



# OPEN WORLD

## LEADERSHIP CENTER

### OPEN WORLD PROGRAM OPEN WORLD LEADERSHIP CENTER

#### 2012 GRANT PROCEDURES

#### Introduction

The congressionally sponsored Open World program brings emerging leaders from participating countries to the United States in order to give them firsthand exposure to the American system of participatory democracy and free enterprise. The program allows American leaders and their counterparts from Russia, Ukraine, Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, and Turkmenistan to engage constructively with one another in a manner that complements the U.S. Congress's public diplomacy efforts on timely issues such as accountable governance, human-trafficking prevention, and rule of law. 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 17,000 alumni and a network of 6,700 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. The program serves Members of Congress—and their constituents and staff—and demonstrates to delegates the role of the legislative branch in a mature democracy, with the goal of helping these delegates strengthen legislative bodies—and citizen involvement in the legislative process—in their own countries.

Open World's mission is:

To enhance understanding and capabilities for cooperation between the United States and the countries of Eurasia<sup>1</sup> 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. This solicitation seeks proposals to host delegates from the following countries: Russia, Ukraine, Armenia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, and Turkmenistan. Open World will give greater weight to those 2012 hosting proposals that (a) give delegates significant exposure to federal, state, county, and local legislators, the structure and functions of legislatures, and the legislative process;

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

(b) are likely to produce new partnerships or further existing ones; (c) include specific follow-on project activities and/or significant projected results, such as plans for future reverse travel;<sup>2</sup> (d) include collaborative programming with American young professionals organizations; and (e) provide for significant cost-sharing of the program. Some hosting proposals will be judged specifically for their ability to program as described in (a) above, especially in a state capital when the state legislature is in session (usually the first three months of the year).

The Open World program was originally established in 1999 as a Library of Congress–administered pilot project to give emerging Russian leaders firsthand exposure to the American system of democracy through visits to local governments and communities in the United States. Open World began expanding to other countries in 2003. To date, more than 17,000 current and future leaders—from virtually all administrative regions of the participating countries—have taken part in Open World. The average age of delegates is 38; roughly half are women.

The overall Open World program focuses on developing an international leadership network through which professional counterparts with mutual interests are able to consult and cooperate with each other on issues affecting their communities. Reflecting its identity as a U.S. legislative branch entity, the Open World Leadership Center ensures that *all* delegations receive significant exposure to the role and procedures of American legislative bodies. As part of this focus, the Center will ask local host organizations to set up meetings with Members of Congress, congressional staff, and state, county, and local legislators and their staff members, so that delegates can review such functions as lawmaking, legislative oversight, and constituent relations with officials engaged in these activities. Delegates should also learn about the effect of legislation on their exchange’s assigned theme.

The Center intends to award grants for the hosting of 185 delegations under these guidelines for 2012. Each delegation will consist of five delegates<sup>3</sup> and one facilitator.<sup>4</sup> (Please see the table on pp. 32–33 for a listing of these delegations by country and travel date.) The Center invites U.S.-based organizations with either established foreign visitor programs or demonstrated ability to host foreign visitors to propose hosting from one to 185 delegations from the participating countries.

**Grant applications in response to this solicitation are due Monday, September 26, 2011. Please see pp. 40-41 for instructions on submitting applications.**

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

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<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 nearly all instances, Open World cannot fund reverse travel or follow-on activities.

<sup>3</sup> Delegations from Turkmenistan will typically have four delegates plus one facilitator.

<sup>4</sup> Facilitators are young co-nationals of the delegates, with excellent English skills and, usually, previous experience 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.

## 2012 GRANT PROCEDURES

### Grants Overview

The **2012 Open World Program** will focus on emerging political, civic, and community leaders from the national, regional, and local levels, and will put a strong emphasis on (1) acquainting participants with American lawmakers and legislative functions and processes at different levels of government; (2) helping develop new, or further existing, networks between delegates and their U.S. counterparts; and (3) hosting delegates ages 25 to 35.

While some candidates are nominated by international organizations, most are nominated by U.S. and participating-country agencies and institutions. The Center looks for talented leaders who are relatively young (no older than age 45), and, as noted above, in 2012 the Center will have a renewed focus on those ages 25 to 35. Candidates are vetted using the following criteria: demonstrated leadership skills and a commitment to building a civil society; extent of activities in one or more of the thematic areas for Open World exchanges; participation in the political process, especially as legislative officeholders, candidates, or staff; community involvement or volunteer work; 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>5</sup> in the United States. Homestays with American host families will again be an integral element of the program.

The Center plans to host up to 1,103 participants<sup>6</sup> (185 delegations) under these guidelines, with up to 540 participants (90 delegations) coming from Russia, up to 270 participants (45 delegations) from Ukraine, up to 12 participants (2 delegations) from Armenia, up to 66 participants (11 delegations) from Georgia, up to 42 participants (7 delegations) from Kazakhstan, up to 36 participants (6 delegations) from Kyrgyzstan, up to 48 participants (8 delegations) from Moldova, up to 54 participants (9 delegations) from Tajikistan, and up to 35 participants (7 delegations) from Turkmenistan. **Final 2012 hosting numbers will depend on available funding.**

### Grant Guidelines Contents

This document contains, in order:

- Grantee eligibility requirements and programming priorities
- Open World objectives
- Hosting themes
- Proposed 2012 travel dates

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<sup>5</sup> Delegations stay in Washington, DC, for two days to attend an orientation program hosted by the Center, then spend eight days in the local host community. Exceptions may be made by the Center on an as-needed basis, and in close consultation with the appropriate grantee(s).

<sup>6</sup> The term “participants” includes delegates and facilitators.

- Grantee programming/administrative requirements
- Local-hosting document deadlines
- Results tracked by Open World
- Key dates and deadlines
- Criteria for evaluating grant applications
- A grant proposal outline
- Financial procedures
- Appendixes
  - Procurement guidelines
  - Cost principles
  - A form and instructions for reporting cost share
  - A glossary of terms

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

### **Eligibility for an Open World Grant and Programming Priorities**

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 initiatives in any of the countries covered by this solicitation that can be furthered by an Open World visit should describe this activity. An applicant proposal:

- Must demonstrate that the applicant organization has the ability, experience, and expertise to provide excellent programming in the Hosting Theme(s) for which it is applying and/or will establish cooperative agreements with expert local host organizations that can do so.<sup>7</sup>
- Will be given preference if it demonstrates that the applicant organization has the ability to provide programmatic activities with federal, state, county, and local legislators and legislative staff that will enhance the delegates' understanding of the legislative process and the structure and functions of American legislative bodies.
- Will be given preference if it is likely to produce new partnerships or further existing ones.
- Will be given preference if it includes ideas for specific follow-on project activities and/or significant projected results, such as plans for future reverse travel.
- Will be given preference for a grant award if it demonstrates how the applicant organization will involve one or more organizations composed of young American

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<sup>7</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 local host coordinator who will have overall responsibility for the eight-day community visit.

professionals<sup>8</sup> in providing some of the delegates' professional, networking, and cross-cultural programming. To the extent possible, such young professionals organizations should be focused on activities relevant to a delegation's Hosting Theme.

- Will be given preference for a grant award if its accompanying 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.
- Will be given preference for a grant award if it demonstrates how results (as defined on p. 38 below) will be accomplished, particularly if this programming would further ongoing or proposed projects/partnerships with the applicant organization or one of its proposed local host organizations.

The Center will permit (on a very limited basis) organizations awarded 2012 Open World grants under these guidelines to nominate candidates for competitive delegate selection for exchanges that will support the organizations' ongoing or proposed projects/partnerships. Any applicant organization that wishes to nominate candidates must include in its proposal a clear strategy for nominations that demonstrates the organization's ability to identify quality candidates who match Open World's criteria, including Open World's emphasis on young professionals ages 25 to 35. If the applicant organization plans on having one or more participating-country organizations propose candidates for a specific hosting program, the rationale for using each organization, and each organization's complete contact information, must be included in the proposal. The nominations strategy must also demonstrate that the candidates will meet Open World's selection criteria, enhance a community partnership and/or project, and/or foster long-term collaboration with U.S. counterparts.<sup>9</sup>

Any candidates nominated by grantees must submit Open World's standard delegate application form and go through the same competitive, transparent vetting process as other nominees for the program. Open World will closely coordinate the nomination process with the relevant grantees and the logistical contractor.<sup>10</sup> Open World reserves the right to supplement any delegation of grantee-nominated delegates with one or more delegates from the general pool of finalists.

The Center also seeks proposals that, for one or more local programs, clearly specify the type(s) of delegates desired (e.g., regional and local legislators, mayors, NGO leaders, media professionals) and/or localities that delegates should come from, in order to have Open World exchanges that support specific projects or nascent partnerships.

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<sup>8</sup> Types of organizations include young-adult chapters of professional and business organizations; young-alumni associations, and young-adult branches of charitable organizations.

<sup>9</sup> If an applicant organization anticipates that one or more of its prospective subgrantees will want to nominate candidates, its proposal should include the information requested in this paragraph for each such prospective subgrantee.

<sup>10</sup> The Open World Leadership Center will serve as the logistical contractor for the delegations from Armenia and Turkmenistan, and possibly for a limited number of delegations from one or more of the other countries covered by this solicitation.

## 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 robust and mutually beneficial exchange of ideas—an element critical to our programming. The Open World program is designed to ensure that delegates have the opportunity to:

- Develop an understanding of the universe of people who interact with their American professional counterparts. For example, a delegation of mayors and other city officials might meet with the host community's mayor, city manager, city council members, mayor's office staff, key departmental staff, and local political reporters.
- 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.
- Develop an understanding of the role of the U.S. Congress and state, county, and local legislatures in shaping, overseeing, and/or funding programs and institutions connected with the applicable Open World Hosting Theme (e.g., accountable governance, social issues, rule of law).
- Develop an understanding of how citizens and interest groups work to affect the legislative process (at the federal, state, county, and local levels) on issues related to the delegates' Hosting Theme.
- Network with American professionals and hosts who are interested in maintaining contact beyond the eight-day community visit for ongoing cooperation and collaboration.
- Exchange views with influential representatives of appropriate federal, state, county, and local government agencies; legislators; civic organizations and other NGOs; and the business and education communities.
- Participate in community events to gain an understanding of the role of community organizations' interactions with the government.
- Receive an overview of the relationships among:
  - a) the executive, legislative, and judicial branches of state, county, and local government;
  - b) the business and civic communities and government; and
  - c) individual citizens and government.

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 in order to make constructive comparisons with civil society in their own 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, county, 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 the Open World country's society, culture, and institutions.

Finally, an essential component of the Open World program is that the delegates have ample opportunity to inform their hosts and their host communities about their countries, their professional lives and responsibilities, and the key political and cultural dynamics of the societies in which they live.

### **Hosting Themes**

The **2012 Open World Program** will offer a different set of themes for each participating country. Country themes were developed in close consultation with the U.S. Embassy in each participating country, NGOs, experts on the region, and participating-country organizations. Delegates will be selected based on their activities and background in one or more of the themes.

Because Open World resides in the legislative branch and serves the U.S. Congress, its historical mission includes exposing delegates to the role of legislatures and legislators in a successful democracy. The Center therefore asks grantees and their local host organizations to set up meetings and other professional activities for their delegates with Members of Congress or their staff, state legislators, and city council members and other local lawmakers. The purpose of these activities is to give delegates firsthand insights into how American legislators carry out such functions as lawmaking, legislative oversight, and constituent relations, especially as these functions relate to a delegation's Hosting Theme. Meetings with staff of state legislative committees and legislative support agencies are also encouraged, when feasible.

Center staff oversee the process of forming and placing Open World delegations. Center staff and the Center's logistical contractor 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 the Center's logistical contractor will also 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 plans specified in grant applications

to forge new ones. Center staff and the Center's logistical contractor will also work with grantees to ensure that host-community visits include opportunities for delegates to give voluntary presentations and to meet with lawmakers and legislative staff.

The host-community visit should 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. All programming, regardless of Hosting Theme, should include extensive exposure to legislative processes, and how these processes affect the Hosting Theme. The delegates will prepare for their host-community activities by attending a pre-departure program (usually held in their home country's capital city) followed by an arrival orientation program conducted in Washington, DC. If feasible, grantees will meet with their delegates and make brief presentations on their organizations during the Washington orientation. The Washington orientation program will review the Open World program's goals and provide an overview of the delegations' Hosting Theme(s); federal, state, and local governments and their interrelationships; a general overview of the federal legislative process; 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 outreach efforts on social network sites such as Facebook (<http://www.facebook.com/openworldleadershipcenter2>). The delegates will also learn about American home life and practices to prepare them for their homestays.

The host community visit must include an appropriate opportunity or opportunities for the delegates to present the professional and cultural aspects of their life to their colleagues and the community at large. The professional and cultural programming should be interactive in nature to ensure that the delegates have the opportunity to discuss their professional responsibilities and aspirations, the status of their theme/subtheme in their country, as well as their country's cultural milieu.

Please note that a number of delegations from among the countries listed below might consist entirely of young professionals ages 25 to 35. As of the publication date of these guidelines, it has not been determined how many, when, or under which themes such delegations will travel.

Applicant organizations are asked to indicate in their proposals for which countries, themes and subthemes, and dates they seek to host. (See instructions beginning on p. 40.) Proposed travel dates can be found in the table on pp. 32–33.

**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.**



## Russia

### 1. Accountable Governance

**Rationale:** In recent years, Russia has started implementing local self-governance reforms that expand the number of municipalities and give local authorities both more autonomy and more responsibility for providing basic public services. As a result, new and established local governments need to hire and train staff; take on new budgeting, planning, and service-delivery responsibilities; promote local business development; promote sound environmental practices; and become more proactive, responsive, and accountable.

The reforms described above have also increased the responsibilities of regional and local legislative bodies. It is also important that civil society organizations and a free, fair, and vigorous press be established to help promote transparency, effectiveness, and openness at all levels of government.

Local programs on accountable governance would emphasize the legislative process, administrative capacity-building, transparency, service delivery, financing of government services, media relations, community development, and environmental management.

As another function of governance, the Russian government has in recent years created the Presidential Commission for Modernization and Technological Development of Russia's Economy and dedicated significant resources to creating the Skolkovo Innovation Center. These initiatives have been undertaken to provide a catalyst for Russia's future economic growth, a platform for expanded international collaboration, and a way to encourage foreign investment in Russia's development of new technologies. Open World is prepared to further this effort by providing programming to Russia's emerging innovators that exposes them to efforts in the United States to foster innovation and economic advancement, such as technology parks, university research centers of excellence, and other institutions working in such fields as nanotechnology, alternative energy, computational advancement, and medical innovation. Such programming will also introduce delegates to venture capital strategies and various forms of public-private partnerships, and provide opportunities for American academics, entrepreneurs, and others interested or involved in technological development in Russia to meet with the delegates.

**Target Group:** Mayors, city managers and other municipal administrators, regional and local legislators and their staff, civic and political activists, policy researchers, journalists, government spokespersons, public services providers, NGO leaders, local business leaders involved in community development (including rural development), and environmental managers (including those involved in energy efficiency/management projects).

Delegations may be composed of people from the same community or region (to support sister-city partnerships, specific projects, or cross-sectoral programming) or of people holding similar positions in different cities or regions. Within this theme, Open World will host a limited number of delegations with a special focus on community development, environmental management, or "women as leaders."

This theme might also include delegations of national- or regional-level leaders, legislators, and policy experts involved with policies affecting local self-governance.

Other delegations in this theme will be composed of emerging innovators, government officials responsible for technology and innovation, and entrepreneurs.

## **2. Accountable Governance – The Role of Legislatures**

**Rationale:** Regional and local legislatures throughout Russia, while limited in their authority, create laws that both establish greater local governmental autonomy and provide a legal structure for basic public services at the local level. While legislative bodies in Russia do not play as large a role in their country's governmental system as legislatures play in that of the United States, they are increasingly involved in deciding how to (a) raise and distribute revenue, and (b) settle land and property ownership issues, while taking on other governmental responsibilities that have devolved from the federal to the regional and local levels.

Also, because the Open World Leadership Center resides in the U.S. legislative branch and serves the U.S. Congress, its historical mission includes a special focus on the role of legislatures and legislators in successful democracies. Open World has a unique ability to introduce Russian legislators and legislative staff and administrators to the legislative process at the national level during their Washington, DC orientation, and to demonstrate how that process links to and affects state, county, and local legislatures. Also, numerous legislators and legislative staff across the United States have experience presenting to Open World delegations.

**Target Group:** Regional and local legislators, legislative staff, and administrative staff serving legislative bodies at all levels of government.

**Program Structure:** Most programming will take place in a state capital or other community during a legislative session, with a focus on the role of the legislative branch in governance and the formulation of public policy. Open World seeks proposals for two types of delegations: one type would consist of legislators who share an interest in a particular public policy issue, such as health care or education; the second type would include legislators, legislative staff, and legislative administrators.

Programming for the legislator delegations would allow the delegates to meet with their American counterparts; attend committee meetings and legislative sessions; and learn how their counterparts interact with relevant executive agencies, advocacy groups, and constituents. Programming for the "mixed" delegations of legislators, legislative staff, and legislative administrators would focus on the operations of a legislature, on how legislatures receive independent information and analysis to support decision-making, and on constituent services.

Legislative delegations are expected to observe legislative sessions and committee meetings and have follow-up meetings with participating legislators; attend panel discussions with the legislators, legislative counsel, and committee staff who played a role in the successful passage of a law or an ordinance; meet with the legislative liaisons for state executive agencies; meet with lobbyists and advocacy groups and shadow their meetings with legislators/legislative staff; attend county legislative and/or city council meetings; meet

with county-level legislators (e.g., commissioners), mayors, or city council members to discuss their relations with the state legislature; and meet in-state with Members of Congress and/or their field staff. Mixed delegations of legislators and legislative staff/administrators would be expected to job-shadow their counterparts; attend panel discussions with legislative officials, executive agency administrators, political scientists, and political journalists on the role of legislatures in the host state and host community; meet with political party and elections officials; observe the constituent services operations in a legislator's office; discuss budgeting, information services, enforcement of ethics rules, and other administrative issues with legislative officials; and meet in-state with Members of Congress and/or their field staff. It is also expected that each legislative host program will have a legislator play a significant lead role in the hosting.

### **3. Judicial Rule of Law**

***Rationale:*** The Russian government, in accordance with its constitution, has separated the judiciary and judicial administration from the executive branch and improved judicial pay in order to enhance judicial independence and curb corruption. In addition, trial by jury for criminal cases has been reintroduced. The Russian government has also given priority to strengthening judicial ethics and increasing the efficiency of judicial administration, which will require better-qualified and better-trained staff.

Delegates should explore U.S. approaches to court proceedings, the jury-trial process, the adversarial system, plea-bargaining, alternative dispute resolution, law enforcement and corrections practices, and the legislative process. Other possible topics include judicial independence, judicial ethics, juvenile justice practices, financial dispute resolution, bankruptcy proceedings, and judicial administration.

Delegations should meet with federal, state, and/or (if applicable) local legislators or their staff to discuss judiciary-related legislative issues and funding.

***Target Group:*** Judicial rule of law delegations will be composed entirely of judges<sup>11</sup> or be a mix of judges, prosecutors, defense attorneys, and other legal professionals.

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<sup>11</sup> The hosting locations for the Russia judicial rule of law program will, for the most part, be determined by the Open World Leadership Center in cooperation with the U.S. Judicial Conference's Committee on International Judicial Relations (IJRC), and the professional hosting program will be organized by a host judge. Each U.S. host judge will be matched with a local host organization that will provide logistical and administrative support and assist with program planning. An applicant organization is encouraged to indicate in its proposal how many such delegations it wishes to assist. Please contact Open World Program Manager Jeffrey Magnuson at [jmag@openworld.gov](mailto:jmag@openworld.gov) for more information.

#### 4. General Rule of Law<sup>12</sup>

**Rationale:** The judicial reforms enacted in Russia over the past decade demand improvements in legal education and practice and a redefinition of the role of the judiciary in civil society. The judiciary is combating the perception that the courts are still not open and transparent, and greater availability of legal services is badly needed. Appropriate activities for such delegations include observing court proceedings and press briefings; meeting with judges and court administrators; visiting family and juvenile courts, law schools, law firms, corrections facilities, media outlets, legal advocacy NGOs, and state legislatures; and taking workshops on courtroom technology.

A specific rule of law challenge of increasing concern to both Russia and the United States is human trafficking. In Russia, the definition of human trafficking and applicable laws are often vague, making the identification and prosecution of such crimes difficult for law enforcement officials and the legal community. Other challenges include juvenile justice reform and legal advocacy for underserved populations. Anti-human trafficking programs should provide exposure to U.S. approaches to human-trafficking prevention and prosecution, the prevention of child exploitation, victims' assistance, and U.S. cooperation with other nations to address these issues on a global level. Delegates should have the opportunity to interact with their U.S. counterparts. Appropriate activities include meetings with U.S. and state government agencies, law enforcement specialists, legal officials, legislative specialists, and NGO leaders who work on this issue; site visits to shelters and NGOs providing services to human-trafficking victims; and workshops on prosecuting human traffickers.

Programs aimed at legal professionals in the fields of juvenile justice and legal advocacy for underserved populations should provide delegates with the opportunity to see how these issues are dealt with in the United States at the national level and enable the delegates to explore these issues in-depth with their American counterparts at the local level.

**Target Group:** Delegations could consist of law school faculty, judicial educators, legal specialists from NGOs and the private sector, legislators and legislative experts, lawyers, court administrative staff, court press officers, and legal reporters. Delegations participating in anti-human trafficking exchanges may include law enforcement officials (such as investigators and prosecutors); legal advocacy NGO leaders; victims' rights advocates; shelter administrators; and legislators and legislative specialists who can shape policy. Delegations participating in juvenile justice programs may include governmental legal specialists from all levels working in this sphere, NGO leaders, and social workers.

#### 5. Social Issues – Health-Care Provision

**Rationale:** Russia's high rates of chronic and communicable diseases, including cardiovascular disease, diabetes, HIV/AIDS, and cancer, highlight the need for preventive education, the promotion of healthy lifestyles, early diagnosis, better maternal and perinatal care, and affordable/accessible medical treatment. Inadequate health-care financing and

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<sup>12</sup> Please note that Russian general rule of law hosting can occur on an accountable governance date, on the social issues – social services date, or, if space permits, on a judicial rule of law date.

outdated medical equipment, facilities, and practices have also contributed to a health-care crisis in Russia. Building Russian-American cooperation in the medical field can benefit both countries and improve the response to global health threats. Programs in this subtheme should expose delegates to the delivery of quality coordinated services to patients. Programming would include visits to major medical centers; community-based clinics; county health departments; women's health centers; maternal, perinatal, and pediatric care facilities; and volunteer organizations in areas of particular relevance to a delegation. Delegates should also share their own expertise with their counterparts and discuss health-care legislation and funding with federal and state lawmakers if possible, or their staff.

**Target Group:** Government officials (with an emphasis on regional and local legislative and executive branch officials), heads of health and medical associations, health-care administrators, health-care providers involved in policy-making, health educators, women's health advocates, members of patient advocacy organizations, and NGO leaders in the field of health care. Some delegations may have a special focus on "women as leaders."

## 6. Social Issues – Higher Education and Innovation

**Rationale:** Russian education has a proud tradition, with graduation rates and literacy levels that are among the highest in the world. Russia's system of higher education, like that of the United States, faces challenges with financing, administration, preparation of students for a career and employment, and integration into a global educational system. Open World delegates from the federal, regional, and local levels, together with their American counterparts, will examine the United States' higher education system and the many models it provides for preparing young people for their future. Delegates will explore the community college as an effective model for remedying knowledge and skills gaps created by a changing global economy. Community colleges are responsive to the needs of a continuously changing job market, assist in local community development, and provide educational opportunities for a broad cross-section of society. This subtheme will also emphasize the role of universities and research institutions in promoting innovation and entrepreneurship, and the role of public-private partnerships in developing innovative education models.

**Target Group:** Regional and local government officials and legislators, especially those involved in postsecondary education policy and reform; education administrators; educators and education officials playing a key role in fostering innovation and entrepreneurship in academic settings; educators in leadership roles; heads of public-private sector initiatives; NGO leaders; and journalists. Some delegations may have a special focus on "women as leaders."

## 7. Social Issues – Social Services

**Rationale:** Although Russia has recently seen some gains in life expectancy, the country is still facing a demographic crisis with continued decrease in the overall population size and life expectancy lower than in Western countries. At the same time, more responsibility for social services delivery has been shifted from the national government to regional and local governments, without a corresponding transfer of funds. Challenges that American

communities face—including substance abuse, the care and inclusion of people with mental and physical disabilities, unstable home environments, abandoned and missing children, homelessness, and elder care—have also affected many Russian communities. Open World will invite mixed delegations of legislators, executive branch and NGO officials, and other community leaders to the United States to see how their counterparts here work to address social services delivery and funding issues. Programs should enable delegates to learn on-site about the operations, structure, and funding of leading public and private social service agencies; job-shadow their professional counterparts; meet with legislators and legislative staff to discuss social services issues, legislation, and funding; and meet with NGO leaders who work with or advocate for special populations (e.g., disabled, elderly, or economically disadvantaged citizens; adoptive families and children in the foster care system; abused, neglected, or abandoned children; victims of domestic violence; substance abusers; and those with life-threatening diseases and conditions). Host organizations are encouraged to schedule an overview session at the beginning of the community visit to provide background on the roles that Congress, state and local legislatures, government agencies (federal, state, and local), and nongovernmental organizations play in funding and providing social services in the host community.

**Target Group:** Social services officials and providers; municipal executives; regional and local legislators; NGO leaders, including leaders of social services advocacy organizations; and editors and other journalists. Some delegations may have a special focus on “women as leaders.”

## Ukraine

### 1. Accountable Governance

**Rationale:** Ukraine has gone through several years of political turmoil. The political reform amendments to the Ukrainian Constitution that came into effect on January 1, 2006, did not clearly define the relationship between the executive branch and the parliament, although they did increase the parliament’s power relative to that of the president. After the September 2007 parliamentary election and the ensuing negotiations between political parties, Ukraine’s political course seemed to stabilize somewhat. However, the struggle for political power between the president, the prime minister, and the parliament, and reliance on ineffective coalition governments, hindered the development of good governance. Ukraine’s new president, who assumed office in February 2010, is making policy decisions in a very politically fractured environment.

Regional and local governments are still highly dependent on the central government’s budget allocations. District, municipal, and village authorities and legislators need to be better prepared to take on and handle those government functions that are usually carried out at the local level in successful democracies. These officeholders need to improve staff hiring and training procedures; learn new budgeting, planning, and service-delivery practices; and promote economic development effectively—and they need to become more proactive, responsive, and accountable. Both government and NGO officials could benefit from seeing U.S. models of public/NGO cooperation on the Open World program.



Local programs on accountable governance would emphasize the legislative process, administrative capacity-building, transparency, service delivery, financing of government services, media relations, community development, environmental management, and, for some “mixed” delegations of government and NGO officials, public-NGO partnerships.

**Target Group:** Regional and local legislators, mayors, municipal administrators, policy experts, public services providers, media representatives, and election officials. Delegations may be composed of people holding similar positions in different cities or regions, or of people from the same community or region (to support sister-city partnerships, specific projects, or cross-sectoral programming). Some delegations will include both government and NGO leaders; the goal is for delegates to interact with each other while observing examples of how public-NGO cooperation can serve the community, and then collaborate more with each other when they return to Ukraine.

This theme may also include delegations of national- or regional-level leaders and policy experts involved with policies affecting local self-governance.

## 2. Accountable Governance – The Role of Legislatures

**Rationale:** Regional and local legislatures (radas) in Ukraine, while limited in their authority, create laws that both establish greater local governmental autonomy and provide a legal structure for basic public services at the local level. While legislative bodies in Ukraine do not play as large a role in their country’s governmental system as legislatures play in that of the United States, they are increasingly involved in deciding how to (a) raise and distribute revenue, and (b) settle land and property ownership issues, while taking on other governmental responsibilities that have devolved from the federal to the regional level.

Also, because the Open World Leadership Center resides in the U.S. legislative branch and serves the U.S. Congress, its historical mission includes a special focus on the role of legislatures and legislators in successful democracies. Open World has a unique ability to introduce Ukrainian legislators and regional legislative staff and administrators to the legislative process at the national level during their Washington, DC orientation, and to demonstrate how that process links to and affects state, county, and local legislatures. Also, numerous legislators and legislative staff across the country have experience presenting to Open World delegations.

**Target Group:** Regional and local legislators, legislative staff, and administrative staff serving legislative bodies at all levels of government.

**Program Structure:** Most programming will take place in a state capital or other community during a legislative session, with a focus on the role of the legislative branch in governance and the formulation of public policy. Open World seeks proposals for two types of delegations: one type would consist of legislators who share an interest in a particular public policy issue, such as health care or education; the second type would include legislators, legislative staff, and legislative administrators. Programming for the legislator delegations would allow the delegates to meet with their American counterparts; attend committee meetings and legislative sessions; and learn how their counterparts

interact with relevant state executive agencies, advocacy groups, and constituents. Programming for the “mixed” delegations of legislators, legislative staff, and legislative administrators would focus on the operations of a legislature, on how legislatures receive independent information and analysis to support decision-making, and on constituent services.

Legislative delegations are expected to observe legislative sessions and committee meetings and have follow-up meetings with participating legislators; attend panel discussions with the legislators, legislative counsel, and committee staff who played a role in the successful passage of a law or an ordinance; meet with the legislative liaisons for state executive agencies; meet with lobbyists and advocacy groups and shadow their meetings with legislators/legislative staff; attend county legislative and/or city council meetings; meet with county-level legislators (e.g., commissioners), mayors, or city council members to discuss their relations with the state legislature; and meet in-state with Members of Congress and/or their field staff. Mixed delegations of legislators and legislative staff/administrators would be expected to job-shadow their counterparts; attend panel discussions with legislative officials, executive agency administrators, political scientists, and political journalists on the role of the legislatures in the host state and host community; meet with political party and elections officials; observe the constituent services operations in a legislator’s office; discuss budgeting, information services, enforcement of ethics rules, and other administrative issues with legislative officials; and meet in-state with Members of Congress and/or their field staff. It is also expected that each legislative host program will have a legislator play a significant lead role in the hosting.

### **3. Secondary and Higher Education and Innovation**

**Rationale:** Ukraine is a highly literate society with a strong and proud history of education at the elementary and secondary levels, although the level of education in metropolitan areas is generally higher than that in rural areas. The country has made priorities of ensuring equal access to a quality education for rural and low-income students and enhancing the professionalism of educators. Open World’s 2012 Ukraine education and innovation programming will focus on educators from the secondary and college/university levels, and these programs should explore transparent and standardized testing, credentialing, teacher training (pre-service and in-service), school performance monitoring, and creating, selecting, and distributing quality educational materials. Open World delegates from the federal, regional, and local levels, together with their American counterparts, will examine the United States’ education system and the many models it provides for preparing young people for their future. Delegates will explore the community college as an effective model for remedying knowledge and skills gaps created by a changing global economy. Some delegations under this subtheme will explore the role of universities and research institutions in promoting innovation and entrepreneurship, and the role of public-private partnerships in developing innovative education models.

**Target Group:** Secondary and higher educational delegates might include federal, regional and local executive-branch officials and legislators involved in education policy and reform, school administrators, administrators of institutions of higher education, educators in leadership roles, NGO leaders, and journalists, and education professionals active in promoting standardization and transparency in education. This theme will also include



education professionals from both the secondary and higher education spheres from the categories listed above who are looking at issues relating to fostering innovation and entrepreneurship in academia.

#### **4. NGO Development**

**Rationale:** Ukraine has many dedicated NGO leaders who are being challenged to develop better-managed and more vibrant organizations. Further development of the NGO sector is vital to Ukraine's progress toward firmly establishing a democratic system with a strong advocacy and voluntary sector. Open World exchanges can improve NGO leaders' administrative, advocacy, and fundraising skills, and can help these leaders formulate strategies for providing leadership and service in the community. There is also great need for effective advocacy for development in rural communities, especially among their women leaders. Local programs should enable delegates to observe firsthand how the nongovernmental sector works in the United States and how NGOs cooperate with the government, the private sector, their local communities, and each other to serve citizens. Delegations should visit successful NGOs, including interest/advocacy groups, and examine NGO fundraising activities, member recruitment, public relations, legislative advocacy and other outreach efforts, and overall program and financial management methods. Delegations also should visit government agencies that fund or otherwise collaborate with NGOs, and should investigate all aspects of government-NGO relations, including the legislative process.

**Target Group:** Board members, directors, high-level staff, and key volunteers of NGOs involved in public health (especially HIV/AIDS and tuberculosis prevention and treatment), environmental protection, energy conservation and planning, and women's leadership at the local, regional, and national levels, including in rural communities; NGO leaders involved in legislative advocacy, governance, and community-services delivery; and government officials and legislators who work with members of the NGO community or have budget or oversight responsibilities for government-funded activities carried out by NGOs. It is expected that some delegations will consist of executive-branch officials and/or legislators and NGO officials, so that cooperation and collaboration can be enhanced through lessons learned together.

## 5. Judicial Rule of Law

**Rationale:** Although progress has been made in recent years toward establishing the legal basis for an independent judiciary in Ukraine, clear hurdles remain to separating the judicial branch from the executive branch and establishing a genuinely independent judiciary. Concepts like judicial independence, the adversarial process, equal protection, and equal access to justice are still nascent in Ukraine. In addition, information about judicial qualification processes, judicial training, and effective ways of fighting judicial corruption and white-collar crime would be timely and useful. Open World's previous Ukrainian rule of law exchanges allowed judges at all levels of the Ukrainian judiciary to examine judicial practices in the United States, and this programming will continue in 2012. Delegates should explore U.S. approaches to court proceedings, the jury-trial process, the adversarial system, plea-bargaining, alternative dispute resolution, law enforcement and corrections practices, and the legislative process. Other possible topics include judicial independence, judicial ethics, juvenile justice practices, financial dispute resolution, bankruptcy proceedings, and judicial administration. Delegations should meet with federal, state, and/or (if applicable) local legislators or their staff to discuss judiciary-related legislative issues and funding.

**Target Group:** Most delegates for Open World's judicial rule of law program<sup>13</sup> will be judges from local courts and regional appellate courts, although some will come from national-level courts. These delegations are usually hosted by a federal or state judge in a program that emphasizes judge-to-judge activities. Other judicial delegations may be made up of judges and non-judges for exchanges focused on such issues as court management and media-judicial relations.

## 6. General Rule of Law

**Rationale:** Rule of law is one of the foundations of a civil society. Ukraine is seeking to further develop the administrative and support infrastructure for the courts, as well as the professionalism of lawyers and other legal professionals, so Open World regularly includes non-judge general rule of law delegations in its programming. Appropriate activities for such delegations include observing court proceedings and press briefings; meeting with judges and court administrators; visiting family and juvenile courts, law schools, law firms, corrections facilities, media outlets, legal advocacy NGOs, and state legislatures; and taking workshops on courtroom technology.

**Target Group:** Lawyers, independent legal experts, legal scholars, and judicial administrators.

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<sup>13</sup> The hosting locations for the Ukraine judicial rule of law program will, for the most part, be determined by the Open World Leadership Center in cooperation with the U.S. Judicial Conference's Committee on International Judicial Relations (IJRC), and the professional hosting program will be organized by a host judge. Each U.S. host judge 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 such delegations they wish to assist. Please contact Open World Program Manager Jeffrey Magnuson at [jmag@loc.gov](mailto:jmag@loc.gov) for more information.

## Armenia

### 1. Accountable Governance – Urban Development

**Rationale:** The new mayor of Armenia’s capital of Yerevan is encouraging citizens to participate in government and to help maintain and improve the city’s physical environment. Meanwhile, youth civic initiatives such as “We are the owners of the city” have been calling for greater government transparency and accountability in the sphere of urban development. In addition, young people participating in these initiatives are taking responsibility for making improvements in various city neighborhoods. The local U.S. program should ensure that the delegates see how U.S. citizens are able to monitor government bodies and take an active part in city council discussions on zoning; public utilities; infrastructure; budgeting for services, maintenance, procurement, and construction; and similar issues. Delegates will also learn about citizen and corporate social responsibility in the community, and will have the opportunity to meet with civic leaders in the United States.

**Target Group:** City officials, youth civic-initiative leaders, members of the Union of Architects, and leaders of other nongovernmental organizations.

### 2. Social Issues – Social Work

**Rationale:** Social work as a profession is a relatively new field in Armenia. Introducing delegates to social work in the United States will contribute to improving social-services delivery to at-risk and disadvantaged populations in Armenia. Under this theme, delegates will be exposed to social-work practices and training in the United States, and will explore how professional standards are established and maintained, how clients’ privacy rights are protected, and how public and private agencies coordinate their work.

**Target Group:** Social service leaders in government, private practice, academia, and NGOs.

## Georgia

### 1. Accountable Governance – Improved Public-Sector Service Delivery

**Rationale:** Current economic and political conditions demand that government streamline and increase the effectiveness of public agencies, in part through creative management and the use of social-networking websites and other Internet-based technologies. Several sectors of the Georgian government would benefit from a program that allows officials to explore how government agencies in the United States are striving to improve their performance and provide better service to the public. Programs should provide delegates with exposure to how various government services, such as the issuing of licenses and the granting of permits, are provided in the United States, with an emphasis on how information technology is being used to improve the effectiveness of the provision of services, and the organization and accessibility of public records.

**Target Group:** Officials from the Ministry of Justice, the Ministry of Finance, the Civil Registry Agency, and the Public Registry Agency.

## **2. Accountable Governance – Election-Campaign Funding and Financing of Other Political Activities**

**Rationale:** Georgia will be holding parliamentary elections in 2012 and presidential elections in 2013, and, according to reports from various international elections-related organizations, election campaign funding, and the financing of other political activities, are problematic in Georgia. Programming for this theme/subtheme will enable Georgian elections officials and others interested in elections procedures to work with their American counterparts to see how political activity and campaigns are financed and regulated in the United States. The delegates will discuss legislation governing the financing of political activities and campaigns, how such financing is monitored, how corruption is identified and punished, and what systems are in place to make such financing transparent in the United States.

**Target Group:** Members of the Central Election Committee and other election committees, NGO leaders from organizations working in the elections field, leaders of various watchdog organizations, and representatives of the press.

## **3. Accountable Governance – Transparent and Independent Media**

**Rationale:** A robust, transparent, and independent media sector has not yet developed in Georgia. Television is the most important source of information for Georgians, with a handful of major commercial stations and dozens of cable operators competing for a share of the advertising market. State radio and TV stations, the Georgian state news agency, and state newspapers have all been privatized, and the quality and budgets of these outlets are quite low. Newspapers suffer from poor distribution channels. Also, media professionals in Georgia need to improve their investigative and political-reporting skills, their coverage of changing political alliances and politicians' reactions to constituent concerns, and their analytical reporting on crucial social issues such as health, housing, and education. This programming will concentrate on exposing delegates to the watchdog role that a robust media plays, to investigative journalistic practices, and to online sources of in-depth news and political coverage.

**Target Group:** Broadcast and print media professionals, NGO leaders working to develop a robust media in Georgia, representatives of Internet media outlets.

## **4. Accountable Governance – Municipal Budget Development, Monitoring, and Assessment**

**Rationale:** The Georgian government is planning to introduce municipal-level budgeting in 2012, and it is important that municipal legislators and executives, as well as key organizations working to shape public policy/budgeting, better understand the budgeting process—how budgets are developed, approved, implemented, monitored, evaluated, and audited. Delegates will observe in detail the municipal budgeting process in the United States, and will meet with officials involved in the different stages of this process. In addition, the delegates will examine the public's role in influencing the budgetary process (including the role of advocacy groups and

their lobbying efforts) and activities of the press and watchdog organizations in the United States that help make the budgeting process transparent.

**Target Group:** Municipal legislators, mayors, city managers and other top city administrators, and media and/or civil society NGO leaders who are interested in the budgeting process.

## **5. Accountable Governance – Public-Private Partnerships and the Role of NGOs**

**Rationale:** The demands of modern society and limitations on resources call for creative partnering between the Georgian government and representatives of the nonprofit and private sectors. This programming will enable government representatives, managers of public entities, representatives from private/commercial organizations, and NGO leaders to explore how public-private partnerships work in the United States to meet citizens' needs. Delegates will also be introduced to representatives of numerous organizations that play a role in public-private partnerships. Delegates will also observe how these key players determine their organizations' missions, develop strategic plans, improve management, utilize the services of volunteers, communicate with the public, and raise money.

**Target Group:** Government officials, leaders of public and private entities, and leaders of NGOs.

## **6. Social Issues – Social Services – Societal Inclusivity**

**Rationale:** Georgia's population is made up of many different ethnic groups, including Azeris, Armenians, and Kurds, with ethnic Georgians comprising the majority. Members of the country's minority groups often find themselves at the bottom of the social ladder, and many ethnic Georgians regard them with suspicion or even outright distrust. Since gaining independence and joining international organizations such as the Organization for Security and Co-operation in Europe (OSCE) and the Council of Europe, Georgia has gradually modernized its legal system and improved its compliance with international norms of human rights, including the protection of the human rights of ethnic minorities. More needs to be done to enable minorities to participate fully in Georgian community and economic life, including expanding Georgian-language comprehension. The U.S. program should expose participants to social-services delivery to ethnic minorities; national and community organizations dedicated to protecting civil rights; and programs for teaching English as a second language.

**Target Group:** NGO leaders, government officials, and legislators working in the area of societal inclusivity; leading minority-group representatives working on this issue.

## 7. Social Issues – Higher Education Administration/Innovation

**Rationale:** Georgia’s higher education system needs across-the-board reform and innovation. Among other problems, the higher education system suffers from a lack of: transparent regulation, an adequate accreditation system, and publicly available data on the quality of higher education institutions. Funding for research is scarce, and there is no tradition of peer review or critical debate. The Open World program will bring university deans, administrators, department heads, and professors active in professional associations from a variety of Georgian public universities—as well as ministry specialists and other education experts—to the United States to meet with administrators and faculty at state and private universities and colleges, and to review U.S. approaches to higher education academic standards, curriculum development, admissions and management practices, public outreach efforts, student exchanges, distance learning practices, and ethical standards for academics. This program will also explore the role of universities and research institutions in promoting innovation and entrepreneurship, and demonstrate how public-private partnerships can lead to innovative education models.

**Target Group:** Ministry of Education and Science strategic planners and other education experts, administrators, deans, department heads, and professors active in professional associations.

## 8. Social Issues – Advancement of Women Business Leaders

**Rationale:** Women are playing an increasingly important role in Georgia as business leaders and entrepreneurs, and are looking for models as they take their place in modern Georgian society. This program will introduce delegates to policies, programs, and practices that support the development of women as business owners and managers in small, medium, and large enterprises. Delegates will also explore best practices for supporting women-owned enterprises, visit a university business school to learn about the role of education in the advancement of women in business, and review other management and leadership issues for women business leaders.

**Target Group:** Women business and government leaders, and women leaders of organizations and educational institutions working for the advancement of women in business.

## 9. Social Issues – Child Welfare Services

**Rationale:** Georgia lacks the legislative framework and social infrastructure required to provide an adequate safety net for at-risk children. Delegates for this program will examine how these children are protected by health and child welfare laws at the federal, state, and local levels, and will be exposed to support services provided to at-risk children in the United States. The program will include visits to preschools, orphanages (where possible), children’s hospitals, schools and residential homes for at-risk youth, and juvenile detention facilities. Other items to be explored include training for social workers, educational opportunities for at-risk children, the foster-care system, and child-protection services.

**Target Group:** Social workers, orphanage directors, and experts in the field of child welfare.



## 10. Rule of Law – Judicial Practices and Ethics

**Rationale:** Although the Georgian judiciary has made tremendous progress in recent years on judicial independence and court administration, there is still much room for improvement, especially with regard to judicial ethics and international standards of conduct. Programming will expose judges from Georgia to the Code of Conduct by which U.S. federal judges must abide. The code “provides guidance for judges on issues of judicial integrity and independence, judicial diligence and impartiality, permissible extra-judicial activities, and the avoidance of impropriety or even its appearance.”<sup>14</sup> This program will also allow Georgian judges to observe and discuss how cases are processed, hearings are conducted, interactions between judges and other legal professionals are handled, and decisions are made (including in high-profile cases) in U.S. courts.

**Target Group:** Judges.

## 11. Rule of Law – Quality of Justice

**Rationale:** Measuring the quality of justice is a relatively new concept in Georgia. The process involves evaluating court practices and the performance of courts, with the aim of improving the quality of services provided by the judicial branch. This topic is timely because the High Council of Justice of Georgia is creating a Department of Quality of Justice that will monitor the courts, analyze court statistics, and communicate with the public about the performance of the courts.

**Target Group:** Judges and other representatives of Georgia’s judicial/court system.

## Kazakhstan

### 1. Accountable Governance – Strengthening Regional/Local Legislatures

**Rationale:** Kazakhstan has 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 gives more responsibility to local governments), and in January 2009, the national parliament passed a new law on local self-government. The U.S. program will offer a positive model for the development of regional and local legislatures. In particular the program will focus on exploring the organization and administration of legislative bodies as well as showing how executive- and judicial-branch institutions operate and interact, in order to give a broad picture of how local governments serve their citizens and to encourage the development of best practices in governing. Another issue in Kazakhstan, particularly in the western part of the country, is the lack of cooperation and trust between the government and business sectors. Therefore, the Open World program will also address how local legislatures interact with and support the business community and demonstrate how the two sectors can work together toward the same goals.

**Target Group:** Regional and local legislators and their staff.

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<sup>14</sup> See <http://www.uscourts.gov/RulesAndPolicies/CodesOfConduct.aspx>.

## 2. Accountable Governance – Environmental Leaders

**Rationale:** Kazakhstan faces serious environmental challenges. The Soviet era left many pollutants, including chemical and industrial waste, in both population centers and uninhabited zones. Since independence, the oil and chemical industries have also contributed to ongoing air and water pollution problems, which are exacerbated by increasing traffic congestion. In the southern part of the country, the problem of lead pollution is particularly urgent. Not only are lead ore deposits refined, but large metallurgical factories operate there as well. However, little has been done to prevent lead poisoning among the local population. A number of environmental organizations operate in Kazakhstan, but there is little financial support to begin necessary cleanup and prevention programs. The U.S. program should focus on U.S. federal, regional, and local government initiatives to undertake environmental cleanup and promote environmentally friendly practices, and on cooperative efforts involving NGOs, the private sector, and the general public.

**Target Group:** Regional and local legislators, government representatives, environmental NGO leaders, environmental activists, scientists, and journalists.

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

**Rationale:** Corruption is widespread 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 Central Asia. 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 removing 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. The U.S. 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.

# KYRGYZSTAN

## 1. Accountable Governance – Strengthening Regional/Local Legislatures

**Rationale:** Kyrgyzstan has seven regions (each with its own legislature), 25 cities and towns, and 472 rural municipalities, with each rural municipality consisting of one to 10 villages. All cities, towns, and rural municipalities have councils. The councils are generally viewed as democratic, although inexperienced, units of local self-government. The U.S. program will look at the role of legislators in governing at the city, county, and state level; how legislators respond to issues of concern to their constituents; and how legislatures interact with executive- and judicial-branch entities.



**Target Group:** Regional and local legislators.

## **2. Accountable Governance – Investigative Journalism/Corruption Prevention**

**Rationale:** Kyrgyzstan needs a larger corps of professional investigative journalists, especially for corruption investigations. This theme will enable delegates to study and observe how community newspapers, television stations, and other U.S. press outlets discover, investigate, and report on corruption and other illegal activity (including how investigative journalists conduct research and find and handle sources, what legal issues investigative journalists face, and how the general public's support for such reporting is maintained).

Other topics covered should include how media outlets successfully develop an independent editorial policy; stay economically independent and financially viable; maintain credibility with the public; and interact with local authorities.

**Target Group:** Journalists and other representatives of media outlets.

## **3. Accountable Governance – Media and Social Networking**

**Rationale:** As seen during the 2010 political unrest in Kyrgyzstan, the country's traditional media often has not provided adequate coverage of current affairs, politics, and government. During the upheaval of 2010, many Kyrgyzstanis turned to social media to share and obtain information about the unfolding events. While some of these social-media users spread rumors, a number of bloggers and other social-media contributors provided much of the most reliable reporting on the unrest.

This Open World theme will provide an opportunity for established and emerging journalists and bloggers from Kyrgyzstan to gain greater experience in using social media (Facebook, YouTube, Twitter, etc.) to complement reporting by traditional media outlets. The delegates will also explore how to enhance news reporting through blogging and through website integration, which promotes the traditional content of established media outlets while also providing access to multiple sources.

The overall aim of the theme is to reinforce the use of social media to report news in a socially responsible and ethical manner.

**Target Group:** Journalists, bloggers/political commentators, and other representatives from media outlets.

#### **4. Social Issues – Education – Distance Learning**

**Rationale:** The government of Kyrgyzstan intends in the coming year to open English-language schools, with many planned for rural areas. In addition, the government plans to supply these and other schools with state-of-the-art technology to give students distance-learning and other electronic educational opportunities. The U.S. program for these delegates should focus on education administration, relevant teaching methods, and distance-learning and other online technologies.

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

#### **5. Rule of Law – Judges and Judicial Ethics**

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

**Target Group:** Judges.

### **Moldova**

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

**Rationale:** Local-government reform efforts that are part of Moldova's decentralization process focus on how local government bodies govern, their structure, funding sources, designated authorities and powers, and public outreach efforts. The roles of local elected officials need to be better defined and distinguished from those of federal civil servants. Local officials need the legal authority and mechanisms to collect local taxes, and training in developing and implementing budgets. There is a countrywide need for greater effectiveness, transparency, accountability to citizens, and citizen involvement in municipal affairs. The hosting program(s) will provide a general overview of the U.S. local governance system, participatory government, institutional structures, and the budget process in the executive and legislative branches of local government.

**Target Group:** Local executive- and legislative-branch government officials and national-level officials involved with local-governance policy making and management.

#### **2. Accountable Governance – Media and Government**

**Rationale:** The Audiovisual Coordinating Council (CCA) is an autonomous public authority in Moldova tasked with supervising public and private broadcasters' adherence to Moldovan laws and regulations. The CCA also monitors broadcasters' regard for pluralism of opinion in their programs; encourages free competition; and protects the national language and identity. In the United States, delegates will be exposed to the work of the

Federal Communications Commission (FCC)—including its regulation of interstate and international communications by radio, television, wire, satellite, and cable—and the adherence by national and local media outlets to FCC regulation. Delegates will also look at other ways in which broadcasters are held accountable by the public, nonprofit, and private sectors.

**Target Group:** CCA members, members of national and local media outlets.

### **3. Accountable Governance – E-government**

**Rationale:** Moldova seeks to modernize and reform public administration, in part by using e-governance to foster government transparency and efficiency. This effort runs parallel to the Moldovan government's moves to decentralize. In the United States, delegates will be introduced to the E-Government Act of 2002, and will see how different levels of government (sometimes in partnership with private entities) provide information electronically to the public, how personal privacy is safeguarded, and how government conducts its business virtually.

**Target Group:** Government officials involved in creating e-government, and IT administrators establishing an e-governance infrastructure.

### **4. Rule of Law – Judiciary**

**Rationale:** Under Moldova's constitution, the judicial branch is independent from the executive and legislative branches, and judges are appointed for life. The Prosecutor's Office, which operates independently in the Ministry of Justice, represents the state's interests in court and conducts criminal prosecutions. The judiciary in Moldova is facing issues similar to those challenging other countries with maturing judiciaries—such as how to establish real judicial independence and ethical standards, and how to increase the efficiency of judicial administration, which will require better-qualified and better-trained staff. The program will benefit delegates by introducing them to judicial independence, ethics, administration, and practices in the United States.

**Target Group:** One or more delegates from each of these professions: judge, prosecutor, and defense attorney.

### **5. Rule of Law – Court Administration**

**Rationale:** The position of court administrator is relatively new in Moldova. New court-automation technologies can enable court staff to serve the public more efficiently, randomly assign cases to judges, and accomplish more tasks/filing on a daily basis. Delegates will see various case-management systems and other technologies and services used in administering courts in the United States.

**Target Group:** Judges, judicial officials, and court administrators.

## Tajikistan

### 1. Accountable Governance – Strengthening Local Governance

**Rationale:** Traditional neighborhood councils (*Mahalas* and *Jamoats*) in Tajikistan play an important role in local governance. These councils are not directly answerable to the country’s president, and their heads, who are locally elected, are among the only leaders in Tajikistan with the ability to affect change in the community. The delegates for this program will focus on how local government institutions in the United States are administered and how they serve citizens. The program should enable the delegates to discuss best practices with U.S. local government officials and staff. During their program, delegates should also examine methods of ensuring government transparency and codes of ethics for government officials.

**Target Group:** Directors and other leaders of neighborhood councils.

### 2. Accountable Governance – Agricultural Diversification

**Rationale:** With little arable land, Tajikistan relies heavily on water-thirsty cotton crops, uses out-of-date agricultural techniques, and improperly irrigates its land. The lack of agricultural diversification in Tajikistan threatens both the soil and the economy. The delegates will learn about U.S. experience in agricultural diversification and the role of the government and the private sector in promoting diversification. The delegates should also explore land-management practices, crop rotation, and irrigation methods.

**Target Group:** Representatives of the Ministry of Agriculture, farm managers, and heads of local governments.

### 3. Accountable Governance – Investigative Journalism

**Rationale:** Because the press in Tajikistan retains its Soviet-era passivity, delegates for this program would greatly benefit from observing how U.S. media outlets report on the political process, and how American journalists work to expose corruption wherever it occurs in American society. The program should also familiarize the delegates with how American journalists gather facts, including by analyzing public records and using multiple independent sources, and how such fact-finding is used in investigative reporting on government, political, and other activities.

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

### 4. Accountable Governance – Ecotourism

**Rationale:** Tajikistan’s mountainous terrain and natural resources provide numerous opportunities for tourists. Unfortunately, Tajikistan’s tourism sector—which could be a source of much-needed income—is underdeveloped. The program for these delegates should focus on how environmentally sensitive tourism (“ecotourism”) can be developed in

Tajikistan, including through public-private partnerships.

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

## 5. Social Issues – NGO Development

**Rationale:** Tajikistan has many dedicated NGO leaders who are being challenged to develop better-managed and more effective organizations. NGOs in Tajikistan rely heavily on funding from foreign/international donors and financial institutions, and often fail to consider that funding can also be raised from within the community and from the business sector. There is also great need for the development of effective rural NGOs that promote local economic development and/or provide services to the needy. The delegates for this program will look at ways to improve their administrative, advocacy, and fundraising skills. The program should also enable the delegates to formulate strategies for providing leadership and services in the community. The programming should also demonstrate how government entities, NGOs, and the business community work closely together to help meet public needs.

**Target Group:** Board members, directors, high-level staff, and key volunteers of NGOs working on such issues as at-risk youth, public health, environmental protection, energy conservation and planning, and women's leadership at all levels, including in rural communities; NGO leaders involved in promoting good governance, government transparency, and volunteerism; and government representatives who work with members of the NGO community or who have budget or oversight responsibilities for government-funded activities carried out by NGOs.

## 6. Social Issues – Prevention of Human Trafficking

**Rationale:** Trafficking in humans is a crime of increasing concern in both Tajikistan and the United States. Tajikistan's judicial system has begun taking a more coordinated, multidisciplinary approach to handling trafficking cases, but little effort is made to prosecute, convict, or punish government officials involved in trafficking.

The delegates on this program should work with their U.S. counterparts to examine the underlying causes of trafficking (such as unemployment and domestic violence); methods of preventing trafficking through outreach, education, and career development; effective anti-human trafficking legislation; U.S. law-enforcement and judicial practices designed to combat trafficking; and victims' assistance efforts.

**Target Group:** Judges, prosecutors, law enforcement officials, and other legal professionals; NGO specialists; social workers; and psychologists.

## **Turkmenistan**

### **1. Accountable Governance – Business Legislation**

**Rationale:** A sound understanding of economic policy, commercial law, and the financial and banking sectors is key for developing legislation and implementing reforms aimed at creating an open and transparent market economy that will boost economic development and improve the country's business climate. Program participants will meet with government officials, legislators, and businesspeople to discuss laws, regulations, taxes, incentives for citizens to start small businesses, and legal protections for investors and business owners.

**Target Group:** Government officials/administrators engaged in finance, economics, and commerce, as well young entrepreneurs.

### **2. Accountable Governance – E-governance and Transparency**

**Rationale:** Ways that governments can improve their transparency include adopting global or regional standards for legislation; publishing laws, regulations, and government decisions; and seeking public comment on proposed laws and regulations before they are put in place. In the United States, program participants will explore how e-governance informs citizens about government actions and operations, proposed legislation and regulations, and statutes, and how such direct communication helps citizens have an active voice in government decisions.

**Target Group:** Government leaders/administrators tasked with improving government processes in Turkmenistan.

### **3. Accountable Governance – Promoting Public-Private Partnerships**

**Rationale:** Modern infrastructures for transportation, communications, and educational and health care services require substantial investment and long-term planning. Public-private partnerships can be effective tools in improving infrastructure by involving many stakeholders and considering these stakeholders' concerns. This programming will provide insight into how, in the United States, the public and private sectors, civic associations and other nonprofits, and individual citizens join forces to modernize infrastructure through open competitions, public hearings, individual initiative, public-private financing, tax incentives, and other mechanisms.

**Target Group:** Leaders in government, business, and civil society working to develop Turkmenistan's infrastructure.

### **4. Accountable Governance – Responsive Government**

**Rationale:** Civil service reform is a major component of Turkmenistan's broader reform of its public administration. During the U.S. program, delegates should be introduced to models and practices that promote government accountability and transparency and improve delivery of public services. Delegations should also be exposed to examples of

effective civil service entities/organizations and to civil servants (preferably from a cross-section of agencies that correspond to the delegates' own workplaces) who are highly regarded for their professionalism and level of service.

**Target Group:** Ministry officials, Academy of Civil Service administrators, and regional and municipal officials.

## **5. Social Issues – Education Reform**

**Rationale:** Over 50 percent of Turkmenistan's population is below age 25. High school graduates are largely unprepared for international-level universities. Turkmenistan offers fewer than 5,500 slots in their domestic higher-education system for the more than 115,000 high school students who graduate each year. The current situation may lead to a human-capacity crisis affecting all aspects of the country's development. To help improve the situation, programming in this area will focus on alternative educational solutions (such as vocational training, distance learning, and the community college model) for furthering knowledge or remedying knowledge and skills gaps created by a changing global economy.

**Target Group:** Education ministry officials, Academy of Civil Service administrators, and leading educators.

## 2012 Open World Program – Proposed Travel Dates<sup>15</sup>

Country	U.S. Arrival Date <sup>16</sup>	Theme/Subtheme	Number of Delegations
<b>Russia</b>	Feb 1	Social Issues – Social Services	Nine (9)
<b>Ukraine</b>	Feb 8	Accountable Governance – The Role of Legislatures	Nine (9)
<b>Kazakhstan</b>	Feb 29	Accountable Governance – Strengthening Regional/Local Legislatures Accountable Governance – Environmental Leaders	Three (3) Two (2)
<b>Kyrgyzstan</b>	Mar 7	Accountable Governance – Strengthening Regional/Local Legislatures Accountable Governance – Investigative Journalism/Corruption Prevention Accountable Governance – Media and Social Networking Social Issues – Education – Distance Learning	Two (2) One (1) One (1) One (1)
<b>Ukraine</b>	Mar 14	Accountable Governance Rule of Law – General	Five (5) Four (4)
<b>Armenia</b>	Mar 26	Accountable Governance – Urban Development Social Issues – Social Work	One (1) One (1)
<b>Russia</b>	Mar 28	Social Issues – Health-Care Provision	Nine (9)
<b>Turkmenistan</b>	Apr 11	Accountable Governance – Business Legislation Accountable Governance – E-governance and Transparency Accountable Governance – Promoting Public-Private Partnerships Accountable Governance – Responsive Government Social Issues – Education Reform	Two (2) Two (2) One (1) One (1) One (1)
<b>Russia</b>	Apr 19	Judicial Rule of Law (Judges and Mixed Delegations)	Nine (9)
<b>Georgia</b>	Apr 25	Accountable Governance – Improved Public-Sector Service Delivery Accountable Governance – Election-Campaign Funding and Financing of Other Political Activities Accountable Governance – Transparent and Independent Media Accountable Governance – Municipal Budget Development, Monitoring, and Assessment Accountable Governance – Public-Private Partnerships/Role of NGOs Social Issues – Social Services – Societal Inclusivity Social Issues – Higher Education Administration/Innovation Social Issues – Advancement of Women Business Leaders Social Issues – Child Welfare Services	One (1) One (1) One (1) One (1) One (1) One (1) One (1) One (1) One (1)
<b>Tajikistan</b>	May 16	Accountable Governance – Strengthening Local Governance Accountable Governance – Agricultural Diversification Accountable Governance – Investigative Journalism	Two (2) Two (2) One (1)
<b>Ukraine</b>	May 31	Accountable Governance NGO Development	Two (2) Seven (7)

*(Table continues on next page.)*

<sup>15</sup> Please note that a number of the delegations listed above might consist entirely of young professionals ages 25 to 35. As of the publication date of these guidelines, it has not been determined how many, when, or under which themes such delegations will travel. Please also note that, as of the publication date of these guidelines, it has not been determined when or how many Russian Accountable Governance – The Role of Legislatures delegations will travel. They may travel on one or more of the Accountable Governance dates. Please include your best hosting option(s) in your proposal.

<sup>16</sup> Date of arrival in Washington, DC.



Country	U.S. Arrival Date	Theme/Subtheme	Number of Delegations
Russia	Jun 6	Accountable Governance	Nine (9)
Russia	Jun 20	Accountable Governance – Environmental Management	Nine (9)
Russia	Jul 18	Accountable Governance	Nine (9)
Tajikistan	Sep 5	Accountable Governance – Ecotourism Social Issues – NGO Development Social Issues – Prevention of Human Trafficking	Two (2) One (1) One (1)
Ukraine	Sep 13	Rule of Law – Judicial	Nine (9)
Moldova	Sep 19	Accountable Governance – Local Governance Accountable Governance – Media and Government Accountable Governance – E-government	Two (2) Two (2) Two (2)
Georgia	Oct 11	Rule of Law – Judicial Practices and Ethics	One (1)
Georgia		Rule of Law – Quality of Justice	One (1)
Kazakhstan		Rule of Law – Transparency and Efficiency for Regional-Level Judges	Two (2)
Kyrgyzstan		Rule of Law – Judges and Judicial Ethics	One (1)
Moldova		Rule of Law – Judiciary	One (1)
Moldova		Rule of Law – Court Administration	One (1)
Russia	Oct 17	Social Issues – Higher Education and Innovation	Nine (9)
Russia	Oct 24	Accountable Governance	Nine (9)
Ukraine	Oct 31	Secondary and Higher Education and Innovation	Nine (9)
Russia	Nov 28	Accountable Governance	Nine (9)
Russia	Dec 5	Accountable Governance	Nine (9)

### Grantee Programming and Administrative Requirements

Successful grantee organizations will be responsible for eight days and eight nights of programming (including weekends) for delegations (most consisting of **five delegates** and **one facilitator**) arriving in the United States between February 1 and December 5, 2012. Delegations will land in the United States on a Wednesday or Thursday and arrive in their host communities on a Friday or Saturday.<sup>17</sup> 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 subthemes 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 the Open World delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.

<sup>17</sup> The Center will consider proposals that contain different provisions (for the length of stay, size of delegations, arrival day, etc.) than those outlined here, if needed to deliver quality programming.

- Submit a Host Organization Profile Form for each local program to be hosted by a local host organization approved by the Center. The grantee organization must submit the form(s) to the Center within two weeks of being notified of a host organization's approval. The form (supplied by the Center) asks for the local host organization's theme/subtheme preferences and preferred hosting dates, a general description of the planned local program, and descriptions of three or four proposed professional activities. This information, which will be shared with the Center's logistical contractor, will improve Open World's ability to match delegates with local host organizations quickly and appropriately.
- If providing nominations: (1) ensure that nominating partners (both domestic and international) submit only names of qualified and high-quality candidates and the necessary background program and partnership/project information to the logistical contractor **by the designated deadlines**, and (2) be responsible for reviewing nominees' applications prior to their submission to the logistical contractor to ensure that nominees meet Open World criteria and that the information in the applications is complete and accurate. Nominators identified by the grantee will work closely with Center staff to select appropriate applicants.
- Be responsible for effective implementation of each program 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 the Center's logistical contractor.
- Attend the 2012 Open World grantee orientation meeting, which is expected to be held in the spring of 2012 in Washington, DC. (The cost for one representative to attend the meeting is to be included in the proposed budget; see pp. 42–43 for details.)
- 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, the final program report, federal financial reports, and cost-share reports. (For descriptions of these reports, see pp. 37–39, 48, and 64–66.)
- Assist the Center in coordinating press outreach, if requested, with local host organizations.
- Report on visit outcomes as required (see Results section below).
- Ensure that local host coordinators are aware of Open World's website and social-networking resources; have local host coordinators encourage presenters and host families to find the Open World Leadership Center on Facebook at

[www.facebook.com/openworldleadershipcenter2](http://www.facebook.com/openworldleadershipcenter2); and encourage local host coordinators, presenters, and host families to get up-to-the-minute information on Open World by following <http://twitter.com/owprogram>.

- Adhere to federal income tax regulations.

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

- Coordinate with the Center on congressional outreach in the local communities and Washington, DC, and ensure, when possible, that delegates have the opportunity to meet with Members of Congress or their local staff, and send any photos from such meetings to the Center as soon as possible.
- Ensure that delegates have voluntary opportunities to share their professional expertise and their 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.
- 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 not take public transportation to a professional activity unless the grantee gets advance approval from the Center, and a local escort must accompany the participants.**
- Provide a suitable homestay placement for each delegate, usually for eight days, including weekends. **Homestays are a centerpiece of the Open World experience and a major factor in grant application evaluations.**
- **Each delegate must be given his or her own private bedroom.** If this cannot be arranged, the grantee must get advance approval from the Center for delegates to share a bedroom. A facilitator may not share a bedroom with a delegate under any circumstances.
- Ensure that breakfast, lunch, and dinner are provided daily to the delegates and facilitator(s) during their stay. Unlike similar U.S. government programs, **Open World does not provide per diems to its participants.**
- Provide professional interpretation for ALL group 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. Interpretation in the native language is required for delegations from Armenia, Georgia, and Moldova. For other countries, the Center would prefer that grantees hire interpreters fluent in the relevant country's native language wherever possible. However, Russian is an acceptable

alternative for delegations from Kazakhstan, Kyrgyzstan, Tajikistan, or Turkmenistan, with prior approval from the Center. Open World facilitators are not to provide interpretation for group professional meetings. Please consult with Center staff for further clarification, if needed.

- Prepare an eight-day program for each participant group that reflects the selected Hosting Theme and includes other activities that meet program objectives. Approximately **32 hours** of programming should directly address the Hosting Theme. Time spent in professional sessions with federal, state, county, or local legislators and legislative staff counts toward this total. 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 in order to increase their understanding of each other's society, culture, and institutions. Cross-cultural activities include cultural, social, and sports activities.
- Provide an end-of-visit review session 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 program.
- 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. The Center strongly encourages local host organizations to try to get press coverage of Open World visits. **Local press releases on Open World exchanges must credit the Open World Leadership Center and the U.S. Congress.**
- Track results efficiently and regularly report them. Definitions of results, and requirements and methods for reporting them, are given in the Document-Exchange Deadlines table on the next page and in the Results section that immediately follows it.

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

Open World's logistical contractor will provide the Center with administrative and logistical support, including assistance with (a) planning 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 program agendas (which supplements the Center's own review of the agendas). Grantees and their local hosts will be required to work closely with this contractor through all steps of the planning process and meet the relevant deadlines in the following table. As noted earlier, the Center will serve as the logistical contractor for the delegations from Armenia and Turkmenistan, and

possibly for a limited number of delegations from one or more of the other countries covered by this solicitation.

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

The table below lists the major deadlines for information and document exchange between local host coordinators/grantees and Open World’s logistical contractor, measured backward from the delegation’s U.S. arrival date (two to three days before the host-community arrival date). For the few delegations for which the Center serves as the logistical contractor, the information and document exchange will take place between the local host coordinator (or grantee) and the Center.

<i>Deadline</i>	<i>Host Coordinator provides:</i>	<i>Logistical contractor 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 Forms (including 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>3 weeks before arrival</i>	<ul style="list-style-type: none"> <li>Resumé(s) of Professional Interpreter(s)</li> </ul>	
<i>10 days before arrival</i>	<ul style="list-style-type: none"> <li>Updated Program Agenda (with changes highlighted)</li> <li>Emergency Contact Information (if different from that on the Updated Program Agenda)</li> </ul>	
<i>3 weeks after departure</i>	<ul style="list-style-type: none"> <li>Post-program Report (Host Narrative, Post-program Program Agenda, Final Host Family Forms, Media Coverage, Photos)*</li> </ul>	<ul style="list-style-type: none"> <li>Delegation Feedback on Program to Grantee and Local Host Coordinator</li> </ul>

\* The required forms will be available online to approved grantees and local host organizations. The Host Narrative Form asks for information on professional activities, including meetings with Members of Congress and congressional staff; brief descriptions of actual and potential trip results; and host-coordinator comments and recommendations. The agenda submitted as part of the Post-program Report is to show the actual activities conducted. Open World’s guidelines for local host coordinators now ask hosts to make press articles and photos from their exchanges available to the Center as soon as possible, rather than waiting to include them with the Post-program Report. **Grantees are also requested to make available to the Center as soon as possible any photos they receive from their local host organizations.**

## Results

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

RESULT	DESCRIPTION	EXAMPLES	GRANTEE/SUBGRANTEE REPORTING REQUIREMENTS
<b>Benefits to Americans</b>	Open World promotes <b>mutual</b> understanding and benefit. Hosts, presenters, and others can gain new information from delegates.	<ul style="list-style-type: none"> <li>• Estimate of audience size for delegate presentations.</li> <li>• Publicity for host organization.</li> </ul>	<ul style="list-style-type: none"> <li>• The <b>Final Program Report</b> (submitted by the Grantee) and the <b>Host Narrative</b> must report any benefits to Americans that resulted from the exchange.</li> </ul>
<b>Partnerships</b>	An American organization involved in a visit partners with an organization from the delegates’ country on a joint project or starts an affiliate in that country.	<ul style="list-style-type: none"> <li>• University-to-university e-learning partnerships.</li> <li>• Sister-court relationships.</li> <li>• Community-to-community interactions between governmental entities.</li> </ul>	<ul style="list-style-type: none"> <li>• The <b>Host Narrative</b> is to report on any partnerships that might result from the exchange. The <b>Final Program Report</b> must report on actual post-visit partnership activities.</li> </ul>
<b>Projects</b>	A delegate implements an idea inspired by the Open World experience.	<ul style="list-style-type: none"> <li>• Opening city council meetings to the public.</li> </ul>	<ul style="list-style-type: none"> <li>• The <b>Host Narrative</b> is to report on any delegate projects that might result from the visit. The <b>Final Program Report</b> must report on any actual projects that the grantee learns about.</li> </ul>
<b>Multipliers</b>	A delegate shares his/her new knowledge back home, thereby “multiplying” the Open World experience.	<ul style="list-style-type: none"> <li>• After returning home, a delegate gives talks on knowledge gained during the visit.</li> </ul>	<ul style="list-style-type: none"> <li>• The <b>Host Narrative</b> is to report on any potential multipliers mentioned by delegates. The <b>Final Program Report</b> must report on any actual multipliers that the grantee learns about.</li> </ul>
<b>Reciprocal Visits</b>	Americans involved in the exchange meet with alumni in-country or work in-country on an Open World–inspired project.		<ul style="list-style-type: none"> <li>• The <b>Host Narrative</b> is to report on any reciprocal visits that might result from the exchange. The <b>Final Program Report</b> must report on reciprocal visits by grantees or subgrantees.</li> </ul>
<b>Press</b>	A delegation’s visit is covered by local media.		<ul style="list-style-type: none"> <li>• The <b>Host</b> is to send press on the visit to the <b>Center</b> and the logistical contractor. Grantees are encouraged to include later articles in the <b>Final Program Report</b>.</li> </ul>
<b>Contributions</b>	In-kind (in hours or material goods) or cash donations.	<ul style="list-style-type: none"> <li>• Volunteer hours to plan and conduct hosting.</li> <li>• Private donations to Open World events.</li> </ul>	<ul style="list-style-type: none"> <li>• Grantees must submit the Open World Cost-Share Report Form. The <b>Host</b> must report to the <b>Grantee</b> on contributions.</li> </ul>
<b>Professional Advancement</b>	Alumni are promoted or experience other career enhancements after their Open World visit.	<ul style="list-style-type: none"> <li>• An alumnus wins a grant to fund an NGO project.</li> <li>• An alumna is elected to office.</li> </ul>	<ul style="list-style-type: none"> <li>• The <b>Final Program Report</b> must report any professional advancement that the grantee learns about. (A <b>Host</b> learning of post-visit advancement is encouraged to report it to the Center.)</li> </ul>

## Key Dates and Deadlines<sup>18</sup>

### **Grant applications are due on Monday, September 26, 2011.**

A final program 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 under the grant.**

All 2012 grants will end on **March 31, 2013**, 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 program under these guidelines will be evaluated on the following factors, listed in order of importance:

1. Degree to which proposed program plans address Open World's programming priorities and objectives, especially with regard to (a) giving delegates significant exposure to federal, state, county, and local legislators, the structure and functions of legislatures, and the legislative process; (b) the likelihood of producing new partnerships or furthering existing ones; (c) the potential for follow-on project activities and/or significant projected results, such as plans for future reverse travel;<sup>19</sup> (d) collaborative programming with American young professionals organizations; and (e) including a significant cost share.
2. Past experience in hosting similar programs, especially for citizens of the specific country(ies) for which you are applying.
3. Demonstrated ability or experience in creating programs in the Hosting Theme(s) proposed in the application.
4. 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.
5. Quality of submitted sample agendas (one important factor in determining quality is whether the agendas include opportunities for delegates to make presentations to professional and public audiences and to have open dialogue with their hosts and professional counterparts).
6. Ability to home host.
7. Per person costs.
8. Ability to host on theme dates.

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<sup>18</sup> See table on page 37 for deadlines for document delivery to the logistical contractor.

<sup>19</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 nearly all instances, Open World cannot fund reverse travel or follow-on activities.

9. Quality of submitted work plans, including plans for the implementation of the U.S. programs, results tracking and reporting, and the nomination strategy (if applicable).
10. For previous Open World grantees: assessments of previous hosting quality and results. Assessments are based on input from Open World program managers, facilitator reports, and informal delegate surveys, and on the quality and promptness of grantee programmatic/administrative and financial reporting, including the accuracy of financial records.
11. For proposals that contain plans for nominations, the Center will weigh the degree to which the proposed programs advance Open World's programming priorities indicated above in the first criterion.

### **GRANT PROPOSAL OUTLINE**

Proposals and budgets should be e-mailed to the Grants Officer: Lewis Madanick, Program Manager, Open World Leadership Center, at [lmad@openworld.gov](mailto:lmad@openworld.gov), or faxed to the Open World Leadership Center office at (202) 252-3464. Please put "2012 Open World Grant Proposal" in the subject line. 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 35 calendar days after receipt of an application. **ACTUAL DETERMINATIONS OF PARTICIPANT HOSTING LEVELS AND THE DATE OF AWARDS WILL DEPEND ON AVAILABLE FUNDING.**

**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.<sup>20</sup>**

- 1. Project Summary** – A narrative document of no more than eight 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.
  - General description of your programming capabilities for the countries for which you are applying.
  - Descriptions of how your organization will fulfill the program objectives, programming priorities, and the requirements given above, including how professional interpretation will be provided, how results will be accomplished and reported, and how delegates will be introduced to legislators (including Members of Congress), legislative staff, and legislative entities, processes, and functions.
  - 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 Countries and Hosting Themes** – For each country that you propose to host for, please submit the following:
  - Detailed description of your capabilities to host in the proposed theme(s) and subtheme(s).
  - Proposed schedule of selected hosting dates (with proposed hosting sites) by country.
  - Sample/illustrative activities or sample agendas.
  - Organizations/persons participating.
  - Objective of illustrative activity: i.e., lessons to be learned.
  - Special resources required.
  
- 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 and cost sharing.
  
- 6. Budget Submission** – The budget submission is the financial expression of your organization’s proposal to become an implementing partner in the Open World program. Therefore, your budget submission needs to reflect your administration of a program that meets the objectives and theme rationales outlined above.

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<sup>20</sup> Pages 42–47 contain more information on financial management and budget requirements, including a recommended budget form (p. 43).

## FINANCIAL PROCEDURES – 2012 GRANTS

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

### **I. Grant Proposals**

Every grant proposal must be accompanied by a project budget (per instructions below) as well as the prospective grantee's latest audit opinion. The audit opinion usually is a cover letter that accompanies the full audit report.

#### **a. 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 professional programming and hosting activities that meet the criteria in these guidelines.

Budget categories should contain a **narrative description** detailing what the funds for this category will cover, and how those estimates were calculated (for example, salary costs should delineate the position, the hourly rate, the number of hours calculated, etc.).

Each budget category should include an accounting of any **cost-share contribution** the organization is providing. **Cost-share contributions are an important factor in the grant selection process.** Organizations are encouraged to carefully consider their ability to share in the cost of the program and to offer the maximum contributions feasible. All organizations awarded grants by the Center will be required to submit cost-share report forms by June 30, 2013.

Below are some possible categories for your budget submission. Each category in your budget proposal must provide dollar amounts accompanied by a narrative justification. When an individual category will be under \$500, you might want to combine one or more like categories. **NOTE: When preparing your budget, please keep in mind that an overage of 10 percent or more in any one category will require prior written approval from the Open World Leadership Center's budget officer, Jane Sargus.<sup>21</sup>**

1. Personnel Compensation – Salaries and wages paid directly to your employees.
2. Personnel Benefits – Costs associated with employee benefits.
3. Administrative Travel – Costs associated with having one representative attend the grantee orientation meeting for one night and day, including economy/coach travel to and from Washington, DC; transportation within Washington, DC; and a one-night hotel stay at a designated local hotel. (Dinner, breakfast, and lunch will be covered by the Center.)

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<sup>21</sup> Under no circumstances does obtaining the Center's written approval for an overage in a given category permit a grantee to exceed the total amount that it was awarded by the Center.

4. Local Travel and Transportation – Local travel and transportation of staff and/or local transportation for delegates.
5. Office Expenses – Postage, telephone, supplies, etc.
6. Advisory and Assistance Services – Interpreters, speakers, trainers, etc.
7. Cultural Activities – Receptions, admissions to events, etc.
8. Grants – Grants made to others by your organization.

Budget submissions reflecting any General and Administrative Overhead Costs must have such costs shown as separate line items and supported by narrative justifications.

**Sample Budget Submission:**

<b>Proposed Budget for Submission Under the 2012 Open World Program</b>			
<b>Proposed Number of Participants:</b>			
<b>Cost Per Participant:</b>			
<b>Budget Category<sup>22</sup></b>	<b>Amount</b>	<b>Cost Share</b>	<b>Narrative Justification</b>
Personnel Compensation	\$XX,XXX	\$XX,XXX	Director and Specialist will work for 2 months as follows: Director: XXX hours @ \$XX/hour=\$X,XXX Specialist: XXX hours @ \$XX/hour=\$X,XXX
Personnel Benefits	\$X,XXX	\$X,XXX	Benefits calculated @ XX% of salary
Administrative Travel	\$XXX	\$XXX	Transportation to, from, and within Washington, DC; one-night hotel stay
Local Travel and Transportation (domestic)	\$X,XXX	\$X,XXX	Local transportation for staff and rental of transport for delegation (one van @ \$XXX per day for X days); \$XXX taxi and public transportation <sup>23</sup>
Office Expenses	\$XXX	\$XXX	Utilities, supplies, printing, etc. Utilities=\$X,XXX Supplies, phone, printing=\$XXX
Advisory and Assistance Services	\$XX,XXX	\$XXX	Professional interpretation and translation X persons times X days each at \$XXX/day (includes air, lodging, and per diem for interpreters=\$XXX)
Cultural Activities	\$XXX	\$XXX	Receptions, admissions, etc.
Grants	\$XX,XXX	\$XXX	E.g., three local organizations will each receive a grant for \$X,XXX=\$XX,XXX to cover hosting expenses <sup>24</sup>
<b>Total</b>	<b>\$XX,XXX</b>	<b>\$XX,XXX</b>	
<b>PROPOSED BY:</b>			
<b>Signature Program Officer and Date:</b>			

<sup>22</sup> Please note that the Center no longer funds equipment purchases.

<sup>23</sup> Participants (delegates and their facilitator[s]) may not take public transportation to a professional activity unless the grantee gets advance approval from the Center, and a local escort must accompany the participants.

<sup>24</sup> Grants to third-party organizations require a separate attached budget.

## **b. 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.

1. **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.
2. **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.

## **II. Grant Documentation and Compliance**

### **a. Introduction**

Through its grants, the government sponsors everything from complex multimillion dollar, multiyear 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 found in the OMB Circulars and in Title 2 of the Code of Federal Regulations (CFR). Nevertheless, it is the policy of the Center to follow this familiar grants guidance and to deviate from it 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 the Center in connection with the Open World program. For example, the

requirement in 2 CFR 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 the Center’s implementation of the OMB Circulars to Jane Sargus, Budget Officer, at [jsar@loc.gov](mailto:jsar@loc.gov).

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

- 2 CFR Part 215, “Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” (OMB Circular A-110)
- 2 CFR Part 220, “Cost Principles for Educational Institutions”(OMB Circular A-21)
- 2 CFR Part 225, “Cost Principles for State, Local, and Indian Tribal Governments” (OMB Circular A-87)
- 2 CFR 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 the Center upon request

## **b. 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 arise. 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.

## **c. Compliance with Federal Law**

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.

1. **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.
2. **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.
3. **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.

4. **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."

**Grantee organizations must complete two forms annually in reference to the above: Disclosure of Lobbying Activities (Form LLL) and Assurances – Non-Construction Programs (Form 424B). Both forms will be provided by the Open World Leadership Center.**

### **III. Grant Period and Extensions**

**Grant Period** - The grant period is the span of time 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. **All 2012 grants will begin on the date of the grantee's signature on the award letter and end on March 31, 2013.**

**Final Program Report** - A **final program report** on the overall administration of Open World grant and hosting activities, including recommendations for future program changes and a description of outcomes achieved, **must be submitted by the grantee organization within 90 days of its final hosting activity under the grant.**

**Financial Reports - Final financial reports** are due to the Center no later than March 31, 2013, unless a later date is agreed to in writing by the Center. Please note that grantees are encouraged to submit all final financial documentation with the final program report by ninety (90) days after the completion of programming activities. See Section IV for detailed information on quarterly financial reporting.

**Extension of Grant** - The Center may 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.

#### **IV. Reporting Requirements**

Each organization awarded a grant by the Center is required to submit by fax or e-mail the following reports. **Please include the Open World Grant Number (e.g., OWLC-1252) in the fax's or e-mail's subject line each time a report is submitted. Failure to meet these deadlines will negatively affect consideration for future grants from the Center.**

##### **a. Federal Financial Reports (Standard Form 425)**

A Federal Financial Report (Standard Form 425) is required for each grant awarded and still open. The quarterly reporting periods are:

1. Beginning of grant award–March 31, 2012 (Due 4/10/12)
2. April 1–June 30, 2012 (Due 7/10/12)
3. July 1–September 30, 2012 (Due 10/9/12)
4. October 1–December 31, 2012 (Due 1/10/13)
5. January 1–March 31, 2013 (Due 4/10/13), if the grant has not been closed by March 31, 2013.

**When submitting Federal Financial Reports, please include the Open World Grant Number in the fax's or e-mail's subject line.**

##### **b. Cost Share Report**

A Cost Share Report (form provided by the Center) must be completed no later than June 30, 2013. The report must identify all cost-share contributions made toward the program for which the grant was given. When submitting, please include the Open World Grant Number in the fax's or e-mail's subject line.

##### **c. Final Financial Reports**

To close a grant the following must be submitted:

1. Final Federal Financial Report (Form 425)
2. Request for Advance or Reimbursement (Form 270), if appropriate, and marked "Final" and
3. A Variance Report that compares actual expenditures by major budget categories against the grant award budget categories. The variance report shall give the following data: approved budget categories; amount approved for each category; amount expended in each category; and the percent over/under the approved budget



amount in each category. **NOTE: Please keep in mind that an overage of 10 percent or more in any one category would have required prior written approval from the Open World Leadership Center's Budget Officer.**

Final Financial Reports must be submitted to the Center not later than March 31, 2013, unless a later date is agreed to in writing by the Center. When submitting, please include the Open World Grant Number in the fax's or e-mail's subject line.

## V. 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 must make every effort to avoid requesting advance payment of funds that then are not used.**
- 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.
- c. **Requesting Reimbursement or Advance.** When requesting reimbursement or advance of funds, the Request for Advance or Reimbursement of Funds (Form 270) must be used. Grantees must clearly mark in their documentation for requesting funds whether the request is for a **partial** advance payment, **reimbursement**, or the **final close-out payment of the grant**. **NOTE: If the request is for an advance of funds, the "period covered" must state a time period subsequent to the request. If the request is for a reimbursement of funds, the "period covered" must state a time period prior to the request.**

## VI. 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 must 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. NOTE: Budget categories are firm, and any overage in expenditure in a particular category of more than 10 percent must be approved by the Center in advance. **Under no circumstances does obtaining the Center's written approval for an overage in a given category permit a grantee to exceed the total amount that it was awarded by the Center.**

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 one budget category to another in excess of 10 percent of each category; or
- changes in the scope or objectives of the project.

## **VII. 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:

- a. the expenditure of project funds for items that, under the applicable cost principles, normally require prior agency approval;
  - b. the one-time extension of a grant period;
  - c. the incurring of project costs prior to the beginning date of an award; and
  - d. budget revisions that involve the transfer of funds among budget categories.
- 1. 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.

**2. 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;
- 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.

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

While the Center tries to fund as many of the project activities as is fiscally possible, a grantee is expected to share in project expenses as much as possible and 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. Appendix 3 illustrates the cost-share report 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 June 30, 2013.

## **IX. 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 BUDGET OFFICER JANE SARGUS 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.
- e. 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 BUDGET OFFICER JANE SARGUS 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.

## **X. 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.

## **XI. 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 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 (on behalf of the Center), 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.

## **Appendix 1**

### **Procurement Guidelines**

#### **I. 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.

## II. 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.

### **III. 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.

#### **IV. 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 Orders 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.

## **V. 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 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.

## APPENDIX 2

### Cost Principles

#### I. Introduction

2 CFR 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).

#### II. 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:

- Is incurred specifically for the award.
- Benefits both the award and other work and can be distributed in reasonable proportion to the benefits received, or
- Is necessary to the overall operation of the organization, although a direct relationship to any particular cost objective cannot be shown.
- 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.

### III. Potential Costs

Attachment B to 2 CFR 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
14. Entertainment costs
- X 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

# APPENDIX 3

## Cost-Share Report Form and Instruction Sheet

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



**OPEN WORLD**  
LEADERSHIP CENTER

Tel 202.707.8943

Open World Leadership Center

Fax 202.252.3464

I. Identifying Information:	
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 Nights	X	# of Participants	X	Unit Value	=	Cost Share
Number of nights with home hosts:	<input type="text"/>		<input type="text"/>		\$100.00		\$0.00
	<a href="http://www.gsa.gov/perdiem">www.gsa.gov/perdiem</a>						
<b>Donated meals:</b>	# of Meals	X	# of Participants	X	Unit Value	=	Cost Share
Breakfasts:	<input type="text"/>		<input type="text"/>		\$10.00		\$0.00
Lunches:	<input type="text"/>		<input type="text"/>		\$15.00		\$0.00
Dinners:	<input type="text"/>		<input type="text"/>		\$30.00		\$0.00
	<a href="http://www.gsa.gov/perdiem">www.gsa.gov/perdiem</a>						
	<b>SUBTOTAL:</b>						<b>\$0.00</b>
<b>Volunteer/host driving in their own cars:</b>	Miles	X	Price per mile			=	Cost Share
Total miles all drivers:	<input type="text"/>		\$0.51				\$0.00
	<a href="http://www.gsa.gov">http://www.gsa.gov</a>						
<b>Volunteer time:</b>	Hours	X	Cost per hour			=	Cost Share
Other unpaid hours (staff, presenter, etc.):	<input type="text"/>		\$8.00				\$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**



The Open World Cost-Share Report Form is designed to be a quick electronic tool for calculating in-kind contributions. Although the form can be printed and filled out by hand, the Center recommends using it on-screen, as the Excel file has all of the formulas loaded into it. If you are a local host coordinator, you may either e-mail or fax the completed form to your Grantee, along with all other final financial documentation, or you may mail a printout of it along with hard copies of final financial documentation to your Grantee. Sending this documentation via e-mail is preferred. All cost-share estimation forms are due to the Center by June 30, 2013.

Note that the form has three sections. The “Identifying Information” and “Required Cost Share” sections must be filled out in their entirety. The default amounts provided in Columns 2 and 3 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 Budget Officer Jane Sargus at 202-707-8943 or [jsar@loc.gov](mailto:jsar@loc.gov) (please put GRANT NUMBER OWLC-12XX - COST SHARE in the subject line).

## **INSTRUCTIONS**

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

1. List your organization’s name. If a subgrantee is completing the form, please list first the primary grantee organization followed by the subgrantee organization.
2. Fill in the Open World Grant Number (e.g., OWLC—708).
3. List the theme and dates of your program.
4. Note the form’s completion date.

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

#### ***Homestay value:***

1. Complete Column 1 with the number of nights of homestay provided to participants (delegates plus facilitator[s]).
2. Complete Column 2 with the number of participants to whom homestays were provided.
3. Column 3: Use the provided web link 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.

***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 link 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 their 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 link 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 link 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.

## **APPENDIX 4**

### **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.

**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; 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 (Subgrantee)** - 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.