



**OPEN WORLD PROGRAM  
OPEN WORLD LEADERSHIP CENTER  
AT THE LIBRARY OF CONGRESS**

**2009 GRANT PROCEDURES – EXPANSION COUNTRY HOSTING PROGRAM  
FOR AZERBAIJAN, GEORGIA, KAZAKHSTAN,  
KYRGYZSTAN, MOLDOVA, TAJIKISTAN**

**Introduction**

The congressionally sponsored Open World Program brings emerging leaders from post-Soviet states to the United States in order to give them firsthand exposure to the American system of participatory democracy and free enterprise. The principles of accountability, transparency, and citizen involvement in government are among the concepts emphasized by the Open World Program. Today Open World has more than 14,000 alumni and a network of some 6,000 U.S. host families. The program is administered by the Open World Leadership Center (the Center), an independent entity established in the U.S. legislative branch in 2000.

Open World in 2006 adopted as its mission statement:

To enhance understanding and capabilities for cooperation between the United States and the countries of Eurasia<sup>1</sup> and the Baltic States by developing a network of leaders in the region who have gained significant, firsthand exposure to America's democratic, accountable government and free-market system.

In light of this mission, Open World will continue to bring emerging leaders from this region to the United States, while endeavoring to foster lasting ties that result in ongoing cooperation and collaboration. For 2009 hosting proposals, Open World will give greater weight to those proposals that are likely to produce new partnerships or further existing ones. Greater credit will also be given to proposals that include specific follow-on project activities, cost-sharing, and/or plans for future reverse travel.<sup>2</sup>

The Open World Program was originally established as a Library of Congress-administered pilot project in 1999 to give emerging Russian political and civic leaders firsthand exposure to the American system of democracy through visits to local governments and communities

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<sup>1</sup> Eurasia here means Russia, Ukraine, Belarus, Moldova, Armenia, Georgia, Azerbaijan, Turkmenistan, Kazakhstan, Uzbekistan, Tajikistan, and Kyrgyzstan.

<sup>2</sup> Reverse travel is when someone affiliated with an Open World U.S.-based exchange travels to a participating Open World country and meets with alumni during this visit. In most instances, Open World cannot fund reverse travel or follow-on activities.

in the United States. Ongoing programs for Ukraine and Russian cultural leaders were added in 2003. Open World's "expansion countries"—Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, and Tajikistan—began participating in the program in 2007/2008.

The overall Open World Program now focuses primarily on developing a network of leaders who have an understanding of how American communities deal with contemporary challenges and who want to maintain contact with the American professionals and hosts they met during their working visits.

The Open World Leadership Center intends to award grants for the hosting of 61 delegations from the expansion countries listed above. Each delegation will consist of four delegates and one facilitator.<sup>3</sup> The Center invites U.S.-based organizations with either established foreign visitor programs or demonstrated ability to host foreign visitors to propose hosting up to 61 delegations from the expansion countries. Georgia will have 12 delegations; Tajikistan will have 9 delegations; the other four expansion countries will each have 10 delegations.

The following grant guidelines include a country-by-country list of broad themes and narrower special-focus areas that have been identified as programming priorities by the Center (see summary table on p. 23), in collaboration with the U.S. Embassy in each country.

Applicants are encouraged to bid on any hosting opportunities of interest to them; it is not necessary to bid to host for all delegations or all countries.

### **Grant applications for the Expansion Country Hosting Program are due COB Monday, March 9, 2009.**

The Center will provide grants for hosting delegations to approved organizations that support Open World's objectives (see below).

## **2009 EXPANSION COUNTRY HOSTING GRANT PROCEDURES**

### **Grants Overview**

The 2009 **Expansion Country Hosting Program** focuses on emerging political, civic, and community leaders from the national, regional, and local levels, and places a strong emphasis on helping create new, and furthering existing, partnerships among delegates and their U.S. counterparts. Most candidates are nominated by U.S. and expansion-country agencies and institutions, or by international organizations. Open World looks for talented leaders who are relatively young (usually no older than age 45). Candidates are vetted using the following criteria: demonstrated leadership skills and a commitment to building a civil society; extent

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<sup>3</sup> Facilitators are young citizens of participating Open World countries who accompany delegates from their respective countries. They have excellent English-language skills and often have experience traveling and/or living in the United States. They will provide after-hours interpretation support, especially for meals and cultural events, along with facilitating logistical and cross-cultural matters. Delegations from Tajikistan will consist of five delegates and one facilitator.

of activities in one or more of the thematic areas for Open World expansion-country exchanges; community involvement or volunteer work; participation in the political process; and established U.S. ties or the potential to forge such ties. Ideal nominees will have no previous travel to the United States. English-language ability is not required. Delegates and facilitators will be invited for up to 10-day exchanges<sup>4</sup> in the United States. Homestays with American host families are an integral element of the program.

## **Grant Guidelines Contents**

This document contains, in order:

- Grantee eligibility requirements
- Open World objectives
- Hosting themes, by country
- A table of hosting themes
- Proposed 2009 travel dates
- Grantee programming/administrative requirements
- Local-hosting document deadlines
- Results tracked by Open World
- Grantee financial responsibilities
- Key dates/deadlines
- Criteria for evaluating grant applications
- A grant proposal outline
- Annexes
  - Grant administration guidelines
  - Grant financial guidelines
  - Procurement guidelines
  - Cost principles
  - Suspension and termination
  - A form and instructions for estimating cost share
  - A glossary of terms

Please note: the section on results describes outcomes tracked by the Open World Leadership Center and delineates grantees' and local host organizations' role in helping report them.

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<sup>4</sup> Most delegations stay in Washington, D.C., for two days to attend an orientation program hosted by the Center, then spend eight days in the local host community. The rule of law delegations planned for the October 14 travel date will have a three-day D.C. orientation followed by a seven-day stay in the local host community. The April 14 Tajikistani delegations will spend two days in Washington, D.C., and nine days in the local host community.

## **Eligibility for an Open World Grant**

Any U.S.-based organization with either established foreign visitor programs or demonstrated ability to host foreign visitors is eligible. U.S.-based organizations with ongoing project activity or planned initiatives in any of the Open World expansion countries that can be furthered by an Open World visit should describe this activity. An applicant organization:

- Must demonstrate experience and expertise in the Hosting Theme(s) for which it is applying and/or establish cooperative agreements with expert local host organizations.<sup>5</sup>
- Will be given preference for a grant award if it demonstrates the ability to recruit host coordinators, presenters, and home hosts who are interested in maintaining contact with the delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
- Will be given preference for a grant award if its proposal demonstrates how results (as defined in pp. 27–29 below) will be accomplished, including the enhancement of existing partnerships and/or creation of new partnerships, specific follow-on projects, and plans for reverse travel.
- Will be given some preference for a grant award if its budget submission includes a significant cost share for Open World delegations, such as paying all or a significant portion of local hosting expenses, or all or portions of airfares.

## **Objectives**

Open World delegates include some of the participating countries' most dynamic, highly educated emerging leaders, who are eager to share their experiences with Americans for a mutually beneficial exchange of ideas. Open World's Hosting Program is designed to ensure that delegates have the opportunity to:

- Network with American professionals and hosts who are interested in maintaining contact beyond the seven- or eight-day community visit for ongoing cooperation and collaboration.
- Exchange views with influential representatives of appropriate federal, state, and local government agencies; civic organizations and other NGOs; and the business and education communities.

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<sup>5</sup> Local host organizations for past Open World exchanges have included local affiliates of grantee organizations; colleges and university-based centers; and civic associations. Each local host organization designates a host coordinator who will have overall responsibility for the seven- or eight-day community visit.

- Participate in community events, to gain an understanding of the community organizations' interactions with the government.
- Receive an overview of the relationships among:
  - a) the executive, legislative, and judicial branches of state and local government;
  - b) the business and civic communities and government; and
  - c) individual citizens and government.
- Share their professional expertise through planned formal presentations, panel discussions, and/or roundtables with American counterparts and contacts, and present information about their country's culture, history, and current affairs to members of their host community.

Through the Open World Program, the delegates should also be introduced to some basic concepts of American civil society so that they:

- Acquire an understanding of the important elements of American civil society, to be able to make constructive comparisons with civil society in their country.
- Acquire an understanding of governance in a mature democratic society and the rule of law in American society, including the concepts of accountability and transparency, the separation of powers, and the interrelationships of federal, state, and local governments.
- Acquire an understanding of the roles of American government, civic institutions, free enterprise, and voluntary organizations as they relate to the relevant Open World Hosting Theme.
- Develop a better understanding of American culture and society and contribute to enhanced American knowledge of their own society, culture, and institutions.

### **Hosting Themes**

The 2009 Expansion Country Hosting Program will offer a different set of themes for each expansion country. These themes were selected in close consultation with the U.S. Embassies in the expansion countries. Delegates will be selected based on their activities and background in one or more of the themes. Center staff and the Center's current logistical contractor, American Councils for International Education (American Councils), will work to place delegates in host communities that are comparable to their own communities and that can offer experiences and information directly relevant to the delegates' interests. Center staff and American Councils will work closely with grantees on matching specific delegates or specific types of delegates with approved grantee programs. Wherever possible, these placements will be based on already-established ties or concrete plans described in grant applications to forge new ones.

The host-community visit will give delegates firsthand experience with their professional counterparts' daily work routines and offer a view of American life through community and cultural activities and homestays.

The delegates will prepare for their host-community activities by attending a predeparture program (usually held in their home country's capital city) followed by an arrival orientation program conducted in Washington, D.C. If feasible, grantees will meet with their delegates and make brief presentations on their organizations during the orientation. The arrival orientation program will review the Open World Program's goals and provide an overview of the delegations' hosting theme(s) and special-focus areas; federal, state, and local government and their interrelationships; the balance of powers; current issues in U.S. governance and politics; the rights of individual citizens; and American culture. Delegates will be introduced to the Center's initiatives to foster ongoing professional and community networks, including Open World's Digital Directory. The delegates will also learn about American home life and practices to prepare them for their homestays.

Below, listed by country, are the Hosting Themes, each with an accompanying rationale and a general description of the types of delegates who will participate.

All hosting dates for the 2009 Expansion Country Hosting Program have been set, as have the themes for the groups traveling on those dates. This information is given in the Proposed Travel Dates/Themes Table (p. 23).

## **Azerbaijan**

### **1. Accountable Governance – Local Media**

**Rationale:** An independent, ethical, and professional media is essential to Azerbaijan's democratic future. Exposure to American standards of journalism and the protections afforded to independent journalists will help to bolster the quality of journalism in Azerbaijan, and the confidence of journalists from that country. Focusing on local media, particularly radio, will allow for a more robust form of community-based information and increased discussion of key public issues.

**Target Group:** Journalists, editors, broadcasters, NGO leaders and independent media experts.

### **2. Accountable Governance – Municipal Governance/Community Development**

**Rationale:** Azerbaijan is lacking in concerted efforts to improve governance at the municipal/community level. Open World will invite community leaders to the United States to see how their American counterparts provide social services, how these services are funded, and how private citizens work with the government in these endeavors. The goal will be to increase the capacity of community leaders from various regions to address inadequacies in the social services infrastructure of their communities.

**Target Group:** Mayors, city managers and other municipal administrators, regional and local legislators, policy researchers, public service providers, NGO leaders, and local business leaders involved in community development. A delegation may be composed of people holding similar positions in different cities or regions, or of people from the same community or region in an effort to support sister-city partnerships, specific projects, or cross-sectoral programming.

### 3. Accountable Governance – Urban Planning

**Rationale:** As the capital and largest city of Azerbaijan continues to experience the rapid growth that began after the fall of the Soviet Union, there is a need for managing that growth with the aim of providing better services for the population. This program should be focused on encouraging municipal leaders to gain awareness of urban and community planning in the United States and to discuss ways of implementing applicable programs in their home city. Urban leaders should also become sensitive to the ways in which planning affects individuals and communities, so they can consider such elements in their planning.

**Target Group:** Representatives of local municipalities in Baku, the executive administration of Baku, the Ministry of Emergency Situations, NGO leaders, community activists, journalists, and architects.

### 4. Environmental Planning/Ecotourism

**Rationale:** Azerbaijan faces serious environmental challenges. The Soviet era left many pollutants, including chemical and industrial waste, in both population centers and uninhabited zones. The oil and chemical industries have also contributed to the present air and water pollution problems, which are exacerbated by increasing traffic congestion. Several environmental organizations operate in Azerbaijan, yet minimal funding has been provided to begin necessary cleanup and prevention programs. Another problem is the overfishing by poachers that is threatening the survival of Caspian sturgeon stocks, the source of most of the world's caviar. As the tourism sector in Azerbaijan grows, protecting natural resources and providing opportunities for ecofriendly tourism should be a priority of the Azerbaijani government and tourism sector alike.

**Target Group:** Representatives of the Ministry of Ecology, members of the Ministry of Culture and Tourism, university environmental faculty, environmental NGO leaders, environmental activists, scientists, journalists, and representatives of ecotourism companies.

### 5. Rule of Law – Court Administration

**Rationale:** Azerbaijan's Ministry of Justice has been steadily modernizing judicial functions, including those of court administration. The government's goal is to improve efficiency and the ability to handle an expanded caseload in the future. By studying judicial infrastructure in the United States, court administrators and lawyers from Azerbaijan will be able to implement best practices in courtroom management upon their return home.

**Target Group:** Court support staff, and lawyers.

## 6. Rule of Law – Jury Trials

**Rationale:** Rule of law programming provides participants with an opportunity to observe the U.S. judicial system firsthand and the role of the rule of law as practiced in American society. Implementing jury trials, which is currently being considered in Azerbaijan, presents several challenges, not the least of which is learning how to conduct and manage such proceedings. Participation in this Open World program will provide Azerbaijani judges with insights into trial management.

**Target Group:** Judges.

## 7. Social Issues – Corporate Social Responsibility

**Rationale:** Azerbaijan has a growing private sector and there is a need to mobilize business leaders to increase social investments and develop ties with their communities.

**Target Group:** Small and medium-sized business leaders who have indicated an interest in increasing their involvement in community development.

## 8. Social Issues – Equal Participation in Public Life for People with Disabilities

**Rationale:** Sixty years have passed since the signing of the United Nations Universal Declaration of Human Rights, which states that each person has the “right to security in the event of unemployment, sickness, disability, widowhood, old age, or other lack of livelihood in circumstances beyond his control.” In Azerbaijan, the role of assuring that this declaration is adhered to is given to the Ministry of Social Protection. In the United States, the enactment of the American with Disabilities Act has generally expanded the civil rights of people with disabilities and has increased awareness of their rights. At the local level, community support (either government- or privately funded) enables people with disabilities to learn, develop life skills, be productive in meaningful work, find appropriate housing in the community, and participate in community life by providing educational, vocational, and counseling services, as well as other advancement opportunities. Azerbaijan would like to implement similar programs of community support.

**Target Group:** Policy makers such as officials of the Ministry of Social Protection, representatives of NGOs, and disability activists.

## 9. Social Issues – Family Courts/Social Services

**Rationale:** Azerbaijan is currently reviewing options for resolving family disputes, either through the legal system or through the provision of social services such as counseling. The Open World program will provide an opportunity for delegates to observe the adjudication of divorce, child custody, child and spousal abuse, and other family issues in American courts, as well as the use of dispute resolution to handle some of these matters. Delegates should



obtain information that will be helpful in enhancing the credibility of various dispute resolution options that previously have not been practiced in their communities, and should gain exposure to the typical social services infrastructure in American communities that exists to help troubled families or families in crisis.

**Target Group:** Judges, lawyers, NGO representatives, and/or activists in the field of dispute resolution.

## 10. Social Issues – Youth Leadership

**Rationale:** The goal of all societies is to develop human potential by providing youth with leadership skills that can be used throughout their lives, and this is the case in Azerbaijan. School-to-career educational opportunities and programs that build skills and competencies needed to live productive, healthy, and self-sufficient lives will prepare youth in Azerbaijan to become better contributing members of their society. By showcasing youth engagement in civil society in the United States, the Open World program will provide delegates an opportunity to see creative ways in which the energy of youth can be transformed through leadership activity and volunteerism into benefits for the community.

**Target Group:** Officials of the Ministry of Youth and Sport, youth activists, and youth-focused NGO leaders.

## Georgia

### 1. Accountable Governance – Examining Decentralization Options

**Rationale:** This past summer’s conflict with Russia, with its long-lasting implications, is one factor in an overall slowing of government-sector reform and decentralization in Georgia. While Georgia has reduced the number of its ministries and eliminated some overlapping authorities between ministries, and has instituted parliamentary, court, civil service, and local governance reform, many obstacles hinder the decentralization effort. These include too much centralized power in the executive branch and the frequent disruption of government operations by seemingly arbitrary changes in key personnel in ministries. In addition, the government’s relationship with civil society organizations has grown tense, and its control of these organizations has increased. While the government of Georgia has indicated a commitment to local governance reform and decentralization, dealing with both a deteriorating infrastructure and a lack of basic social services has taken priority over governmental reform efforts. Lack of governmental reform in Georgia in turn has stymied both private-sector development and badly needed economic growth.

**Target Group:** Mayors, municipal managers, Ministry of Finance staff responsible for intergovernmental transfers of funds to local governments. The delegation may contain a mix of local government leaders and central government leaders to explore public finance issues and service-delivery improvement options.

## 2. **Accountable Governance – Protection of Personal Data**

**Rationale:** In recent years, the Civil Registry Agency (CRA)—which provides Georgian citizens with documents such as passports, birth certificates, and national identification cards—implemented substantial reforms and improvements, including new policies regarding identification, passport issuance, and civilian registration. After the August conflict, many displaced persons were registered using these newly developed systems. Since the government of Georgia has decided to develop a unique personal identification number for each citizen, there is an urgent need to have well-protected personal data. CRA representatives would benefit greatly from a visit to the United States, where they can learn how federal and local government agencies access protected personal information, safeguard this information, and safely share this information with each other.

**Target Group:** Representatives of the Civil Registry Agency.

## 3. **Accountable Governance – Public Policy**

**Rationale:** At this point in its development, Georgia would benefit greatly from the creation of a new pool of leaders in the field of public policy. Exposure to the federal system of governance and public-policy issues in the United States would provide needed background for these leaders and promote diverse dialogue on Georgia’s policy options. Such a dialogue is needed in Georgia as it decides its future path of development.

**Target Group:** University professors, think tank experts, and NGO leaders.

## 4. **Education – Development of Alumni Associations/Career Centers in Higher Education**

**Rationale:** Georgia is looking at ways to diversify funding sources for institutions of higher education and provide more career guidance to university students. Participants in this program would visit American universities to see firsthand how alumni associations function, interact with students and graduates, and observe a wide range of activities such as social events, outreach programs, fundraising events, and university public relations campaigns. Participants in this Open World program would also examine the role of career centers at various colleges and universities and explore the relationship between career centers and alumni associations at the college/university level.

**Target Group:** Ministry of Education officials, higher education administrators, and other education experts, particularly those involved in the development of alumni associations and career centers.

## 5. **Education – Inclusive Education**

**Rationale:** The Ministry of Education and Science of Georgia recently announced an “Inclusive Education” initiative for mainstreaming children with disabilities into the general school system. A pilot program has been initiated to train teachers, representatives of

education resource centers, and individual experts for this initiative. The Open World program should enable a group of special education experts to become familiar with U.S. models of inclusive education, including online resources available to professionals serving special needs populations and the role of the federal government, academia, and NGOs in supporting inclusive educational programs.

**Target Group:** Ministry of Education officials, higher education administrators, and other education experts, including those involved in the above-mentioned “Inclusive Education” pilot program.

## **6. Education – Legal Education**

**Rationale:** With significant efforts being made in Georgia in the fields of judicial and legal reform, it would be timely for deans of law schools in Georgia to visit American law schools to review curricula, the specifics of various legal education programs, and student evaluation standards. Delegates should meet with their counterparts to share experiences concerning faculty administration, curriculum development, and the professional training of students, and to discuss the prospects for future collaboration and student exchanges.

**Target Group:** Law school deans and leading law school faculty.

## **7. Education – Medical Education**

**Rationale:** In the next two years, medical schools in Georgia will have to go through a national accreditation process based on international standards. It is very important for deans and administrators of medical schools to visit similar institutions in the United States to meet with their counterparts and investigate U.S. practices regarding clinical education, grading and evaluation standards, and academic career tracks. In addition to examining actual medical school curricula and observing training methods, participants should also visit hospitals, research facilities, and labs that are affiliated with the medical and nursing schools.

**Target Group:** Medical school deans and administrators.

## **8. Rule of Law – Clerks/Jury Trials**

**Rationale:** From 1920 to 1921, juries decided criminal guilt in Georgia; however, since 1921, no juries have convened. It is expected that Georgia will begin this year to implement jury trials for first-degree murder cases. Implementing jury trials presents several challenges, not the least of which is learning how to conduct and manage such proceedings. An Open World program developed for court clerks and administrators would improve their ability to prepare judges for hearings. It would also make clerks and administrators better prepared to manage an adversarial jury-trial system.

**Target Group:** Clerks and administrators.

## 9. Rule of Law – Police Testifying/Criminal Procedures

**Rationale:** With the new Criminal Procedure Code in place in Georgia, police officers will be testifying in court before judges and juries. Georgian police officials and officers did not testify in court in the past. Under this program, a group of police officials and officers would be sent to the United States to observe police and other law enforcement officers prepare to testify in court. This experience would also assist in the design of curricula for the future training of law enforcement officials.

**Target Group:** Georgian police officials and officers tasked with developing training and curricula for preparation for court appearances.

## 10. Rule of Law – Prosecutors and Courts/Public Relations

**Rationale:** In Georgia, public prosecutors do not have a strong standing in society and they are generally not admired by the citizenry. An Open World program would provide prosecutors an opportunity to see how U.S. prosecutors and the courts work to strengthen the reputation and image of prosecutors with the U.S. citizenry. Such a program would provide opportunities for public relations staff in Georgian prosecutors' offices and courts to meet their counterparts in the United States and learn about prosecutorial ethics and the ways that prosecutors provide information to the public.

**Target Group:** Administrators of prosecutors' offices, prosecutors, and public relations officials from prosecutors' offices and courts, from either the national or local level.

## 11. Rule of Law – Transnational Crimes

**Rationale:** Georgia has played an active role in the Anti-corruption Network for Eastern Europe and Central Asia (ACN), an Organization for Economic Co-operation and Development initiative. In order to be better prepared to fight against transnational crime, in part due to the current situation with displaced persons and the level of lawlessness in South Ossetia and Abkhazia, Georgian security, police, and investigatory professionals on this Open World program would meet with U.S. counterparts to learn how they fight transnational criminal activity, such as the smuggling of weapons and narcotics.

**Target Group:** Georgian security, police, and investigatory professionals involved in combating transnational criminal activity.

## Kazakhstan

### 1. Accountable Governance – Recycling/Waste Management

**Rationale:** Kazakhstan's government has emphasized the need to introduce a national waste management system to address the growing problem of openly stored industrial and municipal waste. Kazakhstan currently has few recycling facilities and limited waste

management expertise, which makes it difficult to reduce the significant environmental impact of openly stored industrial and municipal waste. This program will introduce Kazakhstani experts to the best U.S. waste management practices. It will also demonstrate that commercial recycling can be both profitable and beneficial, and examine ways that the public sector can encourage businesses to get involved with waste management.

**Target Group:** Government officials, recycling company representatives, national waste management authorities, and environmental NGO representatives.

## **2. Accountable Governance – Strengthening Emergency Response Capabilities**

**Rationale:** This program is designed to increase Kazakhstan’s capacity to respond to both man-made and natural disasters. In particular, it will enable participants to experience how U.S. agencies at the local, regional, and national levels work together, as well as with the nonprofit sector, to respond to emergency situations. The program will also expose officials to the structure of the U.S. emergency medical system, including the concept of Emergency Medical Technicians (EMTs) and community-based training.

**Target Group:** Officials from the Ministry for Emergency Situations (MChS), Ministry of Internal Affairs (MVD), and Ministry of Defense; city and regional administrators; nongovernmental organizations involved in disaster response.

## **3. Accountable Governance – Strengthening Local Governance**

**Rationale:** Kazakhstan recently initiated reforms aimed at decentralizing decision-making and developing a better system of local governance (one that is still dominated by the President, but that provides more responsibility to local governments), and in January 2009, the national parliament passed a new law on local self-government. This program will offer participants a positive model for the development of mayors, city/rural area administrators, and other local government officials. In particular, it will focus on the administration of relevant local government institutions and how they serve their constituents. Participants will be exposed to different ideas about the role of local government and its institutions. The program will also encourage the development of best practices in governing. Participants should examine methods of ensuring government transparency, the development of regulations to implement laws after they are passed, and codes of ethics for government officials.

**Target Group:** Mayors, city/rural area administrators, local government legal advisors/lawyers, and civil society activists.

#### 4. Accountable Governance – Traffic Safety

**Rationale:** As Kazakhstan pursues a program of decentralization and more accountable local governance, more government bodies will examine the role of public, private, and nonprofit institutions in promoting traffic safety. Through meetings and site visits with state and local government bodies, law enforcement, schools, and nonprofit organizations, participants will have an opportunity to examine the following topics:

- the role of transparent driver tests in increasing traffic safety;
- the promotion of traffic safety by enforcement of red lights, stop signs, and rules of the road;
- the impact of drunk driving on traffic safety;
- benefits of increasing seatbelt and car-seat use;
- the success of interventions focusing on the special challenges faced by teens, older drivers, and pedestrians;
- media campaigns such as National Teen Driver Safety Week;
- public-private partnerships to promote safe driving;
- the promotion of traffic safety through improved road infrastructure and increased pedestrian facilities; and
- the role of traffic safety laws, such as cell phone bans.

**Target Group:** Representatives of the public, private, and nonprofit sectors who have an interest and/or expertise in traffic safety issues.

#### 5. Accountable Governance – Women’s Political and Civic Leadership

**Rationale:** Kazakhstan is proud of its record on gender equality. However, men overwhelmingly predominate in top-level executive branch positions, in the parliament, and in ownership and top management in business. Only 12 percent of parliamentarians are women, and only one of 20 Cabinet members is a woman. The Open World program will encourage and empower female political and civic leaders by providing interaction with American women holding positions in the government, political parties, and civic organizations. It will demonstrate to its participants the numerous ways that women’s leadership can be developed and exercised. The program will focus on the role of women leaders and the skills that they need to become leaders, whether in the political or civic spheres.

**Target Group:** The program is intended for parliamentarians, government officials, politicians, and civil society activists.

#### 6. Rule of Law – Financial Crime/Money-Laundering Issues

**Rationale:** In 2009, Kazakhstan’s government will continue its work to adopt anti-money laundering legislation and laws aimed at fighting the means by which terrorists are funded. Money laundering is an important issue in Kazakhstan because of narco-trafficking routes that run through the country and the lack of maturity of Kazakhstan’s banking system.

Without effective deterrents, Kazakhstan is in danger of becoming a center for financial crimes and money laundering. Though money laundering is included in the current criminal code, the provisions are of limited use as the judicial system does not yet have the capacity to effectively deal with the growing number and complexity of financial crimes. Although a financial-transactions policing force is being trained, and assistance will be provided to a newly created financial intelligence unit, judges must also have the tools to try such cases. This program will allow Kazakhstani judges to study U.S. best practices for adjudicating money-laundering crimes, carrying out forfeiture actions, and handling other judicial procedures related to financial crimes.

**Target Group:** Judges of various levels from throughout the country involved with commercial/banking/financial matters.

## **7. Rule of Law – Transparency and Efficiency for Regional-Level Judges**

**Rationale:** Corruption is pervasive in Kazakhstan and is considered a source of the public's apathy toward judicial and legal reforms. There have, however, been improvements in the Kazakhstani judicial system. Judges are better paid than elsewhere in the Central Asian republics. Judicial-training opportunities are provided to both new and sitting judges. Court recording systems, which provide greater transparency in judicial proceedings, are being installed in some courts. There is a functioning judicial association, the Union of Judges of Kazakhstan, and a procedure for the removal of unethical judges. However, despite efforts to strengthen the judiciary, the public perception, whether warranted or not, is that the judiciary is highly susceptible to bribery and political influence and is highly corrupt. This program will expose participants to U.S. judicial standards, practices, and codes of ethics designed to prevent corruption and promote transparency and respect for the judiciary.

**Target Group:** Regional-level judges and court officials from throughout the country.

## **8. Social Issues – Disability Rights**

**Rationale:** On December 11, 2008, Kazakhstan signed the Convention on the Rights of Persons with Disabilities. Nevertheless, citizens with disabilities continue to face significant challenges. According to data from Kazakhstan's Ministry of Labor, approximately 10 percent of the population is disabled. Although the government has passed several disability acts and conducted "Programs on the Rehabilitation of Disabled People" from 2002–2005 and 2006–2008, people with disabilities continue to require improved health care, greater financial assistance, and increased educational opportunities. This program will expose participants to the legal framework that protects the rights of people with disabilities in the United States and explore how this framework operates in practice. It will also examine resources available to advance the success of people with all types of disabilities, including through both government programs and public/private partnerships.

**Target Group:** NGO activists and government officials working on disability issues. Note: some participants for this program may have physical disabilities.

## 9. Social Issues – Higher Education in America

**Rationale:** Kazakhstan’s Bolashak (Future) Program, a government educational initiative that provides fellowship support to promising Kazakhstani students to study at leading universities around the world, sends up to 3,000 Kazakhstani students abroad every year to pursue both undergraduate and graduate degrees. In 2008, Bolashak scholars studied at 630 leading universities in 32 countries. Through this Open World program, individuals responsible for advising and placing students in U.S. universities will receive firsthand exposure to higher education in America through meetings with education professionals and visits to university campuses. The program will specifically focus on graduate programs and emphasize the strength of U.S. universities in science and medicine.

**Target Group:** Bolashak officials, and student advisors from major universities in Kazakhstan.

## 10. Social Issues – Promoting Religious Diversity

**Rationale:** Kazakhstan is proud of its tradition of religious tolerance, yet at the same time, the government and society remain wary of religious groups not traditional to the country, such as evangelical Protestants, Mormons, Jehovah’s Witnesses, and Hare Krishnas. Of particular concern is legislation recently passed by parliament and currently undergoing review by the Constitutional Court that would make a distinction between large and small religious groups, limiting the rights of the latter. The Open World program will expose participants to the religious diversity of the United States. The program will also provide opportunities for participants to examine how religious freedom became a tenant of America’s government, gain an understanding of the institutions and laws necessary to maintain freedom of religion, and learn how to promote religious tolerance and foster and conduct interfaith dialogue. This program is aimed at increasing the capacity to develop legislative and civic frameworks that respect the religious freedom of all religious groups, in accordance with the norms of a democratic society.

**Target Group:** Government officials, religious leaders, and civil society activists.

## Kyrgyzstan

### 1. Accountable Governance – Cultural Preservation/Arts Management

**Rationale:** Kyrgyzstan has a rich cultural heritage that it is struggling to preserve in order to bolster national pride. In addition, Kyrgyzstan has rich artistic talent but lacks the ability to manage, display, and market it, which deprives the country of the intellectual and civic benefits of the arts. The Open World program will focus on how the arts and cultural preservation are supported through government, business, and nonprofit initiatives at the national and local level in the United States. Participants will also benefit from meetings with nonprofit organizations that help individual artisans with marketing and business management.



**Target Group:** Government officials, NGO representatives, and museum directors.

## **2. Accountable Governance – Ecotourism (National Parks/Lakes)**

**Rationale:** Kyrgyzstan has great potential to develop tourism to its national parks and lakes, opening itself to the world and earning much-needed revenue. The proposed Open World program will focus on how tourism can be promoted with environmentally sound management through public and private partnerships.

**Target Group:** Federal and local government officials involved in environmental management and/or tourism promotion, NGO representatives, and relevant business owners.

## **3. Accountable Governance – Government Press Services**

**Rationale:** Ministries need effective press services to communicate their work to the public, a process that demands more accountability from the ministries. In engaging the media and public, press services can also provide feedback to the ministries. The program will highlight how an effective government press service can lead to greater transparency in government services. Participants will benefit from meetings with their U.S. counterparts and with members of the media.

**Target Group:** Members of the press services of various government agencies.

## **4. Accountable Governance – Parliamentary Staffers (Researchers)**

**Rationale:** Legislative leaders in Kyrgyzstan are eager to have parliamentary staff observe the federal, state, and local legislative process in the United States. The Open World program should contain a strong component on how the legislative branch in all three levels develops and relies on its own sources of information and expertise in order to maintain independence from the executive branch and improve the quality of its work.

**Target Group:** Parliamentary staffers.

## **5. Education – School Administrators (Primary Education)**

**Rationale:** School directors (“principals”) are underpaid and often not paid attention to at the national level, but are also an influential group in Kyrgyzstan. They often stay in their jobs longer than other government employees and are less affected by political changes that lead to higher turnover rates for university administrators. School directors also often have high social standing in rural communities. The program will focus on the administration of primary schools, with components highlighting early education, English-language programs, and after-school programs in both urban and rural areas. The goal of this program is to promote progressive educational reform in Kyrgyzstan. The areas highlighted for Open World programming above, especially the administration of schools, are areas in which Kyrgyzstan has suffered from the former centralized Soviet education model, and there is

great need for school directors and others involved in education reform to observe educational innovations that can help them improve their schools and the educational services that they provide, including models for how to engage the community in the education process through public/private partnerships and other models.

**Target Group:** Primary school directors/administrators, education officials, and NGO representatives.

## **6. Education – School Administrators (Secondary Education)**

**Rationale:** School directors (“principals”) are underpaid and often not paid attention to at the national level, but are also an influential group on Kyrgyzstan... They often stay in their jobs longer than other government employees and are less affected by political changes that lead to higher turnover rates for university administrators. School directors also often have high social standing in rural communities. The program will focus on the administration of secondary schools, with components highlighting English-language programs and after-school programs in both urban and rural areas. The goal of this program is to promote progressive educational reform in Kyrgyzstan. The areas highlighted for Open World programming above, especially the administration of schools, are areas in which Kyrgyzstan has suffered from the former centralized Soviet education model, and there is great need for school directors and others involved in education reform to observe educational innovations that can help them improve their schools and the educational services that they provide, including models for how to engage the community in the education process through public/private partnerships and other models.

**Target Group:** Secondary school directors/administrators, education officials, and NGO representatives.

## **7. Rule of Law – Judges Program**

**Rationale:** The government of Kyrgyzstan has made considerable progress in improving its legal codes and has demonstrated a willingness to implement jury trials, address judicial corruption, and improve access to justice. The Open World program will focus on rule of law/judicial reform issues, including judicial independence and administration, jury-trial practices, judicial ethics, case management, and court administration.

**Target Group:** Judges, court administrators.

## **8. Social Issues – Domestic Violence Prevention**

**Rationale:** Human Rights Watch recently issued a letter to President Bakiev identifying a “noticeable downgrading of women’s rights by the Kyrgyz authorities” and asking him “to make domestic violence and the abduction of women for forced marriage (bride-kidnapping) a priority policy concern.” The Open World program will focus on successful public and private initiatives in the United States that help prevent domestic violence and support and treat victims.

**Target Group:** Federal government officials and NGO representatives working in the field of domestic violence prevention and the treatment of victims.

## 9. Social Issues – Sports Management

**Rationale:** The government of Kyrgyzstan and its citizenry have great enthusiasm for sports, but little success in organizing this sector effectively. Creating an organized culture of sports will improve health and teach Kyrgyzstanis to have more respect for rules. The program will focus on how the promotion of sports and athletics—both in schools and with associations—at the national, regional, and local levels can contribute to overall community development.

**Target Group:** Federal government and education officials involved in the organization and promotion of sports.

## Moldova

### 1. Accountable Governance – General/Best Practices

**Rationale:** Local-government reform efforts in Moldova focus on how local government bodies govern, their structure, funding sources, designated authorities and powers, and public outreach efforts. This program will provide a general overview of the U.S. local governance system, institutional structures, budgetary planning practices, and the development of, and continuity provided by, nonpartisan career staff. Emphasis will also be placed on urban development principles, practices, and planning; land-use planning rules and regulations; implementation and oversight of publicly funded economic development programs; administrative regulation of urban development; financing of economic development projects; citizens' involvement in local government decisions; and public/private partnership in urban development.

**Target Group:** Local officials and staff from city and district (raion) government offices, and NGO representatives.

### 2. Accountable Governance – The Media's Role in Informing the Public

**Rationale:** In democratic countries, the media performs a fundamental duty as an intermediary/interpreter between government and the public. Transparency in society is partially achieved by the public being able to obtain accurate information on the workings of government. How does the media get information from government agencies? What role does the media play in conveying the government's messages to the public? How does the media relate/interact with agencies and the public? How can the media play a role in making the activity of government agencies more visible and understandable to members of the public? In Moldova, the media is, for the most part, passive and does not have a proper business model for becoming viable and independent. The Open World programs will explore these questions in an effort to help Moldova develop a more independent media that

can provide more transparency and openness in the flow of information and ideas in Moldova.

**Target Group:** Journalists, representatives of NGOs, and representatives of the Moldovan Center for Combating Corruption.

### 3. **Accountable Governance – Regional Media**

**Rationale:** Many outlying regions of Moldova have no local or regional media, thus people only receive information generated in Chisinau or other countries, particularly Russia. By increasing the quantity and enhancing the quality of local and regional broadcast outlets, Moldova can ensure that citizens outside the capital have access to information about local events and issues, and a variety of viewpoints on them. However, for this to be effective, local media outlets must be independent and economically self-sufficient, and the level of journalistic quality must be high enough to merit an audience. During their visit to the United States, these delegations will observe how the press operates at the local level, and explore the relationships between local and national media outlets in providing the public with information about both local and national issues and examine how local American media remain viable in challenging economic times.

**Target Group:** Current and potential owners, managers, and journalists of small, regional media outlets.

## **Tajikistan**

### 1. **Accountable Governance – Journalists/Anticorruption**

**Rationale:** The press in Tajikistan carries the legacy of passivity from Soviet times. It would be beneficial for journalists in Tajikistan to observe how the free mass media exposes and combats corruption. The Open World program should focus on how the U.S. media analyzes public records and independent sources, gathers facts, and uses these to report on government officials and others and hold them accountable to the public. Tajikistani journalists could observe and meet with American investigative journalists and visit journalism schools in the United States to gain this insight.

**Target Group:** Journalists and employees of media trade organizations and advocacy groups.

### 2. **Accountable Governance – Local Governance**

**Rationale:** Despite recent advances in democracy in Tajikistan, lack of transparency in all government processes raises concerns about the country's future and demonstrates the weakness of civil society. Corruption is pervasive, and power is consolidated in the hands of a relatively small number of individuals. A more informed and active electorate is needed, and government officials and civic leaders could benefit greatly from observing the management and administration of government entities; citizen engagement in the decision-

making process; and administrative problem solving at the local level (decentralization) in the United States.

**Target Group:** Elected government leaders at the town or village level, and municipal officials who work in town or village administrations.

### **3. Accountable Governance – Potable Water Management**

**Rationale:** Tajikistan needs to encourage collaboration between government institutions at the national and local levels concerning the supply of rural drinking water in order to improve accountability, sustainability, and effective delivery. As a result of lack of coordination at the national level, and an overreliance on international donors, potable water is not widely provided to the population and is often contaminated with industrial and agricultural runoff. Cholera and typhoid outbreaks are frequent in rural areas. Participants could benefit from observing how governments, nongovernmental organizations, and the private sector cooperate to manage rural water supply systems in the United States, including the distribution of water to users, and the maintenance of water-supply quality. Delegates should witness how Americans engage in finding solutions to water management problems and conduct effective monitoring and assessment of water sources.

**Target Group:** Employees of the Ministry of Water Management and local water authorities.

### **4. Energy Management**

**Rationale:** Tajikistan has regularly occurring problems with the power supply, especially during severe winter weather, when the antiquated infrastructure cannot meet demand. In winter, most regions of Tajikistan have electricity for only three hours a day, and even the capital of Dushanbe is in the dark for up to 14 hours a day. Hydropower stations are the main source of electricity but cannot meet current or future needs. Although the country has 300 days of sun a year, investment in solar power is nonexistent. Participants could benefit from observing the work of small hydroelectric power stations and production units for solar energy and other alternative energy sources in order to have examples that might be adopted and applied in Tajikistan.

**Target Group:** Employees of the Ministry of Power Engineering and Industry and the state power company Barki Tojik, regional energy offices, and energy entrepreneurs.

### **5. Rule of Law – Lawyers/Prosecutors**

**Rationale:** The judicial system in Tajikistan does not currently allow criminal and civil cases to be tried fairly and efficiently. It would benefit lawyers and prosecutors from Tajikistan to observe the adversarial process in the United States and to study on-site how evidentiary issues and courtroom procedures are handled.

**Target Group:** A mixed delegation of defense attorneys and prosecutors who will observe together how the adversarial process works in the United States and how discovery and due diligence are practiced on both sides of the adversarial process.

## **6. Social Issues – Child Protection**

**Rationale:** Child labor is widely used in Tajikistan. Every year, the media carries reports of school-age children working in the fields during harvest and cotton gathering season (school-age children pick an estimated 40 percent of Tajikistan’s cotton). This violation of child labor laws takes place mainly in the south of Tajikistan and in areas directly under government control. Another area of concern is the treatment of juvenile offenders, which does not focus on rehabilitation and integration back into society. The Open World program will focus on government and NGO institutions that provide protective services to children and support to families at risk, as well as on organizations that specialize in issues of juvenile justice and alternative resolution/sentencing.

**Target Group:** Officials from the Ministry of Labor and Social Protection, and NGO leaders involved in protection of child rights.

## **7. Social Issues – Maternal and Child Health**

**Rationale:** The public health system in Tajikistan is antiquated and ill serves the population. Health care administrators have little management experience and guidance, and use the Soviet health care system as a model. The health care system offers little in the way of specialized or innovative care, especially with regard to maternal and child health. Health practitioners from Tajikistan will benefit from visiting maternity wards and clinics, prenatal care facilities, and public and private organizations involved with promoting maternal and child health in the United States.

**Target Group:** Government officials in charge of public health programs, health practitioners involved in maternal and child health provision, and NGO leaders involved in maternal and child health sector reform.

## 2009 Expansion Country Proposed Travel Dates/Themes Table

Country	Travel Date	Theme	Number of Delegations
<b>Azerbaijan</b>	May 27, 2009	Accountable Governance – Local Media	One (1)
		Accountable Governance – Municipal Governance/Community Dvlopmt.	One (1)
		Accountable Governance – Urban Planning	One (1)
		Environmental Planning/Ecotourism	One (1)
		Social Issues – Corporate Social Responsibility	One (1)
		Social Issues – Equal Participation in Public Life for People w/ Disabilities	One (1)
		Social Issues – Family Courts/Social Services	One (1)
<b>Azerbaijan</b>	Oct. 14, 2009*	Rule of Law – Court Administration	One (1)
		Rule of Law – Jury Trials	One (1)
<b>Georgia</b>	May 13, 2009	Accountable Governance – Public Policy	One (1)
		Education – Development of Alumni Associations/Career Centers	One (1)
		Education – Inclusive Education	One (1)
		Education – Legal Education	One (1)
<b>Georgia</b>	Nov. 4, 2009	Accountable Governance – Examining Decentralization Options	One (1)
		Accountable Governance – Protection of Personal Data	One (1)
		Rule of Law – Clerks/Jury Trials	One (1)
		Rule of Law – Police Testifying/Criminal Procedures	One (1)
		Rule of Law – Prosecutors and Courts/Public Relations	Two (2)
<b>Kazakhstan</b>	May 7, 2009	Accountable Governance – Recycling/Waste Management	One (1)
		Social Issues – Disability Rights	One (1)
		Social Issues – Higher Education in America	One (1)
		Social Issues – Promoting Religious Diversity	One (1)
<b>Kazakhstan</b>	Sept. 10, 2009	Accountable Governance – Strengthening Emergency Response	One (1)
		Accountable Governance – Strengthening Local Governance	One (1)
		Accountable Governance – Traffic Safety	One (1)
		Accountable Governance – Women’s Political and Civic Leadership	One (1)
<b>Kazakhstan</b>	Oct. 14, 2009*	Rule of Law – Financial Crime/Money-Laundering Issues	One (1)
		Rule of Law – Transparency and Efficiency for Regional-Level Judges	One (1)
<b>Kyrgyzstan</b>	June 10, 2009	Accountable Governance – Cultural Preservation/Arts Management	One (1)
		Accountable Governance – Ecotourism (National Parks/Lakes)	One (1)
		Accountable Governance – Government Press Services	One (1)
		Accountable Governance – Parliamentary Staffers (Researchers)	One (1)
		Social Issues – Domestic Violence Prevention	One (1)
<b>Kyrgyzstan</b>	Sept. 9, 2009	Education – School Administrators (Primary Education)	One (1)
		Education – School Administrators (Secondary Education)	Two (2)
		Social Issues – Sports Management	One (1)
<b>Kyrgyzstan</b>	Oct. 14, 2009*	Rule of Law– Judges Program	One (1)
<b>Moldova</b>	Sept. 24, 2009	Accountable Governance – General/Best Practices	Four (4)
		Accountable Governance – The Media’s Role in Informing the Public	Three (3)
		Accountable Governance – Regional Media	Three (3)
<b>Tajikistan</b>	April 16, 2009	Accountable Governance – Local Governance	Two (2)
		Social Issues – Maternal and Child Health	Two (2)
<b>Tajikistan</b>	Oct. 1, 2009	Accountable Governance – Journalists/Anticorruption	One (1)
		Accountable Governance – Potable Water Management	One (1)
		Energy Management	One (1)
		Rule of Law – Lawyers/Prosecutors	One (1)
		Social Issues – Child Protection	One (1)

\* October 14 rule of law delegations will be hosted by federal judges or federal courts in U.S. host cities to be determined by the U.S. Judicial Conference’s International Judicial Relations Committee, Open World’s rule of law partner. Each host judge or court will be matched with a local host organization that will provide logistical and administrative support and assist with program planning. Applicants are encouraged to indicate in their proposal how many delegations they wish to assist on this date. Please contact Program Manager Jeffrey Magnuson at [jmag@loc.gov](mailto:jmag@loc.gov) for more information.

## **Grantee Programming and Administrative Requirements**

Successful grantee organizations will be responsible for eight days and eight nights<sup>6</sup> of programming (including weekends) for delegations (most consisting of four delegates and one facilitator) arriving in the United States between April 16, 2009, and November 14, 2009.

Grantee organizations will be expected to successfully complete and/or oversee the following programmatic and administrative activities:

- Recruit and select local host organizations and families. The local host organizations must demonstrate expertise in, and programming resources for, the Hosting Theme(s) and special focus area(s) selected by the grant applicant. Programs should emphasize mutual learning and dialogue. Grantees are encouraged to recruit host coordinators, presenters, and home hosts who are interested in maintaining contact with their delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
- Ensure that local hosts register, and have the local hosts encourage presenters and host families to register, on the Open World Digital Directory at <http://dd.openworld.gov> before the delegates' arrival.
- Be responsible for effective implementation of individual programs developed by local host organizations.
- Participate, either in person or via telephone conference, in coordination meetings with representatives of the Center and/or representatives of American Councils.
- Help make arrangements for Center staff to conduct site visits during local hosting programs, if requested by the Center.
- Submit required reports by scheduled deadlines, including the host coordinator post-program report for each visit. (For a description of the post-program report, see p. 27.)
- Report on visit outcomes as required (see Results section below).
- Adhere to federal income tax regulations.
- Assist the Center in coordinating press outreach with local host organizations.

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<sup>6</sup> See Footnote 4.



Grantees are responsible for assuring that they or the local host organizations will:

- Provide local transportation during participants' visits, beginning with pickup at the U.S. final destination airport and ending with delivery to the departure airport. **Participants may only take public transportation to professional activities if a local escort accompanies them, and American Councils must be notified in advance of any such plans.**
- Provide a suitable homestay placement for each delegate, usually for eight days, including one weekend. **Homestays are a centerpiece of the Open World experience and a major factor in grant application evaluations.** The Center will consider proposals that include hotel or other paid accommodations under **unique** circumstances, but priority will be given to proposals providing for homestays. Each delegate should be given his or her own private bedroom. If this cannot be arranged, American Councils must be notified.
- Ensure that breakfast, lunch, and dinner are provided daily to the delegates and facilitator(s) during their stay.
- Provide a suitable homestay placement for the facilitator.
- Provide professional and adjunct interpretation for ALL professional program activities. **The Center requires high-quality professional interpretation for Open World delegations and recognizes that this affects budgets.** Interpreters who are certified by the U.S. Department of State or a state or local agency that certifies legal and medical interpreters are preferred. The Center would prefer that grantees hire interpreters fluent in the expansion countries' native languages. However, Russian is an acceptable alternative for all delegations except those from Georgia and Moldova. Open World facilitators are not to provide interpretation for group professional meetings.
- Prepare a seven, eight, or nine-day program for each participant group that reflects the selected Hosting Theme and special-focus area, and includes other activities that meet program objectives. Approximately **32–36 hours** of programming should directly address the Hosting Theme and special-focus area. Cross-cultural activities should be scheduled for weekends and some evenings. A cross-cultural activity is an activity designed to promote exposure and interchange between the delegates and Americans so as to increase their understanding of each other's society, culture, and institutions. Cross-cultural activities include cultural, social, and sports activities.
- Ensure that delegates have voluntary opportunities to share their professional expertise and knowledge about their native country in meetings with their American counterparts and in public settings such as conferences, colloquia, classroom and civic-association presentations, town meetings, and media interviews.

- Coordinate with the Center on congressional outreach in the local communities and ensure where possible that delegates have the opportunity to meet with members of Congress or their local staff.
- Provide a review session near the end of the visit for the delegates, facilitator(s), and host coordinator to review program successes/weaknesses and to identify any new projects, or any joint projects, reciprocal visits, or other continued professional interactions between delegates and their new American contacts, that will likely result from the Open World trip.
- Coordinate with the Center on press outreach, including sharing drafts of any press material developed for each delegation in advance, if requested, and reviewing any relevant press material developed by the Center, if requested. Local press releases for any of these Hosting Programs must credit the Open World Leadership Center.
- Track results (see Results section below) efficiently and regularly report them. Local host organizations must report certain categories of results (as described below) to their grantee organization, which in turn must report them to the Center. In addition, the Center may ask local host organizations to administer a participant survey.

### **Grantee Interaction with Open World Logistical Contractor**

Open World's logistical contractor, American Councils, will provide the Center with administrative and logistical support, including assistance with (a) planning, oversight and administration of the nominations process in the countries included in this solicitation, (b) visas and travel arrangements, (c) selection and training of facilitators, (d) formation of delegations, (e) organization of predeparture orientations, and (f) review of delegate programs in consultation with the Center. Grantees and their local hosts will be required to work closely with American Councils and meet the relevant deadlines in the table on p. 27.

### Document-Exchange Deadlines for an Open World Visit

This table lists the major deadlines for information and document exchange between local host coordinators/grantees and Open World’s logistical contactor, measured backward from the delegation’s U.S. arrival date (two to three days before the host-community arrival date).

<i>Deadline</i>	<i>Host Coordinator provides:</i>	<i>American Councils provides:</i>
<i>8-6 weeks before arrival</i>		<ul style="list-style-type: none"> <li>• Participant Names and Profiles</li> </ul>
<i>4 weeks before arrival</i>	<ul style="list-style-type: none"> <li>• Draft Program Agenda</li> <li>• Host Family Contact Information and Brief Bios</li> <li>• Community Profile (if requested)</li> </ul>	<ul style="list-style-type: none"> <li>• Flight Itineraries</li> </ul>
<i>2 weeks before arrival</i>	<ul style="list-style-type: none"> <li>• Resumé of Professional Interpreter(s)</li> </ul>	
<i>1 week before arrival</i>	<ul style="list-style-type: none"> <li>• Updated Program Agenda</li> <li>• Emergency Contact Information</li> </ul>	
<i>3 weeks after departure</i>	<ul style="list-style-type: none"> <li>• Post-program Report*</li> </ul>	<ul style="list-style-type: none"> <li>• Delegation Feedback on Program to Grantee</li> </ul>

\*This report must include a Host Narrative Form. (The form, provided by American Councils, asks for information on professional activities, actual and potential trip results, and host-coordinator comments and recommendations.) The post-program report is also to include the final program agenda, host family contact information, any press coverage of the visit, and any survey forms completed by the delegates at the Center’s request.

### **Results**

The Open World Leadership Center tracks results of the Open World Program using eight categories, or “bins.” Below are definitions and examples of these categories, along with language explaining which results categories grantee and local host organizations *must* report on and which categories they are *encouraged* to report on.

1. **Benefits to Americans** – The Open World Program strives to promote **mutual** understanding and benefit. Hosts, local leaders, professionals, and others in the American host communities often receive new ideas and information from Open World delegates. Local hosts often benefit from the community outreach and publicity resulting from delegation visits, and some communities receive economic benefits from ongoing partnerships.

*EXAMPLES:* Estimated number of people in the audience for presentations made by Open World delegates, number of presentations. “Reverse success stories” of how Americans adopted ideas from Open World delegates.

(Grantee or local host organizations *must* report on benefits to Americans in the host narrative submitted after the conclusion of each exchange. Grantees *must* report any post-hosting benefits in their final report. For a brief description of the final report, see p. 31.)

- 2. Partnerships** – An American organization involved in the Open World hosting program partners with an organization from the delegates’ country on a joint project or starts an affiliate in that country.

*EXAMPLES:* university-to-university partnerships on distance learning, sister-court relationships, community-to-community interactions between local governmental entities.

(Grantee or local host organizations *must* report in the host narrative on any partnerships [and other follow-on activities] expected to result from an exchange. Grantee organizations *must* report on actual post-visit partnership activities in the final report; local host organizations are *encouraged* to report on actual post-visit partnership activities by e-mailing results@loc.gov [please use Partnerships in the subject line].)

- 3. Projects** – A delegate returns home and implements an idea inspired by the Open World experience.

*EXAMPLES:* Opening an after-school activity center; using retired citizens as volunteers in a school; writing and distributing pamphlets on HIV prevention; opening city council meetings to the public.

(Open World typically obtains information on post-visit projects from alumni, but grantee or local host organizations *must* report in the host narrative on any projects expected to result from an exchange. Grantee organizations *must* report on actual projects in the final report; local host organizations are *encouraged* to report on actual post-visit projects by e-mailing results@loc.gov [please use Projects in the subject line].)

- 4. Multipliers** – A delegate returns home and shares his/her new knowledge with others, thereby “multiplying” the Open World experience.

*EXAMPLES:* Number of presentations and number of people in the audience; delegate websites launched or expanded with information gleaned during the Open World visit.

(Open World typically obtains such information from alumni, but grantee or local host organizations *must* report in the host narrative on potential multiplier events mentioned by delegates. Grantee organizations *must* report in the final report on any actual multiplier events that they learn about; local host organizations are *encouraged* to report them by e-mailing results@loc.gov [please use Multipliers in the subject line].)

- 5. Reciprocal Visits** – Americans associated with the Open World hosting experience visit the delegates' home country and meet with Open World alumni or work on an Open World–inspired project.

(Grantee or local host organizations *must* report in the host narrative on potential reciprocal visits discussed during the delegation visit. Grantee organizations *must* report on reciprocal visits by their staff and local affiliates in the final report; local host organizations are *encouraged* to report on reciprocal visits by Open World host coordinators, host families, and presenters by e-mailing results@loc.gov [please use Reciprocal Visits in the subject line].)

- 6. Press** – A delegation's U.S. visit is covered in the local broadcast and/or print media, or Open World receives print or broadcast coverage in an Open World country.

(Local host organizations *must* submit copies of any press articles [in clear copies with full text and complete information on source, author, date, and page location] on each Open World exchange they host as part of the post-program report. Local hosts should request copies of tapes of any local TV or radio coverage and send any received to Open World's logistics contractor with the post-program report. Grantee organizations are *encouraged* to include with the final report press articles that appeared after the local host's post-program report was submitted.)

- 7. Contributions** – in-kind (in hours or material goods) or cash donations.

*EXAMPLES:* Football game tickets, volunteer hours to plan and execute hosting of delegates, private-sector donations to support Open World events.

(Grantees *must* fill out and submit the Open World Cost-Share Estimation Form/s [Annex VI] by February 1, 2010. Please e-mail any questions about this form to jsar@loc.gov using COST SHARE in the subject line.)

- 8. Professional Advancement** – Alumni are promoted or experience other career enhancements after their Open World visit.

*EXAMPLES:* Grant awards, promotions, and scholarships received by alumni; number of alumni who run for office; number of alumni who are elected to office; number of alumni who obtain official positions in voluntary organizations.

(Open World typically obtains information on professional advancement from alumni. However, grantee organizations that learn such information about a delegate they have hosted *must* report it in the final report; local host organizations are *encouraged* to report it by e-mailing results@loc.gov [please use Professional Advancement in the subject line].)

## Grantee Financial Responsibilities

### **PLEASE READ CAREFULLY – SOME REQUIREMENTS HAVE CHANGED FROM PREVIOUS GRANT GUIDELINES.**

All grant applications must include an accounting of any administrative cost share that is provided. All organizations awarded grants by the Center will be required to submit cost-share estimation form/s [illustrated in Annex VI] by February 1, 2010. See section 2.3 in Annex II for more details on cost share.

Each organization awarded a grant by the Center is required to submit **quarterly** Status of Funds reports (Standard Form 269A, provided by the Center) for each grant awarded. The quarterly reporting periods are: beginning of grant award–June 30, 2009; July 1–September 30, 2009; October 1–December 31, 2009, and January 1–March 31, 2010, if the grant has not been closed by March 31, 2010. The quarterly reports are due on July 10, 2009; October 9, 2009; January 11, 2010; and April 12, 2010. Grantees who receive advance payments must also fill out on a quarterly basis, with the same deadlines as above, a Federal Cash Transactions Report (Standard Form 272A, provided by the Center). Failure to meet these deadlines will negatively affect consideration for future grants from the Center.

Every grantee must clearly mark in their documentation for requesting funds (Request for Advance or Reimbursement, Standard Form 270, provided by the Center) whether the request is for a partial **advance** payment, for **reimbursement** of expended funds, or for the **final close-out payment of the grant**. Failure to do so could delay payment and will negatively affect consideration for future grants from the Center.

Grantees are encouraged to submit all final financial documentation by ninety (90) days after the final day of programming and must submit such documentation by March 31, 2010, unless a later date is agreed to in writing by the Center. Documentation must be organized according to the budget categories in the Budget Award Document issued by the Center at the time of the grant award, unless another form of documentation is agreed to in writing by both parties. Failure to submit final documentation by the deadline will negatively affect consideration for future grants from the Center.

If, for any reason agreed to by both parties, the Center's grant performance period is extended beyond December 15, 2009, Open World and the grantee may agree to a new grant close-out date in writing.

### **Key Dates/Deadlines<sup>7</sup>**

**Grant applications are due COB Monday, March 9, 2009.** A list of host sites with a description of the proposed programming and preferred scheduling of visits **using dates**

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<sup>7</sup> See p. 27 for deadlines for document delivery regarding delegation travel to American Councils.

**given in the hosting table on p. 23** must be included in the grant application. For details on these and other required elements of the grant application, see pp. 32–34.

No travel or other activities after December 15, 2009, will be allowed unless specifically agreed to by the Center.

A final report on the overall administration of Open World grant and hosting activities, including recommendations for future program changes and a description of outcomes achieved (as defined in the Results section above), **must be submitted by the grantee organization within 90 days of its final hosting activity.**

All 2009 grants will end on **March 31, 2010**, when final financial reports are due to the Center, unless a later date is agreed to in writing by the Center. Please note again that grantees are encouraged to submit all final financial documentation by ninety (90) days after the completion of programming activities.

### **Criteria for Evaluating Grant Applications**

All grant applications for the Open World Expansion Country Hosting Program will be evaluated on the following factors, listed in order of importance:

1. Degree to which proposed program plans address Open World objectives, and the goals of developing/furthering partnerships and/or collaborative projects.
2. Past experience in hosting similar programs, especially for citizens of the specific country(ies) for which you are applying.
3. For previous Open World grantees: assessments of previous hosting quality and results. Assessments are based on input from Open World program managers, delegate surveys, and facilitator reports, and on the quality and promptness of grantee programmatic/administrative and financial reporting, including the accuracy of financial records.
4. Demonstrated ability or experience in creating programs in the Hosting Theme(s) and special-focus areas proposed in the application.
5. Demonstrated ability to recruit or plan for recruiting host coordinators, presenters, and home hosts who are interested in maintaining contact with the delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
6. Quality of submitted sample agendas (one important factor in determining quality is whether the agendas include opportunities for an open dialogue between the delegates and their hosts and professional colleagues and opportunities for delegates to make presentations to professional and public audiences).
7. Ability to home host.
8. Per person costs.
9. Ability to host on theme dates.
10. Quality of submitted work plans.
11. Amount of cost share.

## GRANT PROPOSAL OUTLINE

Proposals and budgets should be e-mailed to the Grants Officer, Lewis Madanick, Open World Leadership Center, at lmad@loc.gov, or faxed to the Open World Leadership Center office at (202) 252-3464. Please contact Mr. Madanick at (202) 707-8943 if e-mailing or faxing material is not feasible. **Do not mail or send by commercial delivery any materials without first contacting Mr. Madanick.**

The Open World Leadership Center grants committee will review applications and respond no later than 21 calendar days after receipt of an application.

**All submissions must provide the following cover sheet:**

NAME OF ORGANIZATION  
MAILING ADDRESS  
PROGRAM CONTACT – NAME AND PHONE NUMBER  
FINANCIAL/BUDGET CONTACT – NAME AND PHONE NUMBER  
FAX NUMBER

**All submissions must follow the outline below:**

1. **Project Summary** – A narrative document of no more than four double-spaced pages providing the following information:
  - Estimates of your hosting capabilities, i.e., number of host communities and number of participants (delegates and facilitators) to be hosted.
  - Explanation of your programming capabilities, especially in the Hosting Theme(s) and special-focus area(s) for which you are applying.
  - Descriptions of how your organization will fulfill the program objectives and requirements given above, including how professional interpretation will be provided and how results will be accomplished and reported.
  - Examples of how your organization's hosting activities and past experience will be applied to recruiting host coordinators, presenters, and host families potentially interested in maintaining contact or developing joint projects with delegates.
  
2. **Proposed Hosting Themes/Special Focus Areas** – For each proposed theme, please submit:
  - Statement of capability to host on the date(s) designated in the hosting table.
  - Special-focus area(s), if applicable.
  - Sample/illustrative activities or sample agendas.
  - Organizations/persons participating.
  - Objective of illustrative activity: i.e., lessons to be learned.
  - Special resources required (e.g., simultaneous interpretation to allow delegate participation in a conference).



3. **Summary of your organization’s past experience with similar programs**
4. **Statements of any unique qualifications for this program**
5. **Work Plan** – The work plan is a chronological outline that demonstrates your ability to administer the grant and meet all required deadlines, including those for reporting on results.
6. **Budget Submission** – The budget submission is the financial expression of your program plans as a partner in the Open World Program. Therefore, your budget submission needs to reflect your administration of a program that meets the proposed programming outlined above.

The categories of your budget justifications must be presented using the Office of Management and Budget (OMB) Standard Object Classification Title (SOC). Each SOC in your budget proposal must provide dollar amounts accompanied by a narrative justification. When preparing your budget, please keep in mind that an overage of 10 percent or more in **any** one SOC will require prior written approval from the Open World Leadership Center’s Budget Officer, Jane Sargus (jsar@loc.gov). The SOC titles and definitions to be used for your budget submissions are as follows:

1. Personnel Compensation – Salaries and wages paid directly to your employees.
2. Personnel Benefits – Your cost associated with benefits of your employees.
3. Travel and Transportation – Obligations for travel and transportation of staff.
4. Rental Payments – Obligations for possession and use of space.
5. Rental of Equipment – Obligations for the rental of any equipment.
6. Postal Services – Obligations for postal items such as stamps, postcards, etc.
7. Utilities – Obligations for heat, light, power, water, etc.
8. Printing – Obligations for printing and reproduction.
9. Advisory and Assistance Services – Obligations for advisory and assistance services, such as translations acquired to meet your requirements under the grant.
10. Supplies – Obligations for office supplies.
11. Equipment – Obligations for property of a durable nature (e.g., computers).
12. Grants – Obligations for grants made to others by your organization.

In case your budget for any reason needs to include SOCs other than the ones listed above, please refer to the section of OMB Circular A-11 that pertains to object class data and definitions. Budget submissions reflecting any General and Administrative Overhead Costs must be shown as separate line items and supported by narrative justifications.

**Sample Budget Submission:**

<b><i>OBJECT CLASSIFICATION</i></b>	<b><i>NARRATIVE JUSTIFICATION</i></b>	<b><i>AMOUNT</i></b>
<i>Personnel Compensation</i>	<i>1 Full-time project director for 3 months at \$0,000 per month</i>	<i>\$0,000</i>
<i>Travel</i>	<i>One trip from New York to Wash, DC</i>	<i>0,000</i>
<b>GRAND TOTAL</b>		<hr/> <b><i>\$0,000</i></b>

PROPOSED BY:

\_\_\_\_\_  
SIGNATURE PROGRAM OFFICER AND DATE

\_\_\_\_\_  
SIGNATURE FINANCIAL/BUDGET OFFICER AND DATE

## ANNEX I

### Grant Administration Guidelines

#### 1.1. Introduction

Through its grants, the government sponsors everything from complex multimillion dollar, multi-year scientific research and development undertakings to the creative efforts of individual young artists. As might be expected, the rules that have been developed to address all the situations likely to arise between the government and its grantees are extensive. Working from a comprehensive set of grant principles published by the Office of Management and Budget (OMB), the Open World Leadership Center (the Center) has identified specific rules that will apply to all grantees and subrecipients of Center grants. These rules are explained below. It is important to become familiar with these provisions and comply with them.

Please note that the Open World Leadership Center, as a legislative branch agency, is not required to apply the OMB grants-related guidance for executive branch agencies and departments that is found in the OMB Circulars and in Title 2 of the Code of Federal Regulations (CFR). Nevertheless, it is the policy of Open World to follow this familiar grants guidance and to deviate therefrom only when in the best interest of the Open World Program. Consequently, CFR Title 2 and relevant OMB Circulars will apply as they are customarily implemented by Open World in connection with the Open World Program. For example, the requirement in 2 C.F.R. 215.4 “Deviations” for clearance through OMB of any deviations to the terms of the circulars will not apply to Open World. Instead, grantees should direct any questions about Open World’s implementation of the OMB Circulars to Jane Sargus at [jsar@loc.gov](mailto:jsar@loc.gov).

Unless otherwise specified herein, sections from the CFR and OMB Circulars listed below, as implemented by Open World, will be incorporated by reference into Open World grant awards. These authorities will be administered in accordance with standard federal requirements for grant agreements, as interpreted by Open World:

- 2 C.F.R. Part 215, “Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” (OMB Circular A-110)
- 2 C.F.R. Part 220, “Cost Principles for Educational Institutions”(OMB Circular A-21)
- 2 C.F.R. Part 225, “Cost Principles for State, Local, and Indian Tribal Governments” (OMB Circular A-87)
- 2 C.F.R. Part 230, “Cost Principles for Non-Profit Organizations” (OMB Circular A-122)

- OMB Circular A-102, “Grants and Cooperative Agreements with State and Local Governments”
- OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”

The full text of these authorities is available as follows:

- Code of Federal Regulations, Title 2, “Grants and Agreements” is available online from the National Archives and Records Administration via the Government Printing Office GPOAccess website at: [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1)
- The OMB Circulars are available online from the OMB website at: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
- Copies of relevant authorities are also available from Open World upon request

## **1.2. Basic Grantee Responsibilities**

The grantee holds full responsibility for the conduct of project activities under a Center award, for adherence to the award conditions, and for informing the Center during the course of the grant of any significant programmatic, administrative, or financial problems that have arisen. In accepting a grant, the grantee assumes the legal responsibility of administering the grant in accordance with these requirements and of maintaining documentation, which is subject to audit, of all actions and expenditures affecting the grant. Failure to comply with the requirements of the award could result in suspension or termination of the grant and the Center’s recovery of grant funds. The grantee also assumes full legal responsibility for any contracts entered into relating to the grant program.

## **1.3. Compliance with Federal Laws**

Applicant organizations must certify that their programs operate in compliance with the requirements of various federal statutes and their implementing regulations. These are described below. Grantees are also required to obtain an executed certification of compliance with these statutes from all organizations that are subrecipients under a Center grant.

a. Nondiscrimination. Grants are subject to the provisions of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 (as amended), Section 504 of the Rehabilitation Act of 1973 (as amended), the Age Discrimination Act of 1975 (as amended), and the regulations issued pursuant thereto. Therefore, no person on grounds of race, color, national origin, disability, or age shall be excluded from participation

in, be denied the benefits of, or be otherwise subject to discrimination under a program funded by the Center. In addition, if a project involves an educational activity or program, as defined in Title IX of the Education Amendments of 1972, no person on the basis of sex shall be excluded from participation in the project.

b. **Lobbying Activities.** The Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, prohibits recipients of federal contracts, grants, and loans from using appropriated funds to influence the executive or legislative branches of the federal government in connection with a specific contract, grant, cooperative agreement, loan, or any other award covered by § 1352. 18 U.S.C. 1913 makes it a crime to use funds appropriated by Congress to influence members of Congress regarding congressional legislation or appropriations. Finally, Attachment B25 of Office of Management and Budget Circular A-122 designates the following as unallowable charges to grant funds or cost sharing: certain electioneering activities, financial support for political parties, attempts to influence federal or state legislation either directly or through grass-roots lobbying, and some legislative liaison activities.

c. **Drug-Free Workplace.** The Drug-Free Workplace Act of 1988, 41 U.S.C. 701, requires grantees to have an on-going drug-free awareness program; to publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace; to maintain evidence that this statement was given to each employee engaged in the performance of the grant; and to identify in the funding proposal or to keep on file in its office the place(s) where grant activities will be carried out.

d. **Debarment and Suspension.** Applicant-organization principals must not be presently debarred or suspended or otherwise excluded from or ineligible to participate in federal assistance programs. An applicant or grantee organization shall provide immediate written notice to the Center Grants Officer if at any time it learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. Grantees shall not make or permit any subgrant or contract to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs. Grantees and subgrantees must not make any award or permit any award (subgrant or contract) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension."

#### **1.4. Grant Period and Extensions**

The grant period is the span of time designated in the grant award, or an amendment thereto, during which the grantee has the authority to obligate grant funds and undertake project activities. However, when approved by the Center, a grantee may incur necessary project costs in the 90-day period prior to the beginning date of the grant period. The Center may also authorize a one-time extension of the expiration date established in the initial grant award if additional time is required to complete the original scope of the project with the

funds already made available. A single extension that shall not exceed 2 months may be made for this purpose, provided it is made prior to the original expiration date. Grant periods will not be extended merely for using the unliquidated balance of project funds.

### **1.5. Key Project Personnel**

Applicant organizations must identify a project director and grant administrator for the Center award. (One person may perform both roles.) The replacement of the project director or the co-director, or a substantial reduction in the level of their effort, requires prior written approval from the Center. When it is specifically required as a condition of a grant, written approval will also be needed for the replacement or the substantial reduction in the level of effort of other personnel whose work is deemed by the Center to be critical to the project's successful completion. All requests for approval of changes in key project personnel shall be signed by the grant administrator and submitted to the appropriate Center Grants Officer.

### **1.6. Changes in Project Scope**

Any project that is carried out under a grant must be consistent with the scope of the proposal that is approved for funding by the Center. The scope of a project encompasses the purpose for which the grant is undertaken, the subject matter, the treatment of the subject matter, the historical time frame of the project, the volume of material that will be studied/treated, and the products that are expected to result from grant activities. No changes may be made in the scope of a project without written approval from the Center. All requests for a change in the scope of a grant shall be signed by the recipient organization's grant administrator and submitted to the Center Grants Officer.

### **1.7. Organizational Prior Approval System**

The recipient organization is required to have written procedures in place for reviewing and approving in advance proposed administrative changes such as:

- the expenditure of project funds for items that, under the applicable cost principles, normally require prior agency approval;
- the one-time extension of a grant period;
- the incurring of project costs prior to the beginning date of an award; and
- budget revisions that involve the transfer of funds among budget categories.

a. Purpose. The procedures for approving such changes are sometimes referred to as an “organizational prior approval system.” The purpose of such a system is to ensure that:

- all grant actions and expenditures are consistent with the terms and conditions of the award, as well as with the policies of the Center and the recipient organization;
- any changes that may be made do NOT constitute a change in the scope of the project; and
- any deviation from the budget approved by the Center is necessary and reasonable for the accomplishment of project objectives and is allowable under the applicable federal cost principles.

b. Requirements. Although grantees are free to design a prior approval system that suits their particular needs and circumstances, an acceptable system must at a minimum include the following:

- the procedure for review of proposed changes must be in writing;
- proposed changes must be reviewed at a level beyond the project director; and,
- whenever changes are approved, the grantee institution has to retain documentation of the approval for three years following the submission of the final financial report.

## **1.8. Activities Outside the United States**

Grantees shall obtain the appropriate licenses, permits, or approvals prior to undertaking grant activities outside the United States. The Center does not assume responsibility for grantee compliance with the laws and regulations of the country in which work is to be conducted.

## **1.9. Reporting Requirements**

All grant applications must include an accounting of any administrative cost share that is provided. All organizations awarded grants by the Center will be required to submit the cost-share estimation form/s [illustrated in Annex VI] by February 1, 2010. See section 2.3 in Annex II for more details on cost share.

Each organization awarded a grant by the Center is required to submit **quarterly** Status of Funds reports (Standard Form 269A, provided by the Center) and, for grantees that receive advance payments, **quarterly** Federal Cash Transaction reports (Standard Form

272A, also provided by the Center) for each grant awarded. The quarterly reporting periods are: beginning of grant award–June 30, 2009; July 1–September 30, 2009; October 1–December 31, 2009; and January 1–March 31, 2010, if the grant has not been closed by March 31, 2010. The quarterly reports are due on July 10, 2009; October 9, 2009; January 11, 2010; and April 12, 2010. Failure to meet these deadlines will negatively affect consideration for future grants from the Center.

Every grantee must clearly mark in their documentation for requesting funds (Request for Advance or Reimbursement, Standard Form 270, provided by the Center) whether the request is for a partial **advance payment, for reimbursement** for expenditures, or for the **final close-out payment of the grant**. Failure to do so could delay payment and will negatively affect consideration for future grants from the Center.

A final report and all final financial documentation shall be submitted to the Center by March 31, 2010, unless a later date is agreed to in writing by the Center.

## ANNEX II

### Grant Financial Guidelines

#### 2.1. Allowable Costs

The reasonableness, allowability, and allocation of costs for work performed under a Center grant shall be determined in accordance with the applicable federal cost principles and the terms and conditions of the grant award. The complete official federal cost principles for nonprofit organizations are included in Annex IV.<sup>8</sup>

a. **Pre-Award Costs.** Applicant organizations may include project costs incurred within the 90-calendar-day period immediately preceding the beginning date of the grant in the proposed budget. Pre-award expenditures are made at the risk of the applicant organization, and the Center is not obligated to cover such costs in the event an award is not made or is made for an amount that is less than the applicant organization anticipated.

b. **Travel Costs.** Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by those who are on official business attributable to work under a grant. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs, or on a combination of the two, provided the method used results in charges consistent with those normally allowed by the grantee in its regular operation, as set forth in the grantee's written travel policy. Airfare costs in excess of the lowest available commercial discount or customary standard (coach) airfare are unallowable unless such accommodations are not reasonably available to accomplish the purpose of travel. All air travel that is paid in whole or in part with Center funds must be undertaken on U.S. air carriers unless the Center gives prior written approval for use of non-U.S. carriers.

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<sup>8</sup> The information in Annex IV may be superseded by changes in OMB regulations.



## **2.2. Budget Revisions**

The project budget is the schedule of anticipated project expenditures that is approved by the Center for carrying out the purposes of the grant. When grantees or third parties support a portion of the project costs, the project budget includes the nonfederal as well as the federal share of project expenses. All requests for budget revisions shall be signed by the recipient organization's grant administrator and submitted to the Center. Within 14 calendar days from the date of receipt of the request for budget revision, the Center will review the request and notify the grantee whether or not the budget revision has been approved.

Grantees must obtain prior written approval from the Center whenever a budget revision is necessary because of:

- the transfer to a third party (by subgranting, contracting, or other means) of any work under a grant (Center approval is not required for third-party transfers that were described in the approved project plan, or for the purchase of supplies, materials, or general support services);
- the addition of costs that are specifically disallowed by the terms and conditions of the grant award;
- the transfer of funds from stipends or training allowances to other budget categories; or
- changes in the scope or objectives of the project.

## **2.3. Cost Sharing and Cost-Sharing Records**

While the Center award will fund most project activities, a grantee is expected to share in project expenses at the level indicated in its approved project budget. Grantees must maintain auditable records of all project costs whether they are charged to grant funds or supported by cost-sharing contributions. All cash and in-kind contributions to a project that are provided by a grantee or a third party are acceptable as cost sharing when such contributions meet the following criteria:

- Are verifiable from the grantee's records;
- Are not included as contributions for any other federally assisted program;
- Are necessary and reasonable for the proper and efficient accomplishment of project objectives;
- Are types of charges that would be allowable under the applicable cost principles;

- Are used to support activities that are included in the approved project work plan;
- Are incurred during the grant period.

Contributions such as property, space, or services that a grantee donates to a project are to be valued in accordance with the applicable federal cost principles and not on the basis of what would normally be charged for the use of these items or services. When cost sharing includes third-party in-kind contributions, the basis for determining the valuation of volunteer services and donated property or space must be documented and must conform to federal principles. Annex VI illustrates the cost-share estimation form [with instructions] that the Center will provide to grantees and local hosts to aid them in estimating cost-share totals. The form/s are due to the Center by February 1, 2010.

#### **2.4. Payments and Interest**

Grantees may be paid on an advance basis, unless otherwise specified in the grant award, and payment will be effected through electronic funds transfer. Whenever possible, advances should be deposited and maintained in insured accounts. Grantees are also encouraged to use women-owned and minority-owned banks (banks that are owned at least 50 percent by women or minority group members).

a. **Payment Requests.** Requests for advance payment shall be limited to no more than 75 percent of the total grant award, unless otherwise specified by the Center. Grant funds that have been advanced but are unspent at the end of the grant period must be returned to the Center. Grantees should make every effort to avoid requesting advance payment of funds that then are not used and must be returned to the Center. This practice will impact negatively on future grant awards.

b. **Interest on Grant Funds.** All grantees, except states (see glossary), are required to maintain advances of federal funds in interest-bearing accounts unless the grantee receives less than \$120,000 per year in advances of grant funds or the most reasonably available interest-bearing account would not earn more than \$250 per year on the federal cash balance, or would entail bank services charges in excess of the interest earned. Interest that is earned on advanced payments shall be remitted to the Center.

#### **2.5. Financial Management Standards**

Grantee financial management systems must meet the following standards:

a. **Accounting System.** Grantees must have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each federally sponsored project. Accounting records must contain information pertaining to

federal awards, authorizations, obligations, unobligated balances, assets, outlays, and income. These records must be maintained on a current basis and balanced at least quarterly.

b. Source Documentation. Accounting records must be supported by such source documentation as canceled checks, bank statements, invoices, paid bills, donor letters, time and attendance records, activity reports, travel reports, contractual and consultant agreements, and subaward documentation. All supporting documentation should be clearly identified with the grant and general ledger accounts that are to be charged or credited.

(1) The documentation required for salary charges to grants is prescribed by the cost principles applicable to the grantee organization. If an applicant organization anticipates salary changes during the course of the grant, those charges must be included in the budget request.

(2) Formal agreements with independent contractors, such as consultants, must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs that are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of the grantee organization.

c. Third-Party Contributions. Cash contributions to the project from third parties must be accounted for in the general ledger with other grant funds. Third-party in-kind (non-cash) contributions are not required to be recorded in the general ledger, but must be under accounting control, possibly through the use of a memorandum ledger. If third-party in-kind (non-cash) contributions are used on a project, the valuation of these contributions must be supported with adequate documentation.

d. Internal Control. Grantees must maintain effective control and accountability for all cash, real and personal property, and other assets. Grantees must adequately safeguard all such property and must provide assurance that it is used solely for authorized purposes. Grantees must also have systems in place that ensure compliance with the terms and conditions of each grant award.

e. Budget Control. Records of expenditures must be maintained for each grant project by the cost categories of the approved budget (including indirect costs that are charged to the project), and actual expenditures are to be compared with budgeted amounts no less frequently than quarterly. Center approval is required for certain budget revisions.

f. Cash Management. Grantees must also have written procedures to minimize the time elapsing between the receipt and the disbursement of grant funds to avoid having excessive federal funds on hand. Requests for advance payment shall be limited to immediate cash needs and are not to exceed anticipated expenditures for a 30-day period. Grantees must ensure that all grant funds are obligated during the grant period and spent no later than 60 days after the end of the grant period.

## **2.6. Record Retention and Audits**

Grantees must retain financial records, supporting documentation, statistical records, and all other records pertinent to the grant for three years from the date of submission of the final expenditure report. If the three-year retention period is extended because of audits, appeals, litigation, or the settlement of claims arising out of the performance of the project, the records shall be retained until such audits, appeals, litigation, or claims are resolved. Unless court action or audit proceedings have been initiated, grantees may substitute microfilm copies CD-ROM or scanned copies of original records.

The Center, the Comptroller General of the United States, the Inspector General of the Library of Congress, and any of their duly authorized representatives shall have access to any pertinent books, documents, papers, and records of a grantee organization to make audits, examinations, excerpts, transcripts, and copies. Further, any contract in excess of the simplified acquisition threshold (currently \$100,000) that grantees negotiate for the purposes of carrying out the grant project shall include a provision to the effect that the grantee, the Center, the Comptroller General, the Inspector General of the Library of Congress, or any of their duly authorized representatives shall have access for similar purposes to any records of the contractor that are directly pertinent to the project.

## **2.7. Equipment**

Equipment is defined as tangible, nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. The purchase of equipment not included in the approved project budget is allowable only if specifically approved beforehand by the Center and only when there is documentation to support that the purchase is necessary and reasonable to carry out project activities.

a. **Equipment Records.** Equipment records must be maintained that include the description of the equipment, the serial number or other identification number, the source of equipment, the titleholder, the acquisition date, the cost of the equipment, the location, use, and condition of the equipment, and any ultimate disposition data including the date of disposal and the sale price of the equipment.

b. **Title to Equipment.** Title to equipment purchased or fabricated with Center funds shall be vested in the recipient organization with the understanding that the equipment will be used for the project for which it was obtained but without further obligation to the federal government. The Center reserves the right to request the transfer of title to the federal government or to a third party when the current per unit fair market value of the equipment is \$5,000 or more and the equipment is no longer needed to carry out the purposes of the project or other projects funded by government agencies.

## **2.8. Supplies**

Title to supplies and other expendable property shall vest in the recipient organization upon acquisition. If there is a residual inventory of unused supplies exceeding \$5,000 in total aggregate value upon termination or completion of the project and the supplies are not needed for any other federally sponsored project or program, the grantee may retain the supplies for use on nonfederal sponsored activities or sell them, but shall in either case compensate the Center for its share.

## **ANNEX III**

### **Procurement Guidelines**

#### **3.1. Procurement Responsibility**

The standards contained in this section do not relieve the grantee of the contractual responsibilities arising under its contracts. The grantee is the responsible authority, without recourse to the Center regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into in support of a grant project. Matters concerning the violation of a statute are to be referred to such federal, state, or local authority as may have proper jurisdiction.

The grantee may determine the type of procurement instrument used, e.g., fixed price contracts, cost reimbursable contracts, incentive contracts, or purchase orders. The contract type must be appropriate for the particular procurement and for promoting the best interest of the program involved. The “cost-plus-a-percentage-of-cost” or “percentage of construction cost” methods shall not be used.

#### **3.2. Procurement Standards**

When grantees procure property or services under a grant, their procurement policies must adhere to the standards set forth below. Subrecipients of grant funds are subject to the same policies and procedures as the grantee.

a. **Contract Administration.** Grantees shall maintain a system for contract administration that ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. Grantees shall evaluate contractor performance and document, as appropriate, whether or not contractors have met the terms, conditions, and specifications of the contract.

b. **Ethical Standards of Conduct.** Grantees shall maintain a written standard of conduct for awarding and administering contracts. No employee, officer, or agent of the recipient organization shall participate in the selection, or in the awarding or administration, of a contract supported by federal funds if a real or apparent conflict of interest would be

involved. Such a conflict would arise when any of the following have a financial or other interest in the firm selected for a contract: the employee, officer, or agent; any member of his or her immediate family; his or her partner; or an organization which employs or is about to employ any of the preceding.

Grantee officers, employees, and agents will neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to subagreements. However, grantees may set standards governing when the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by grantee officers, employees, or agents.

c. Open and Free Competition. All procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Grantees should be alert to organizational conflicts of interest or noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids and/or requests for proposals should be excluded from competing for such procurements. Awards shall be made to the bidder/offeror whose bid/offer is responsive to the solicitation and is most advantageous to the grantee, price, quality, and other factors considered. Solicitations shall clearly set forth all requirements that the bidder/offeror must fulfill in order for the bid/offer to be evaluated by the grantee. When it is in the grantee's interest to do so, any bid/offer may be rejected.

d. Small, Minority-Owned, and Women's Business Enterprises. The grantee shall make positive efforts to assure that small businesses, minority-owned firms, and women's business enterprises are used whenever possible. Organizations receiving federal awards shall take all the steps outlined below to further this goal. This shall include:

- (1) Placing qualified small, minority and women's business enterprises on solicitation lists;
- (2) Assuring that these businesses are solicited whenever they are potential sources;
- (3) Contracting with consortiums of small, minority-owned, or women's business enterprises, when a contract is too large for one of these firms to handle individually;
- (4) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Department of Commerce's Minority Business Development Agency; and

- (5) Considering in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises.

### **3.3. Procurement Procedures**

Grantees must have formal procurement procedures. Proposed procurements are to be reviewed to avoid the purchase of unnecessary or duplicative items.

- a. Solicitations. Solicitations for goods and services shall provide the following:
  - (1) A clear and accurate description of the technical requirements for the material, product, or service to be procured. In competitive procurements, such a description shall not contain features that unduly restrict competition.
  - (2) Requirements that the bidder/offeror must fulfill and all other factors to be used in evaluating bids or proposals.
  - (3) Whenever practicable, a description of technical requirements in terms of the functions to be performed or the performance required, including the range of acceptable characteristics or minimum acceptable standards.
  - (4) The specific features of "brand name or equal" descriptions that bidders are required to meet when such items are included in the solicitation.
  - (5) Preference, to the extent practical and economically feasible, for products and services that conserve natural resources, protect the environment, and are energy efficient.
- b. Selecting Contractors. Contracts will be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration should be given to such matters as contractor integrity, the record of past performance, financial and technical resources or accessibility to other necessary resources.
  - (1) Some form of price or cost analysis should be made in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices and similar indicia, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability, and allowability.
  - (2) Procurement records and files for purchases in excess of the simplified acquisition threshold (currently \$100,000) shall include the basis for

contractor selection, justification for lack of competition when competitive bids or offers are not obtained, and the basis for award cost or price.

### **3.4. Contract Provisions**

a. Contracts in Excess of \$100,000. All contracts in excess of \$100,000 established under the grant award from the Center must provide for:

- (1) Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and such remedial actions as may be appropriate.
- (2) Termination for cause and for convenience by the grantee, including the manner by which it will be effected and the basis for settlement. In addition, these contracts shall also contain a description of the conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.
- (3) Access by the recipient organization, the Center, the Comptroller General of the United States, or any other duly authorized representatives to any books, documents, papers, and records of the contractor that are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions.

b. Standard Clauses. All contracts, including small purchases, shall contain the following provisions as applicable:

- (1) Equal Employment Opportunity. All contracts awarded by the grantee and the grantee's contractors and subrecipients having a value of more than \$10,000 must contain a provision requiring compliance with Executive Order 11246, entitled "Equal Employment Opportunity" as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR, Part 60).
- (2) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352). Contractors who apply or bid for an award of \$100,000 or more must file a certification with the grantee stating that they will not and have not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant, cooperative agreement, loan, or any other award covered by 31 U.S.C. 1352. Such contractors must also disclose to the grantee any lobbying that takes place in connection with obtaining any federal award.



(3) Debarment and Suspension (Executive Order 12549 and 12689). No contracts shall be made to parties listed on the General Services Administration's Lists of Parties Excluded From Federal Procurement or Nonprocurement Programs in accordance with Executive Orders 12549 and 12689. These lists contain the names of contractors debarred, suspended, or proposed for debarment by agencies, and contractors declared ineligible under other statutory or regulatory authority other than Executive Order 12549. Grantees must obtain a certification regarding debarment and suspension from all subrecipients and from all parties with whom they contract for goods or services when (a) the amount of the contract is \$100,000 or more, or (b) when, regardless of the amount of the contract, the contractor will have a critical influence or substantive control over the covered transaction. Such persons would be project directors and providers of federally required audit services.

### **3.5. Other Federal Guidance**

a. Buy American Act. Consistent with the Buy American Act, 41 U.S.C. 10a-c and Public Law 105-277, grantees and subrecipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

b. Welfare-to-Work Initiative. To supplement the welfare-to-work initiative, grantees are encouraged, whenever possible, to hire welfare recipients and to provide additional needed training and/or mentoring.

## **ANNEX IV**

### **Cost Principles**

#### **4.1. Introduction**

2 C.F.R. Part 230 (OMB Circular A-122), "Cost Principles for Non-Profit Organizations," is a comprehensive explanation of which costs are allowable under a government grant, how to determine whether a cost is reasonable, and how direct and indirect costs should be allocated. Please refer to the official OMB cost principles document. Applicant organizations may obtain a paper copy from the Center or read the full text online by going to [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1).

#### **4.2. Basic Definitions**

Attachment A to the Circular describes

a. Allowable Costs. To be allowable under an award, costs must meet the following general criteria:

- (1) Be reasonable for the performance of the award and be allocable thereto under these principles.
- (2) Conform to any limitations or exclusions set forth in these principles or in the award as to types or amount of cost items.
- (3) Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization.
- (4) Be accorded consistent treatment.
- (5) Be determined in accordance with generally accepted accounting principles.
- (6) Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period.
- (7) Be adequately documented.

b. Reasonable Costs. A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs. In determining the reasonableness of a given cost, consideration shall be given to:

- (1) Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award.
- (2) The restraints or requirements imposed by such factors as generally accepted sound business practices, arms-length bargaining, federal and state laws and regulations, and terms and conditions of the award.
- (3) Whether the individuals concerned acted with prudence in the circumstances, considering their responsibilities to the organization, its members, employees, and clients, the public at large, and the federal government.
- (4) Significant deviations from the established practices of the organization that may unjustifiably increase the award costs.

c. Allocable Costs. A cost may be allocated to the recipient organization's grant in accordance with the relative benefits received. A cost is allocable to a federal award if it is

treated consistently with other costs incurred for the same purpose in like circumstances and if it:

- (1) Is incurred specifically for the award.
- (2) Benefits both the award and other work and can be distributed in reasonable proportion to the benefits received, or
- (3) Is necessary to the overall operation of the organization, although a direct relationship to any particular cost objective cannot be shown.
- (4) Any cost allocable to a particular award or other cost objective under these principles may not be shifted to other federal awards to overcome funding deficiencies, or to avoid restrictions imposed by law or by the terms of the award.

### 4.3. Potential Costs

Attachment B to 2 C.F.R. Part 230 (OMB Circular A-122) describes 52 types of costs and explains when they are allowable and when they are not. Some of the potential costs covered by the Circular are not relevant to Center projects. Please note that costs marked with an “X” in the list below are **never** allowable and must not be included in an applicant organization’s budget for Center activities or in a grantee’s requests for payment. Other costs on the list may be unallowable in certain circumstances. Please refer to the Circular for explanations and contact the Center with any questions.

Failure to mention a particular item of cost is not intended to imply that it is unallowable; rather, determination as to allowability in each case should be based on the treatment or principles provided for similar or related items of cost.

- |   |     |  |
|---|-----|--|
|   | 1.  | Advertising and public relations costs   |
|   | 2.  | Advisory councils  |
| X | 3.  | Alcoholic beverages  |
|   | 4.  | Audit costs and related services   |
| X | 5.  | Bad debts  |
|   | 6.  | Bonding costs  |
|   | 7.  | Communication costs  |
|   | 8.  | Compensation for personal services   |
| X | 9.  | Contingency provisions   |
|   | 10. | Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement |
|   | 11. | Depreciation and use allowances  |
|   | 12. | Donations to the grant project   |
|   | 13. | Employee morale, health, and welfare costs and credits   |
| X | 14. | Entertainment costs  |

- 15. Equipment and other capital expenditures
- X 16. Fines and penalties
- X 17. Fund raising and investment management costs
- X 18. Gains and losses on depreciable assets
- X 19. Goods or services for personal use
- X 20. Housing and personal living expenses for organization employees
- 21. Idle facilities and idle capacity
- 22. Insurance and indemnification
- X 23. Interest
- 24. Labor relations costs
- X 25. Lobbying
- X 26. Losses on other awards
- 27. Maintenance and repair costs
- 28. Materials and supplies
- 29. Meetings and conferences
- 30. Memberships, subscriptions, and professional activity costs
- X 31. Organization costs
- 32. Page charges in professional journals
- 33. Participant support costs
- 34. Patent costs
- 35. Plant and homeland security costs
- 36. Pre-agreement costs
- 37. Professional service costs
- 38. Publication and printing costs
- 39. Rearrangement and alteration costs
- 40. Reconversion costs
- 41. Recruiting costs
- 42. Relocation costs
- 43. Rental costs
- 44. Royalties and other costs for use of patents and copyrights
- 45. Selling and marketing
- 46. Specialized service facilities
- 47. Taxes
- 48. Termination costs
- 49. Training and education costs
- 50. Transportation costs
- 51. Travel costs
- 52. Trustees

## ANNEX V

### Suspension and Termination

#### 5.1. Suspension and Termination

- a. Grants may be terminated in whole or in part:
  - by the Center if the grantee materially fails to comply with the terms and conditions of an award;
  - by the Center with the grantee's consent, in which case the two parties shall agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion of the project to be terminated; or
  - by the grantee, upon sending to the Center via fax or e-mail written notification—followed by signed documents sent via overnight or express delivery PER ARRANGEMENTS MADE BY CONTACTING OPEN WORLD GRANTS OFFICER LEWIS MADANICK AT (202) 707-8943—setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion of the project to be terminated. However, if the Center determines that the reduced or modified portion of the grant will not accomplish the purposes for which the grant was made, it may terminate the grant in its entirety either unilaterally or with the grantee's consent.
- b. **Suspension or Termination for Cause.** When the Center determines that a grantee has failed to comply with the terms of the grant award, the Center may suspend or terminate the grant for cause. Normally, this action will be taken only after the grantee has been notified of the deficiency and given sufficient time to correct it, but this does not preclude immediate suspension or termination when such action is required to protect the interests of the Center. In the event that a grant is suspended and corrective action is not taken within 90 days of the effective date, the Center may issue a notice of termination.
- c. **Allowable Costs.** No costs that are incurred during the suspension period or after the effective date of termination will be allowable except those that are specifically authorized by the suspension or termination notice or those that, in the opinion of the Center, could not have been reasonably avoided.
- d. **Report and Accounting.** Within 30 days of the termination date, the grantee shall furnish to the Center a summary of progress achieved under the grant, an itemized accounting of charges incurred against grant funds and cost sharing prior to the effective date of the suspension or termination, and a separate accounting and justification for any costs that may have been incurred after this date.

## **Termination Review Procedures**

If the grantee has received a notice of termination, the grantee may request review of the termination action. The grantee request for review must be sent via overnight or express delivery [PER ARRANGEMENTS MADE BY CONTACTING OPEN WORLD GRANTS OFFICER LEWIS MADANICK AT (202) 707-8943] no later than 30 days after the date of the termination notice and should be addressed to the Chairman of the Board, Open World Leadership Center, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-9980, with a copy sent via overnight or express delivery [PER ARRANGEMENTS MADE BY CONTACTING THE OFFICE OF THE INSPECTOR GENERAL AT (202) 707-6314] to the Inspector General, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-1060.

A request for review must contain a full statement of the grantee's position and the pertinent facts and reasons supporting it. The grantee's request will be acknowledged promptly, and a review committee of at least three individuals will be appointed. Pending the resolution of the review, the notice of termination will remain in effect.

None of the review-committee members will be among those individuals who recommended termination or were responsible for monitoring the programmatic or administrative aspects of the awarded grant. The committee will have full access to all relevant Center background materials. The committee may also request the submission of additional information from the recipient organization or from Center staff and, at its discretion, may meet with representatives of both groups to discuss the pertinent issues. All review activities will be fully documented by the committee. Based on its review, the committee will present its written recommendation to the Chairman of the Board of the Center, who will advise the parties concerned of the final decision.

ANNEX VI

**Cost-Share Estimation Form and Instruction Sheet**

Below are illustrations of the form and instruction sheet that the Center will provide to grantees and local host coordinators to aid them in reporting cost share. The actual form is a spreadsheet that calculates totals automatically.

Open World Cost-Share Estimation Form



**Open World Leadership Center**

Tel 202.707.8943

Fax 202.252.3464

<b>I. Identifying Information:</b>	
Grantee:	
Grant Number:	
Program Theme:	
Program Dates:	Date Form Completed:

**II. REQUIRED COST SHARE:**

	Column 1	Column 2	Column 3	Column 4
<b>Homestay value:</b>		# of		
	# of Nights	Participants	Unit Value	Cost Share
Number of nights with home hosts:	<input type="text"/>	X <input type="text"/>	X \$60.00	= \$0.00
<a href="http://www.qsa.gov/perdiem">www.qsa.gov/perdiem</a>				
<b>Donated meals:</b>		# of		
	# of Meals	Participants	Unit Value	Cost Share
Breakfasts:	<input type="text"/>	X <input type="text"/>	X \$7.00	= \$0.00
Lunches:	<input type="text"/>	X <input type="text"/>	X \$11.00	= \$0.00
Dinners:	<input type="text"/>	X <input type="text"/>	X \$13.00	= \$0.00
<a href="http://www.qsa.gov/perdiem">www.qsa.gov/perdiem</a>				
			<b>SUBTOTAL:</b>	<b>\$0.00</b>
<b>Volunteer/host driving in their own cars:</b>	Miles	Price per mile		Cost Share
Total miles all drivers:	<input type="text"/>	X \$0.45		= \$0.00
<a href="http://www.qsa.gov/">http://www.qsa.gov/</a>				
<b>Volunteer time:</b>	Hours	Cost per hour		Cost Share
Unpaid interpreter hours:	<input type="text"/>	X \$5.15		= \$0.00
Unpaid driver hours:	<input type="text"/>	X \$5.15		= \$0.00
Other unpaid hours (staff, presenter, etc.):	<input type="text"/>	X \$5.15		= \$0.00
<a href="http://www.dol.gov/esa/minwage/america.htm">http://www.dol.gov/esa/minwage/america.htm</a>				
			<b>SUBTOTAL:</b>	<b>\$0.00</b>
<b>SUBTOTAL REQUIRED COST SHARE:</b>				<b>\$0.00</b>

**III. OPTIONAL SECTION**

Items received for free or at a discount, or that you are not claiming reimbursement for:

Item Description	Value
<b>SUBTOTAL OPTIONAL COST SHARE:</b>	
	<b>\$0.00</b>

**Grand Total Cost Share:** **\$0.00**

## **Instruction Sheet for Local Host Coordinators**

The Open World Cost-Share Estimation Form is designed to be a quick electronic tool for calculating in-kind contributions made during hosting. Although the form can be printed and filled out by hand, Open World recommends using it on-screen, as the Excel file has all of the formulas loaded into it. Once filled out, the form can either be e-mailed to your Grantee along with all other final financial documentation, or printed and mailed with hard copies of final financial documentation. Sending this documentation via e-mail is preferred.

Note that the form has three sections. The “Required Section” must be filled out in its entirety. The default amounts provided in Column 2 are only estimates—please use the web links provided to find the amounts that apply to your state. There is no need to provide official documentation supporting the dollar amounts entered. The “Optional Section” is provided for you to list any other relevant in-kind contributions you choose. If you have any questions about these instructions, please contact Jane Sargus at (202) 707-8811 or [jsar@loc.gov](mailto:jsar@loc.gov) (please put COST SHARE in the subject line).

## **INSTRUCTIONS**

### ***IDENTIFYING INFORMATION:***

1. List your name and the local host organization’s name. If someone else filled out the form, please also provide his or her name and affiliation with the local host organization.
2. Fill in the Open World Grant Number (e.g., OWLC—0708).
3. List the theme/special-focus area, and dates of your program.
4. Note the date the form is being completed.

### ***REQUIRED COST SHARE:***

#### ***Homestay Value:***

1. Complete Column 1 with the number of nights of homestay provided to participants.
2. Complete Column 2 with the number of participants (delegates plus facilitator[s]) to whom homestays were provided.
3. Column 3: Use the provided web links to check whether you may claim a higher unit value than the default value in Column 3 (based on your state). If you can, plug the higher value into the box titled “Unit Value.”
4. Column 4 will automatically populate, as will the “Subtotal” amount.



***Donated Meals:***

1. Complete Column 1 with the number of meals donated to the participants. (NOTE: This may include meals provided by homestay hosts, banquets, group breakfasts, etc.)
2. Complete Column 2 with the number of participants for each different type of donated meal (delegates plus facilitator[s]).
3. Column 3: Use the provided web links to check whether you may claim a higher unit value than the default value in Column 3 (based on your state). If you can, plug the higher value into the box titled “Unit Value”.
4. Column 4 will automatically populate, as will the “Subtotal” amount.

***Volunteer/Host Driving in Own Cars:***

1. Complete Column 1 with the total number of miles donated in the process of transporting participants.
2. Column 2: Use the provided web links to check whether you may claim a higher unit value than the default value in Column 2 (based on your state). If you can, plug the higher value into the box titled “Price per mile.”
3. Column 4 will automatically populate.

***Volunteer Time:***

1. Complete Column 1 with the number of volunteer hours donated in the appropriate category.
2. Column 2: Use the provided web links to check whether you may claim a higher unit value than the default value in Column 2 (based on your state). If you can, plug the higher value into the box titled “Cost per hour.”
3. Column 4 will automatically populate.

Subtotal Required Cost Share will automatically populate.

***OPTIONAL SECTION:***

**Examples of items that might be noted in this section include donated gifts for delegates, discounts or free tickets for entertainment, donated overhead or administrative fees, and receptions.**

1. Provide a brief but complete description of each in-kind contribution.
2. Enter the appropriate value amount for each contribution.
3. The “Subtotal Optional Cost Share” amount and the “Grand Total Cost Share” amount will automatically populate.

## ANNEX VII

### Glossary of Terms

**Cash Contributions** - The cash outlay for budgeted project activities, including the outlay of money contributed to the grantee by third parties.

**Cost Sharing** - The portion of the costs of a project not charged to the Center funds. This would include cash contributions (as defined above) as well as the value of third-party in-kind contributions.

**Debarment** - The ineligibility of a grantee to receive any assistance or benefits from the federal government, either indefinitely or for a specified period of time, based on legal proceedings taken pursuant to agency regulations implementing Executive Order 12549.

**Equipment** - Tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

**Federally Recognized Tribal Government** - The governing body or a governmental agency of any Indian tribe, Indian band, nation, or other organized group or community certified by the Secretary of the Interior as eligible for the special programs and services provided through the Bureau of Indian Affairs.

**Grant** - A legal instrument that provides financial assistance in the form of money or property to an eligible recipient. The term includes cooperative agreements but it does not apply to technical assistance which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. The term does not include fellowships or other lump sum awards for which the recipient is not required to provide a financial accounting.

**Grant Administrator** - The member of the grantee organization who has the official responsibility for administering the grant, e.g., for negotiating budget revisions, overseeing the submission of required reports, and ensuring compliance with the terms and conditions of the grant.

**Grant Period** - The period established in the grant award during which the Center activities and expenditures are to occur.

**Grantee** - The organization to which a grant is awarded and which is accountable for the use of the funds provided.

**Grants Officer** - The Center staff member so designated by the Executive Director and listed in the Grant Guidelines.

**In-Kind Contributions** - The value of noncash contributions provided by third parties. In-kind contributions may be in the form of charges for real property and equipment or the value of goods and services directly benefitting and specifically identifiable to the project.

**Intangible Property** - Includes, but is not limited to, trademarks; copyrights; patents and patent applications.

**Local Government** - A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of government, any other regional or interstate government entity, or any agency or instrumentality of a local government.

**Obligation** - The amounts of orders placed, contracts and grants awarded, goods and services received, and similar transactions during the grant period that will require payment.

**Program Income** - Money that is earned or received by a grantee or a subrecipient from the activities supported by grant funds or from products resulting from grant activities. It includes, but is not limited to, income from fees for services performed and from the sale of items fabricated under a grant; usage or rental fees for equipment or property acquired under a grant; admission fees; broadcast or distribution rights; and royalties on patents and copyrights.

**Project Funds** - Both the federal and nonfederal funds that are used to cover the cost of budgeted project activities.

**Simplified Acquisition Threshold** - This term replaces “small purchase threshold,” and the threshold is currently set at \$100,000 [41 U.S.C. 403 (11)].

**State** - Any of the several states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a state exclusive of local governments, institutions of higher education, and hospitals.

**Subgrant** - An award of financial assistance in the form of money or property, made under a grant by a grantee to an eligible subrecipient or by a subrecipient to a lower-tier subrecipient. The term includes financial assistance which is provided by any legal agreement, even if the agreement is called a contract, but it does not include the procurement of goods and services nor does it include any form of assistance that is excluded from the definition of a “grant.”

**Subrecipient** - The legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided.

**Supplies** - All personal property excluding equipment and intangible property, as defined in this glossary.

Suspension -

(1) The suspension of a grant is the temporary withdrawal of Center sponsorship. This includes the withdrawal of authority to incur expenditures against grant funds, pending corrective action, or a decision to terminate the grant.

(2) The suspension of an individual or organization that causes that party to be temporarily ineligible to receive any assistance and benefits from the federal government pending the completion of investigation and legal proceedings as prescribed under agency regulations implementing Executive Order 12549. Such actions may lead to debarment of the grantee.

Termination - Cancellation of Center sponsorship of a project, including the withdrawal of authority to incur expenditures against previously awarded grant funds before that authority would otherwise expire.