIVERSITY SELECTION

The selection of appropriate host universities is essential to the success of the Humphrey Program. Please outline your strategy for evaluating host university performance and for soliciting and reviewing applications to serve as host universities. Open competitions to host Humphrey Fellows in a given field are held every five years. Pending successful performance, the selected university may then renew its hosting agreement with the administering organization for the Humphrey Fellowship Program for the next four years until the next open competition. The competitions are held on a rotating basis, so that each year typically one or two fields of study will have open competitions. The calendar for host university competitions for the next five years is as follows: urban and regional planning; finance and banking; and economic development in 2016; public administration; and law and human rights in 2017; educational administration; and agriculture and rural development, natural resource management, environmental policy, and climate change policy in 2018; public health; and journalism in 2019; substance abuse prevention and treatment in 2020. The current host institutions and their focus areas are listed in the NOFO.

Please outline how you will ensure that officials at appropriate universities become aware of the opportunity to apply to host Humphrey Fellows. Draft solicitation letters for the host university competitions must be approved by the ECA program office before being sent out. The final selection of host universities should ensure that the Program has access to an appropriate and diverse mixture of graduate level academic programs and community and professional resources, and to associate campuses that can engage Fellows in projects and events that will enhance the diversity of the Humphrey Fellows' U.S. experiences. Please explain how you will ensure that cost-effective arrangements can be made with the host universities based on non-credit enrollment and/or other ways that provide payments to universities according to formulas that can be protected from increases in tuition rates.

### ALUMNI TRACKING, PROGRAMMING, AND COORDINATION

Alumni activities are an integral part of the Humphrey Fellowship Program. Alumni programming

could include seminars, conferences, listserves, a small-grants program, and alumni involvement in events for current-year Fellows. Such programming provides critical follow-on support for alumni and serves to maximize and extend the benefits of participation in the Humphrey Program.

Alumni involvement with the operation of the Humphrey Program in their home countries, including outreach to prospective future candidates, participation on in-country screening committees, and participation in pre-departure orientations, is an effective way to maintain our engagement with former Fellows and provides a valuable contribution to the program. While these activities are primarily coordinated by U.S. embassies and Fulbright commissions, the recipient should describe how it will help facilitate such involvement by future alumni through its engagement with the Fellows while they are on program. In addition, strategies to facilitate these forms of alumni involvement should be included in the Humphrey program guidelines for U.S. embassies and Fulbright commissions that the recipient drafts each year.

Reporting on alumni and their activities is crucial for ECA and the Department of State, for the evaluation of the program and for the implementation of follow-on programs. Please describe alumni coordination, tracking, and follow-on activities. Include in your description an outline of, and timeline for, providing broader analytical alumni impact reports to ECA, examples of how long-term linkages with alumni will be fostered and maintained, and ideas for proactively following up with key alumni and providing information to ECA about their successes. In addition, please comment on ideas for alumni programming and events, how often updated database information will be provided to ECA, and how these efforts will be coordinated with the U.S. embassies and Fulbright commissions overseas.

### VISA AND TAX REQUIREMENTS

All participants must be sponsored under an Exchange Visitor Program on a J visa. Programs must comply with J visa regulations. In addition, administration of the fellowships must be in compliance with reporting and withholding regulations for federal, state, and local taxes as applicable.

### III . PROPOSAL CONTENTS

Applicants should submit a complete and thorough proposal describing the program in a convincing and comprehensive manner. Since there is no opportunity for applicants to meet with reviewing officials, the proposal should respond to the criteria set forth in the solicitation and other guidelines as clearly as possible.

Proposals should address succinctly, but completely, the elements described below and must follow all format requirements.

**NOTE:** Proposals submitted through Grants.gov may only be submitted in the following formats:

- Microsoft Word
- Microsoft Excel
- Adobe Portable Document Format (PDF)
- ASCII Text
- Joint Photographic Experts Group (JPEG images)

Proposals should include the following items under the section headings in the GrantSolutions Application Checklist. All documents should be appropriately and clearly titled.

### **Online Forms**

- SF-424, "Application for Federal Assistance"
- SF-424A, Budget Information – Non-Construction Programs
- SF-424B, "Assurances – Non-Construction Programs"
- Include other attachments, if applicable, such as indirect agreements, form 990, SF-LLL, etc.

### **Program Narrative**

Executive Summary (One page)

In one double-spaced page, provide the following information about the project:

1. Name of organization/participating institutions
2. Beginning and ending dates of the program
3. Nature of activity
4. Funding level requested from ECA, total program cost, total cost-sharing from applicant and other sources
5. Scope and Goals
  - a. Number and description of participants
  - b. Wider audience benefitting from program
  - c. Geographic scope of program, both U.S. and overseas
  - d. Anticipated results (short and long-term)

Narrative

In 20 double-spaced, single-sided pages, provide a detailed description of the project addressing the areas listed below.

1. Vision (statement of need, objectives, goals, benefits)
2. Participating Organizations
3. Program Activities (recruitment and selection, placement, academic component, professional development activities, and participant monitoring)
4. Program Evaluation
5. Follow-on/Alumni Activities (tracking, programming, and coordination)
6. Project Management
7. Work Plan/Time Frame

**Additional Information to be Submitted**

- Detailed Budget

Please submit comprehensive six-column line item budgets for program and administrative costs, the details and format of which are contained in PSI. Additional budget guidance is provided in the NOFO. Applicants must submit a comprehensive budget narrative demonstrating how costs were derived. The Bureau reserves the right to reduce, revise, or increase proposal budgets in accordance with funding availability and the needs of the program.

The Bureau is committed to containment of costs consistent with overall program objectives and sound management. The total administrative costs funded by the Bureau must be reasonable and appropriate.

Agreement funded expenditures may include, but are not limited to, the categories below. Organizations are encouraged to note in their program budgets/narratives areas in which economies beyond the Bureau allowable costs can be achieved.

PROGRAM EXPENSES

- Round-trip travel domestic and international travel, coach class (via American carrier and following “Fly America” regulations);
- Tuition and university fees;
- Pre-academic English language training options as required, in order for the Fellows to achieve TOEFL scores of 575 PBT (paper-based TOEFL) and 230 CBT (computer-based TOEFL), with 35-45% of the Fellows typically requiring this training (currently, programs of 8, 12, and 24 weeks are offered);
- Living stipend for 10.5 months (estimate and explain an appropriate stipend level); maintenance allowances should be sufficient to enable participants to meet the costs of lodging, food, clothing, and incidental purchases throughout the period of the Fellowship in the locations where the Fellows will be residing;
- Educational materials (estimate and explain an appropriate support level);
- Professional Affiliation and professional development activities expenses;
- Staff travel and per diem;
- Selection panel costs, including food and local travel reimbursement;
- J-1 visa compliant health benefit plan (NOTE: participants will be enrolled in ASPE, the Bureau's Accident and Sickness Program for Exchanges, at the Bureau’s expense; therefore no program funds should be budgeted for health insurance unless additional coverage is required by a host university);
- Costs of enhancement activities;
- Costs for alumni activities;
- Costs of standardized test fees for approximately 450 candidates;
- Withholding for taxes as necessary;
- Costs associated with registration of grantees in SEVIS.

### ADMINISTRATIVE COSTS

- Staff salaries and benefits (each staff member and his/her position must be listed separately). Please also note the percentage of his/her total time spent on this program. A full-time director is required.
- Communication costs (e.g. fax, telephone, postage, communication equipment, etc);
- Office supplies;
- Printing and duplication costs;
- Administration of tax withholding and reporting as required by federal, state, and local authorities and in accordance with relevant tax treaties;
- OMB Circular 2 CFR Part 200, Subpart F Audit fees;
- Other direct costs; and
- Indirect costs.

- Calendar of activities/itinerary, if applicable
- Letters of endorsement

Instead of Letters of Endorsement, ECA will use past performance as an indicator of an applicant's ability to successfully perform the work. The additional information tab of the proposal must contain between three and five references who may be called upon to discuss recently completed or ongoing work performed for international exchange programs that is relevant to the applicant's capacity to administer the Humphrey Fellowship Program. The reference must contain the information outlined below:

- Name of the reference organization
- Project name
- Project description
- Performance period of the contract/grant
- Amount of the contract/grant
- Contact person and telephone number

ECA may contact representatives from the organizations cited in the examples to obtain information on the applicant's past performance. ECA may also obtain past performance information from sources other than those identified by the applicant.

- Resumes of all program staff should be included in the submission. **No resume should exceed two pages.**
- First Time Applicant Attachments, if applicable.

First time applicant organizations and organizations which have not received an assistance award (grant or cooperative agreement) from the Bureau during the past three (3) years, must submit as an attachment to this

form the following: (a) one copy of their Charter OR Articles of Incorporation; (b) a list of the current Board of Directors; and (c) current financial statements. Note: The Bureau retains the right to ask for additional documentation of those items included on this form.

**Please note:** All applicants for ECA federal assistance awards must include in their application the names of directors and/or senior executives (current officers, trustees, and key employees, regardless of amount of compensation). In fulfilling this requirement, applicants must submit information in one of the following ways:

- Those who file Internal Revenue Service Form 990, "Return of Organization Exempt From Income Tax," must include a copy of relevant portions of this form.
- Those who do not file IRS Form 990 must submit information above in the format of their choice.

As part of final program reporting requirements, award recipients will also be required to submit a one-page document, derived from their program reports, listing and describing their grant activities. For award recipients, the names of directors and/or senior executives (current officers, trustees, and key employees), as well as the one-page description of grant activities, will be transmitted by the State Department to OMB, along with other information required by the Federal Funding Accountability and Transparency Act (FFATA), and will be made available to the public by the Office of Management and Budget on its USASpending.gov website as part of ECA's FFATA reporting requirements.

#### APPLICATION SUBMISSION

The NOFO indicates the date the complete proposal is due and the manner in which proposals must be submitted. There are NO EXCEPTIONS to this deadline. For further information regarding this program or the competition, please contact Paul Schelp at the Humphrey Fellowships and Institutional Linkages Branch on (202) 632-6331 or pschelp@state.gov.