



**OPEN WORLD PROGRAM  
OPEN WORLD LEADERSHIP CENTER**

**2011 GRANT PROCEDURES – RUSSIA AND UKRAINE CIVIC HOSTING  
PROGRAMS**

**Introduction**

The congressionally sponsored Open World program brings emerging leaders from Russia, Ukraine, and other Eurasian 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 Eurasia's strategic heartland 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, the environment, rule of law, and health. 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 16,000 alumni and a network of some 6,300 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. It serves Members of Congress—and their constituents and staff—and demonstrates to participants the role of the legislature branch in a mature democracy.

Open World in 2006 adopted as its mission statement:

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

In light of this mission, Open World will continue to bring emerging leaders from this region to the United States, while endeavoring to foster lasting ties that result in ongoing cooperation and collaboration. Open World will give greater weight to those 2011 hosting proposals that (a) give delegates significant exposure to federal, state, and local legislators, the structure and functions of legislatures, and the legislative process; and (b) are likely to produce new partnerships or further existing ones. Some hosting proposals will be judged specifically for their ability to program as described in (a) above, especially in the first three months of the year, when most state legislatures are in session. In addition, Open World will look most favorably on proposals that include

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

specific follow-on project activities; robust cost-sharing budgets; and plans for future reverse travel.<sup>2</sup>

The Open World program was originally established as a Library of Congress–administered pilot project in 1999 to give emerging Russian leaders firsthand exposure to the American system of democracy through visits to local governments and communities in the United States. Open World today also encompasses exchanges for political and civic leaders from other Eurasian states, and for Russian cultural leaders. The Russia Civic Hosting Program remains the Center’s largest exchange, accounting for nearly 14,000 participants since 1999, with representation from all 83 Russian regions. The Ukraine Civic Hosting Program is Open World’s second-largest exchange, with more than 1,200 participants coming from all 27 Ukrainian regions since the program’s inception in 2003. The Russian and Ukrainian delegates have come from all levels and branches of government; the NGO, health care, and education sectors; and the media. The average age of delegates at time of travel is 38, and just over 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 in 2011 will focus on ensuring that *all* Russian and Ukrainian 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, state legislators, and city council members and other local lawmakers, and their staff members, so that program participants can review such functions as lawmaking, legislative oversight, and constituent relations with officeholders engaged in these activities. The program should also show the effect of legislation on all thematic programs, such as the environment, health care, rule of law, and education policy.

**Grant applications for the Russia and/or Ukraine Civic Hosting Programs are due Monday, August 30. Please see pages 31–35 for instructions on submitting applications.**

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

Grant guidelines for Open World’s 2011 Eurasian Country Program (which will include hosting opportunities for delegations from Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, and Turkmenistan) will be published separately in August 2011.

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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 most instances, Open World cannot help fund reverse travel or follow-on activities.

# 2011 RUSSIA AND UKRAINE CIVIC HOSTING GRANT PROCEDURES

## Grant Overview

The 2011 **Russia and Ukraine Civic Hosting Programs** will focus on emerging Russian and Ukrainian political, civic, and community leaders from the national, regional, and local levels, and will put a strong emphasis on (a) helping develop new, or further existing, networks between delegates and their U.S. counterparts; and (b) acquainting participants with American lawmakers and legislative functions and processes at different levels of government. Interested organizations may apply for the Russia Civic Hosting Program only or the Ukraine Civic Hosting Program only, or submit proposals for hosting delegations from both countries, per the instructions beginning on page 29.

While some candidates are nominated by international organizations, most are nominated by U.S., Russian, or Ukrainian agencies and institutions. Open World looks for talented leaders who are relatively young (usually no older than age 45). Candidates are vetted using the following criteria: demonstrated leadership skills and a commitment to building a civil society; extent 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. Open World plans to host up to 900 participants (delegates and facilitators<sup>3</sup>) in the 2011 Russia and Ukraine Civic Hosting Programs (up to 650 participants from Russia and up to 250 participants from Ukraine). Delegates and facilitators will be invited for up to 10-day exchanges<sup>4</sup> in the United States. Homestays with American host families will again be an integral element of the program. Final 2011 Russia and Ukraine civic hosting numbers will depend on available funding.

## Grant Guidelines Contents

This document contains, in order:

- Grantee eligibility requirements
- Open World objectives
- Civic hosting themes
- Proposed 2011 travel dates
- Grantee programming/administrative requirements
- Local-hosting document deadlines
- Results tracked by Open World

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<sup>3</sup> Facilitators are young Russian or Ukrainian citizens 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.

<sup>4</sup> Most 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. The exceptions are specialized rule of law delegations, which will spend seven days in the local host community. Other exceptions may be made on an as-needed basis, and in close consultation with the appropriate grantee(s).

- 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**

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 Russia and/or Ukraine that can be furthered by an Open World visit should describe this activity. An applicant organization:

- Must demonstrate experience and expertise in the Civic Hosting Theme(s) for which it is applying and/or establish cooperative agreements with expert local host organizations.<sup>5</sup>
- Will be given preference for a grant award if it demonstrates the ability to provide programmatic activities with federal, state, 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 for a grant award if it demonstrates the ability to recruit host coordinators, presenters, and home hosts who are interested in maintaining contact with the Russian and/or Ukrainian delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
- Will be given preference for a grant award if its proposal demonstrates how results (as defined in pp. 27–29 below) will be accomplished, particularly if this programming would further ongoing or proposed projects/partnerships with the applicant organization or one of its proposed local host organizations.

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

- Will be given preference for a grant award if its budget submission includes a significant cost share for Open World delegations, such as paying all or a significant portion of local hosting expenses, or all or portions of airfares.

Open World will permit (on a limited basis) organizations awarded 2011 Russia and/or Ukraine civic hosting grants 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(s) a clear strategy for nominations that demonstrates the organization's ability to identify quality candidates who match the Open World criteria. If the applicant organization plans on having one or more Russia- or Ukraine-based 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 their U.S. counterparts.<sup>6</sup>

All 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. Open World reserves the right to supplement any delegation of grantee-nominated delegates with one or more delegates from the general pool.

Open World 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 regions of Russia and/or Ukraine that delegates should come from, in order to have Open World exchanges that support specific projects or nascent partnerships.

## **Objectives**

Open World delegates include some of Russia's and Ukraine's most dynamic, highly educated emerging leaders, who are eager to share their experiences with Americans for a mutually beneficial exchange of ideas. The Russia and Ukraine Civic Hosting Programs are designed to assure 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.

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<sup>6</sup> If an applicant organization anticipates that one or more of its prospective subgrantees will want to nominate candidates, its proposal(s) should include the information requested in this paragraph for each such prospective subgrantee.

- Develop an understanding of the role of the U.S. Congress and state and local legislatures in shaping, overseeing, and/or funding programs and institutions connected with their Open World Civic Hosting Theme (e.g., accountable governance, social services, rule of law, NGO development).
- Develop an understanding of how citizens and interest groups work to affect the legislative process (at the federal, state, and local levels) on issues related to the delegates' Civic Hosting Theme.
- Share their professional expertise through planned formal presentations, panel discussions, and/or roundtables with American counterparts and contacts, and present information about Russian or Ukrainian culture, history, and current affairs to members of their host community.
- Network with American professionals and hosts who are interested in maintaining contact beyond the seven- or eight-day<sup>7</sup> community visit for ongoing cooperation and collaboration.
- Exchange views with influential representatives of appropriate federal, state, 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 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 Russian or Ukrainian civil society.
- Acquire an understanding of governance in a mature democratic society and the rule of law in American society, including the concepts of accountability and transparency, the separation of powers, and the interrelationships of federal, state, and local governments.

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<sup>7</sup> The DC-based orientations for specialized rule of law delegations last an extra day, so these delegations will spend seven days and seven nights in the local host community. Other exceptions might be made on an as-needed basis, and in close consultation with the appropriate grantee(s).

- Acquire an understanding of the roles of American government, civic institutions, free enterprise, and voluntary organizations as they relate to the relevant Open World Civic Hosting Theme.
- Develop a better understanding of American culture and society and contribute to enhanced American knowledge of Russian or Ukrainian society, culture, and institutions.

### **Civic Hosting Themes**

The 2011 **Russia Civic Hosting Program** will offer the same themes as the 2010 Russia Civic Hosting Program: **accountable governance, rule of law, and social issues**, with most of the hosting opportunities in the accountable governance theme (approximately 50 percent). The first three Russia hosting dates will be dedicated to the **accountable governance** theme, including the subtheme on the role of the state legislature. Delegates under this subtheme will be legislators, legislative staff, and legislator administrators from Russian regional legislatures (dumas). The intent is for each delegation under this subtheme to be hosted in a state capital during the state’s legislative session. A number of the other exchanges hosted under the accountable governance theme will have a special focus on local governance, community development (including in agrarian communities), or environmental management (alternative energy/energy efficiency). Strong proposals for hosting legislators in months other than February and March are also welcome. The **rule of law** theme has two major hosting components: (a) the specialized rule of law program, which focuses on judicial reform; and (b) the civic rule of law program, which focuses on specific rule of law issues such as anti-human trafficking, juvenile justice, and legal advocacy. The **social issues** theme is composed of three subthemes: social services; health-care provision; and higher education, with an emphasis on community colleges. The hosting of delegations with a special focus on “women as leaders” will be an option under the accountable governance and social issues themes.

The 2011 **Ukraine Hosting Program** will focus, as it did in 2010, on emerging Ukrainian political and community leaders from the national, regional, and local levels, with a strong emphasis on developing new, or furthering existing, networks between delegates and their U.S. counterparts. The 2011 Ukraine Hosting Program will offer four main themes: **accountable governance, NGO development, rule of law, and education**. For all these themes, the impact of the legislative process will be a key focus. On the first Ukraine travel date, at least five of the hosting slots will be dedicated to an accountable governance subtheme focusing on the role of the state legislature. Strong proposals for hosting delegations under this subtheme in months other than March are also welcome.

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 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 Russian and Ukrainian delegates will prepare for their host-community activities by attending a pre-departure program in Moscow or Kyiv, respectively, and an 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 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 Digital Directory ([dd.openworld.gov](http://dd.openworld.gov)). The delegates will also learn about American home life and practices to prepare them for their homestays.

Hosting dates for the 2011 Russia and Ukraine civic hosting programs will be assigned a single theme or two closely related themes so that orientations will also be theme-specific, although some flexibility in scheduling will be permitted for extenuating circumstances. Applicants are encouraged to indicate up to three dates (in priority order) for each of their proposed hostings. Open World's logistical contractor will work with each grantee to coordinate and confirm the hosting date(s) for each hosting after the grants are awarded. Proposed travel dates can be found on the tables on page 22.

**Below are the Russia Civic Hosting Themes, their rationales, target groups, and suggested activities.**

### **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; 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 a free, fair, and vigorous press be established to help promote transparency and openness at all levels of government.

**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.” Open World will also offer a new subtheme on the role of a state legislature. This subtheme is open to regional legislators and their staff, administrative staff of regional legislatures, and municipal/local legislators.

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

**Possible Grantee Activities:** 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. Possible topics include local-government planning; state-local relations; citizen participation in government; constituent services; budgeting, accounting, and auditing; government-employee training; government recordkeeping and public records; revitalization; public-private economic development partnerships; government communications; and election administration and procedures. Programs should emphasize the particular types of local governance, community development, or environmental-management/energy-efficiency activities being undertaken by delegation members.

Appropriate activities for accountable governance delegations include meeting with national, state, and local legislators and other elected officials; job-shadowing legislators, county executives, mayors, and city managers; having workshops with independent government auditors, city planning and zoning officials, press officers, voter registration and election officials, and state municipal-league officials; visiting private voluntary organizations involved in community development and improvement; touring wastewater plants and volunteer fire departments; attending budget hearings; and holding Q and A with city-desk editors, reporters, and political party representatives.

Appropriate activities for community development delegations include participating in roundtables at chambers of commerce, economic development corporations, and banks; having briefings with state and local economic and rural development officials; meeting

with state and local tax officials; and going on site tours of public-private economic development projects, business incubators, and local businesses, including agribusinesses.

Possible focuses for environmental management delegations are environmentally friendly projects; energy efficiency/energy management initiatives; reclamation efforts; ecotourism; civic initiatives; and the conservation of parks and reserves. Energy and the environment, including the issues of nuclear cleanup and nonproliferation, may also be explored by some of these delegations.

Possible settings for delegate presentations include city council meetings, university seminars, forums at public or academic libraries, press club meetings, and civic-association meetings.

- **The Role of a State Legislature (subtheme)**

**Rationale:** The regional legislatures (dumas) in Russia create laws that both establish greater local governmental autonomy and provide a legal structure for basic public services at the local level. While Russia's regional legislatures have not played as large a role in their country's governmental system as state 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 Russian regional 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 legislatures. Also, numerous state legislators and legislative staff across the country have experience presenting to Open World delegations.

**Target Group:** Regional legislators, legislative staff to regional legislators, administrative staff of regional legislatures.

**Program Structure:** Most programming will take place in a state capital during the legislative session, with a focus on the role of a state legislature 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, interest 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.

**Possible Grantee Activities:** For legislator delegations: Observe state legislative sessions and committee meetings and have follow-up meetings with participating state legislators; attend panel discussions with the legislators, legislative counsel, and committee staff who played a role in the successful passage of a law; meet with the legislative liaisons for state executive agencies; meet with lobbyists and interest groups and shadow their meetings with state legislators/legislative staff; attend town hall meetings; meet with mayors or city council members to discuss their relations with the state legislature; meet in-state with Members of Congress and/or their field staff.

For mixed delegations of legislators and regional legislative staff/administrators: Job-shadow their counterparts; attend panel discussions with legislative officials, executive agency administrators, political scientists, and political journalists on the role of the legislature in the host state; meet with political party and elections officials; observe the constituent services operations in a state legislator's office; discuss budgeting, information services, enforcement of ethics rules, and other administrative issues with legislative officials; meet in-state with Members of Congress and/or their field staff.

Possible settings for delegate presentations include university seminars, special meetings with state legislators and legislative staff, political party meetings, and civic-association meetings.

## **Rule of Law**

Rule of law is one of the foundations of civil society. Russia established significant rule of law measures in the early and mid-1990s, and passed major judicial and legal reforms in 2001–2002. Through Open World's "specialized rule of law program," individual U.S. federal and state judges host Russian judicial delegations in cooperation with Open World grantees. Open World's rule of law programming is designed to build on the gains made during the 1990s, to support the implementation of the more recent reforms, to introduce delegates to America's robust adversarial system, and to provide comparative insights into legal education, juvenile justice, and the prevention and prosecution of human trafficking and domestic violence.

- **Specialized Rule of Law (Judicial and Mixed Delegations)**

**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.

**Target Group:** Specialized rule of law delegations will be composed entirely of judges<sup>8</sup> or be a mix of judges, prosecutors, defense attorneys, and other legal professionals.

**Possible Grantee Activities:** Delegates might 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, and judicial administration.

Delegations should meet with Members of Congress and state legislators and/or their staff to discuss judiciary-related legislative issues and funding. Appropriate activities include job-shadowing experiences; courtroom observation; judges' roundtables; site visits to corrections facilities; and group discussions with U.S. judges at both the federal and state level, officers of the court, court administrative staff, and victims' services providers. Possible settings for presentations by the Russian delegates include bench and bar association meetings, law-school colloquia, meetings of advocacy groups, and panel discussions.

- **Civic Rule of Law<sup>9</sup>**

**Rationale:** The recent judicial reforms in Russia 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.

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.

**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.

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<sup>8</sup> The hosting locations for the Russia specialized 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.

<sup>9</sup> Please note that Russian civic rule of law hosting can occur on an accountable governance date, on the social issues – social services date, or, if space permits, on a specialized rule of law date.

**Possible Grantee Activities:** Delegations should receive an overview of the U.S. judicial system and court operations. Other possible topics include case management, legal advocacy, judicial-media relations, law enforcement, domestic violence awareness, legal/judicial training, and current legislative issues that affect the judiciary. Appropriate activities 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.

Topics for anti-human trafficking programs include U.S. approaches to human-trafficking prevention and prosecution, the prevention of child exploitation, and 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.

Possible settings for presentations by civic rule of law delegates include bench and bar association meetings, law-school colloquia, meetings of advocacy groups, and panel discussions.

### **Social Issues (Health-Care Provision, Higher Education, Social Services)**

Russia and the United States share an interest in preventing the spread of communicable diseases, making health care accessible to all, and improving education and social services delivery. Open World seeks to (a) give exchange participants new strategies for strengthening health-care practices and delivery, education, and social services in their regions and communities; and (b) enable participants to share their own expertise in these areas with their American counterparts. Exposing participants to models of effective public and private sector cooperation in their assigned subtheme will be an important component of these exchanges. Some delegations may have a special focus on "women as leaders."

- **Health-Care Provision (subtheme)**

**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 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.

**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.

**Possible Grantee Activities:** Issues relating to the delivery of quality coordinated services by skilled professionals utilizing modern technology for patients with noncommunicable or communicable diseases as well as at-risk individuals and pregnant women will be a major focus of this subtheme. Local programs could 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. Topics for consideration include health-care management and financing, disease monitoring and control, prevention and treatment of noncommunicable diseases and communicable diseases, healthy lifestyles (including proper diet and nutrition, especially for children), substance abuse prevention, hospice care, and health-care quality monitoring and reporting. Appropriate formats for information exchange include site tours; conferences; workshops; and group discussions with health-care providers, health-care system managers, and government officials overseeing health-care programs. Delegates should also have opportunities to discuss health care legislation and financing with federal and state legislators. Possible settings for presentations by delegates include panel discussions, roundtables, and scheduled meetings at health-care facilities or institutions. Participants should be able to see demonstrations of medical technology and have ample opportunities to question—and share their own expertise with—their American counterparts.

- **Higher Education (subtheme)**

**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.

**Target Group:** Regional and local government officials and legislators involved in postsecondary education policy and reform, education administrators, educators in leadership roles, heads of public-private sector initiatives, NGO leaders, and journalists.

**Possible Grantee Activities:** Appropriate activities include attending city/county council meetings on higher education funding and policy issues; visiting universities/colleges, community colleges, and local businesses participating in

internships and other training programs; exploring learning opportunities for special populations; discussing higher education financing issues with mayors and legislators; and meeting with curriculum development specialists, state education officials, and education researchers. Possible settings for delegate presentations include university/college faculty meetings, classroom lectures, university/college seminars, and civic-association gatherings.

- **Social Services (subtheme)**

**Rationale:** Russia is facing a demographic crisis, with decreases in population and life expectancy. 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.

**Target Group:** Social service officials and providers; municipal executives; regional and local legislators; NGO leaders, including leaders of social services advocacy organizations; and editors and other journalists.

**Possible Grantee Activities:** 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. 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; 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).

Other preferred activities for delegates include attending county commission and city council meetings or hearings on social service issues; meeting with legislators and legislative staff; visiting women's centers and shelters; participating in or observing workshops on recruiting, training, and managing volunteers; taking part in a volunteer activity; having briefings on, and, if possible, observing NGO fundraising and marketing activities; and developing work plans for improving social-support services in their home communities.

Possible forums for delegate presentations include panel discussions, university seminars, and roundtables.

**Below are the Ukraine Civic Hosting Themes, their rationales, target groups, and suggested activities.**

### **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 Parliament, although they did increase 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, will have to make difficult decisions on the pace of decentralization, the battle against corruption, and on measures to increase transparency and accountability for Ukraine to become a more stable democracy.

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.

Government officials could also benefit from expanded interaction with their country's NGO sector, which is vibrant and free, and both government and NGO officials could benefit from seeing U.S. models of public/NGO cooperation on the Open World program.

**Target Group:** Regional and local legislators, mayors, municipal administrators, policy experts, public services providers, media representatives, managers of government cultural institutions, 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). This year's programming will also feature groups that include government and NGO leaders, so that delegates can interact with each other while observing examples of how public-private (or public/quasi-private) cooperation can better serve the community, and then collaborate 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.

**Possible Grantee Activities:** Local programs on accountable governance might focus on administrative capacity-building, service delivery, community economic development,



and local-government finance, including the role of the legislative process in these areas. Possible topics include local government budgeting, accounting, and auditing; government-employee training; government record keeping; revitalization planning; improvement of cultural sites and promotion of cultural tourism; state-local relations; constituent services; public-private economic development partnerships; and citizen participation in government. Programs should emphasize the particular types of local governance activities being undertaken by delegation members. Programs with mixed governance and NGO personnel would focus on how the public, private, and NGO sectors work in the United States to improve the community. Specific programming would also be based on the stated responsibilities of the delegates.

Appropriate activities for accountable governance delegations include meeting with state and local legislators and election officials; job-shadowing county executives, mayors, and city managers; having workshops with independent government auditors, city planning and zoning officials, state municipal-league officials, and neighborhood association representatives; observing campaign activities and voting procedures; touring wastewater plants and volunteer fire departments; attending budget hearings; visiting cultural landmarks and discussing their funding and maintenance issues; and holding Q and A with city-desk editors, reporters, and political party representatives. Such programming would also be suitable for delegations with representation from the public and NGO sectors. Possible settings for delegate presentations include city council meetings, university seminars, and press club and civic-association meetings.

- **The Role of a State Legislature (subtheme)**

**Rationale:** The regional legislatures (radas) in Ukraine create laws that both establish greater local governmental autonomy and provide a legal structure for basic public services at the local level. While Ukraine's regional legislatures have not played as large a role in their country's governmental system as state 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 regional 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 legislatures. Also, numerous state legislators and legislative staff across the country have experience presenting to Open World delegations.

**Target Group:** Regional legislators, legislative staff to regional legislators, administrative staff of regional legislatures.

***Program Structure:*** Most programming will take place in a state capital, with a focus on the role of a state legislature 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, interest 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.

***Possible Grantee Activities:*** For legislator delegations: Observe state legislative sessions and committee meetings and have follow-up meetings with participating state legislators; attend panel discussions with the legislators, legislative counsel, and committee staff who played a role in the successful passage of a law; meet with the legislative liaisons for state executive agencies; meet with lobbyists and interest groups and shadow their meetings with state legislators/legislative staff; attend town hall meetings; meet with mayors or city council members to discuss their relations with the state legislature; meet in-state with Members of Congress and/or their field staff.

For mixed delegations of legislators and regional legislative staff/administrators: Job-shadow their counterparts; attend panel discussions with legislative officials, executive agency administrators, political scientists, and political journalists on the role of the legislature in the host state; meet with political party and elections officials; observe the constituent services operations in a state legislator’s office; discuss budgeting, information services, enforcement of ethics rules, and other administrative issues with legislative officials; meet in-state with Members of Congress and/or their field staff.

Possible settings for delegate presentations include university seminars, special meetings with state legislators and legislative staff, political party meetings, and civic-association meetings.

## Education

**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. Specific objectives include promoting transparent and standardized testing, and improving credentialing, teacher training (pre-service and in-service), school performance monitoring, and educational materials and their distribution.

Also, public libraries in Ukraine are increasingly providing citizens with greater digital access to information, including government documents. Open World will offer hosting for one or two delegations aimed at furthering this activity.

**Target Group:** Regional and local government officials and legislators involved in education policy and reform, school administrators, educators in leadership roles, NGO leaders, and journalists. Higher education delegations will be made up of education professionals active in promoting standardization and transparency in higher education. The Ukrainian librarian delegation(s) will be made up of highly motivated public and academic librarians and directors or top staff members of Window on America Centers.<sup>10</sup>

**Possible Grantee Activities:** Appropriate activities include discussing education financing issues with municipal executives and legislators; reviewing teacher certification requirements, school assessment and accountability systems, and education standards with state and local education officials and legislators; attending school board and parent-teacher association meetings; viewing learning activities for special populations and teacher-training activities; and meeting with curriculum development specialists, education researchers, and accrediting agency officials. For education administrators and political leaders tasked with education reform, broad exposure to the management of educational systems would be most useful, along with discussions of education policy issues with legislators and legislative staff. For the higher education participants, very specific programming on standardized testing/admissions will have to be planned. Librarian delegates should focus on learning how U.S. public libraries serve their communities, highlighting the following: the use of new information technology, including web-based services for users; library networks; library services for people with disabilities and other special needs; the role of professional library associations (national and local); and professional ethics and standards.

Possible settings for delegate presentations include faculty and parent-teacher association meetings, classroom lectures, and university seminars.

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<sup>10</sup>These public access resource centers are located in regional public libraries across Ukraine under the U.S. Government's Window on America (American Corners) Program, which is designed to provide up-to-date information on the United States and to augment the English-language collections of the host libraries.

## 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. As described above in the rationale for the accountable governance theme for Ukraine, Open World programming can also demonstrate how government entities and NGOs work closely together to effectively serve significant sectors of the public.

**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 all levels, including in rural communities; NGO leaders involved in legislative advocacy, governance, and the role of the voluntary sector in providing community services; 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. As described above in the rationale for the accountable governance theme for Ukraine, it is expected that delegations will consist of government officials and/or legislators and NGO officials, so that cooperation and collaboration can be enhanced through lessons learned together.

**Possible Grantee Activities:** 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. 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 with government agencies that fund or otherwise collaborate with NGOs, and should investigate all aspects of government/NGO relations, including the legislative process. Professional appointments should allow sufficient time for delegates to ask questions and share their own expertise. Possible settings for delegate presentations include NGO roundtables, university seminars, and press club and civic-association meetings.

## Rule of Law

**Rationale:** Rule of law is one of the foundations of a civil society. 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 2011. Ukraine also seeks 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 will also include non-judge civic rule of law delegations in its 2011 program, as it has done in previous years.

**Target Group:** Most delegates for Open World's specialized rule of law program<sup>11</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 specialized delegations may be made up of non-judges for exchanges focused on such issues as court management and media-judicial relations. Open World will in 2011 also offer civic rule of law programming to lawyers, independent legal experts, legal scholars, and judicial administrators. Most civic rule of law delegations will travel on a different travel date than that set aside for the specialized rule of law programming and will not be assigned U.S. host judges. If one or more compelling civic rule of law programs are proposed for the planned specialized rule of law date, the Center may allow these programs to coincide with the specialized rule of law programming.

**Possible Grantee Activities:** Local programs should allow delegates to learn about the U.S. judicial system and the role of the rule of law in American society through on-site observation, roundtables, and other hands-on or interactive activities. Topics to explore, as applicable, include U.S. approaches to court proceedings, the jury-trial process, the adversarial system, plea-bargaining, alternative dispute resolution, the settlement of financial disputes, juvenile justice practices, and law enforcement and corrections practices, and the relationship between the judicial and legislative branches at the federal and state levels. In-depth discussions and meetings with U.S. judges, other leading legal professionals, and legislators on judicial independence and ethics, legislation and the law, and legal/judicial training should be featured on the agenda, as appropriate. Possible settings for presentations by delegates include bench and bar association meetings, law-school colloquia, and panel discussions.

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<sup>11</sup> The hosting locations for the Ukraine specialized 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.

## 2011 Russia Civic Hosting Program Proposed Travel Dates

U.S. Arrival Date	U.S. Arrival Day	Host City Arrival Date	Host City Arrival Day	Host City Depart Date	Host City Depart Day	Theme(s)/(Subtheme)
Feb 2	Wed	Feb 4	Fri	Feb 12	Sat	Accountable Governance/ (Legislative)
Feb 9	Wed	Feb 11	Fri	Feb 19	Sat	Accountable Governance/ (Legislative)
Mar 2	Wed	Mar 4	Fri	Mar 12	Sat	Accountable Governance/ (Legislative)
Mar 24	Thu	Mar 26	Sat	Apr 2	Sat	Specialized Rule of Law*
Apr 6	Wed	Apr 8	Fri	Apr 16	Sat	Social Issues (Education)
May 18	Wed	May 20	Fri	May 28	Sat	Social Issues (Social Services)
Jun 16	Thu	Jun 18	Sat	Jun 26	Sun	Accountable Governance
Sep 8	Thu	Sep 10	Sat	Sep 17	Sat	Specialized Rule of Law*
Oct 19	Wed	Oct 21	Fri	Oct 29	Sat	Accountable Governance
Nov 9	Wed	Nov 11	Fri	Nov 19	Sat	Accountable Governance
Nov 30	Wed	Dec 2	Fri	Dec 10	Sat	Social Issues (Health)
Dec 7	Wed	Dec 9	Fri	Dec 17	Sat	Accountable Governance

## 2011 Ukraine Civic Hosting Program Proposed Travel Dates

U.S. Arrival Date	U.S. Arrival Day	Host City Arrival Date	Host City Arrival Day	Host City Depart Date	Host City Depart Day	Theme(s)/(Subtheme)
Mar 9	Wed	Mar 11	Fri	Mar 19	Sat	Accountable Governance/ (Legislative)
Apr 13	Wed	Apr 15	Fri	Apr 23	Sat	Accountable Governance/ NGO Development
Jul 7	Thu	Jul 9	Sat	Jul 16	Sat	Specialized Rule of Law*
Sep 14	Wed	Sep 16	Fri	Sep 24	Sat	Accountable Governance/ NGO Development/Civic Rule of Law
Oct 12	Wed	Oct 14	Fri	Oct 22	Sat	Education

\*Most delegations on these specialized rule of law dates will be placed in predetermined hosting locations, as described earlier. A small number of additional hosting locations will be accepted from proposals for these dates.

### Grantee Programming and Administrative Requirements

Successful grantee organizations will be responsible for seven or eight days and seven or eight nights of programming (including weekends) for delegations (most consisting of **five delegates** and one facilitator) arriving in the United States between **February 2 and December 10, 2011**. Delegations will land in the United States on a Wednesday or

Thursday and arrive in their host communities on a Friday or Saturday.<sup>12</sup> (No travel or other activities after December 20, 2011, will be allowed unless specifically agreed to by the Center.) 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 Civic Hosting Theme(s) selected by the grant applicant. Programs should emphasize mutual learning and dialogue. Grantees are encouraged to recruit host coordinators, presenters, and home hosts who are interested in maintaining contact with the Open World delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
- 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: (a) ensure that nominating partners (both domestic and international) submit names of qualified and high-quality candidates only and the necessary program and partnership/project background information to the logistical contractor by the designated deadlines; and (b) 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.
- 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 2011 Open World grantee orientation meeting, which is expected to be held in the spring of 2011 in Washington, DC.
- Help make arrangements for Center staff to conduct site visits during local hosting programs, if requested by the Center.

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<sup>12</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 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. 26, 29, 39, and 55–57.)
- 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 hosts register, and have the local hosts encourage presenters and host families to register, on the Open World Digital Directory at <http://dd.openworld.gov> before the delegates' arrival.
- 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; 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 Russia or Ukraine 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 local 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 and facilitator, 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 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. Interpretation must be provided in Russian for Russian delegations and in Ukrainian for Ukrainian delegations. **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. Open World facilitators are not to provide interpretation for group professional meetings.
- Prepare a seven- or eight-day program for each participant group that reflects the selected Civic Hosting Theme and includes other activities that meet program objectives. Approximately **32 hours** of programming should directly address the Civic Hosting Theme. Time spent in professional sessions with federal, state, 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 so as 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 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, oversight, and administration of the nominations process in Russia and Ukraine; (b) visas and travel arrangements; (c) selection and training of facilitators; (d) formation of delegations; (e) organization of predeparture orientations; and (f) review of delegate programs in consultation with the Center. Grantees and their local hosts will be required to work closely with the logistical

contractor through all steps of the planning process and meet the relevant deadlines in the following table.

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

This table lists the major deadlines for information and document exchange between local host coordinators/grantees and Open World’s logistical contactor, measured backward from the delegation’s U.S. arrival date (two to three days before the host-community arrival date). Please note that the deadlines for submitting interpreters’ resumes, updated program agendas, and emergency contact information are different than those in previous versions of the Grant Guidelines.

<i>Deadline</i>	<i>Host Coordinator provides:</i>	<i>Logistical Contractor provides:</i>
<i>6-8 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 Update 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 Open World Leadership Center tracks the results of the Open World program using eight categories, or “bins.” Below are definitions and examples of these categories, along with language explaining which results categories grantee and local host organizations *must* report on and which categories they are *encouraged* to report on. The 2010 Guidelines for Local Host Coordinators reiterate the information that local host organizations are required or encouraged to supply.

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

*EXAMPLES:* Estimated number of people in the audience for presentations made by Open World delegates, number of presentations. “Reverse success stories” of how Americans adopted ideas from Open World delegates. Estimates of the value of new exports to Russia or Ukraine.

(Grantee or local host organizations *must* report on benefits to Americans in the host narrative submitted after the conclusion of each exchange. Grantees *must* report any post-hosting benefits in their final program report. For a brief description of the final program report, see p. 29.)

- 2. Partnerships** – An American organization partners with a Russian or Ukrainian organization on a joint project or starts an affiliate in Russia or Ukraine.

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

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

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

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

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

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

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

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

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

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

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

(Local host organizations are to submit **as soon as possible** copies of any local press articles on each Open World exchange they host. Press articles should be submitted to Open World Public Affairs Officer Maura Shelden ([mshelden@loc.gov](mailto:mshelden@loc.gov)) in an electronic format, such as a link to a website, in the body of an electronic mail message, in a Word document, etc. If an electronic version is not available, a print version will be acceptable provided that the copy is clear with full text and complete information on source, author, date, and page location or URL address. Local hosts should request copies of tapes (and permission to post on Open World’s website: [www.openworld.gov](http://www.openworld.gov)) of any local TV or radio coverage and send any received to Open World’s logistics contractor

with the post-program report. Grantee organizations are *encouraged* to include with the final program report press articles that appeared after the local host's post-program report was submitted.)

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

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

(Grantees *must* submit the Open World Cost-Share Report Form(s) by June 30, 2012. Please email any questions about this form to [jsar@loc.gov](mailto:jsar@loc.gov) using COST SHARE in the subject line.)

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

*EXAMPLES:* Grants, awards, promotions, and scholarships received by alumni; alumni who run for office, are elected to office, obtain new positions in government, business, or voluntary organizations, or start new enterprises.

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

### **Key Dates and Deadlines<sup>13</sup>**

#### **Grant applications are due on August 30, 2010.**

For each grant awarded, 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 2011 grants will end on **March 31, 2012**, 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.

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<sup>13</sup> See table on page 26 for deadlines for document delivery to the logistical contractor.

## Criteria for Evaluating Grant Applications

All grant applications for the Open World Russia Civic Hosting Program and the Open World Ukraine Civic Hosting Program will be evaluated on the following factors, listed in order of importance:

1. Degree to which proposed program plans address Open World objectives, especially with regard to (a) giving delegates significant exposure to federal, state, and local legislators, the structure and functions of legislatures, and the legislative process; and (b) developing/furthering partnerships and/or collaborative projects.
2. Past experience in hosting similar programs, especially for Russians and Ukrainians.
3. 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.
4. Demonstrated ability or experience in creating programs in the Civic Hosting Theme(s) proposed in the application.
5. Demonstrated ability to recruit or plan for recruiting host coordinators, presenters, and home hosts who are interested in maintaining contact with the Russian and/or Ukrainian delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
6. Quality of submitted sample agendas (one important factor in determining quality is whether the agendas include opportunities for delegates to make presentations to professional and public audiences and to have open dialogue with their hosts and professional counterparts).
7. Ability to home host.
8. Per person costs.
9. Amount of the cost share included in proportion to the overall proposed budget.
10. Ability to host on theme dates.
11. 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).
12. For proposals that contain plans for nominations, the Center will weigh the degree to which the proposed programs advance Open World's objectives of (a) giving delegates significant exposure to federal, state, and local legislators, the structure and functions of legislatures, and the legislative process; and (b) of developing/furthering partnerships and/or collaborative projects, as compared to similar proposals received.

## GRANT PROPOSAL OUTLINE

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

The Open World Leadership Center grants committee will review applications and respond no later than 21 calendar days after receipt of an application. **ACTUAL DETERMINATIONS OF PARTICIPANT HOSTING LEVELS AND THE DATE OF AWARDS DEPEND ON THE CENTER'S FISCAL YEAR 2011 APPROPRIATIONS LEVEL.**

**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. IF YOU ARE APPLYING FOR BOTH THE RUSSIA CIVIC HOSTING PROGRAM AND THE UKRAINE CIVIC HOSTING PROGRAM, PLEASE SUBMIT ONE BUDGET COVERING BOTH PROGRAMS (ITEM 6),<sup>14</sup> BUT PROVIDE A SEPARATE SET OF RESPONSES TO ITEMS 1–5 FOR EACH OF THE TWO HOSTING PROGRAMS.**

- 1. Project Summary** – A narrative document of no more than four double-spaced pages providing the following information:
  - Estimates of your hosting capabilities, i.e., number of host communities and number of participants (delegates and facilitators) to be hosted.
  - Explanation of your programming capabilities, especially in the Civic Hosting Theme(s) for which you are applying.
  - Descriptions of how your organization will fulfill the program objectives and requirements given above, including how professional interpretation will be provided, how results will be accomplished and reported, and how delegates will be introduced to legislators 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 Hosting Themes** – For each proposed theme/subtheme please submit:
  - Schedule of proposed hosting dates (with proposed hosting sites)
  - Subtheme(s) and/or special focus(es), if applicable
  - 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 program plans as a partner in the Open World program. Therefore, your budget submission needs to reflect your administration of a program that meets the proposed programming outlined above.

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<sup>14</sup> Pages 33–60 contain more information on financial management and budget requirements, including a recommended budget form (p. 34).



## FINANCIAL PROCEDURES – 2011 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 applicant organization'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, 2012.

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.**

1. PERSONNEL Compensation – Salaries and wages paid directly to your employees
2. Personnel Benefits – Your cost associated with benefits of your employees
3. Travel and Transportation – Travel and transportation of staff and/or local transportation for delegates
4. Office Expenses – Postage, telephone, supplies, etc.
5. Advisory and Assistance Services – Interpreters; speakers, trainers, etc.
6. Cultural Activities – Receptions, admissions, etc.
7. 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 2011 Open World Leadership Center Russia and Ukraine Civic Hosting Programs</b>			
<b>Proposed Number of Participants:</b>			
<b>Cost Per Participant:</b>			
<b>Budget Category<sup>15</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
Travel and Transportation (domestic)	\$X,XXX	\$X,XXX	Local transportation for staff and rental of transport for delegates (one van @ \$XXX per day for X days); \$XXX taxi and metro
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 sites 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	Three local organizations will each receive a grant for \$X,XXX=\$XX,XXX to cover hosting expenses <sup>16</sup>
<b>Total</b>	<b>\$XX,XXX</b>	<b>\$XXX</b>	
<b>PROPOSED BY:</b>			
<b>Signature Program Officer and Date:</b>			

<sup>15</sup> Please note that the Center no longer funds equipment purchases.

<sup>16</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, multi-year scientific research and development undertakings to the creative efforts of individual young artists. As might be expected, the rules that have been developed to address all the situations likely to arise between the government and its grantees are extensive. Working from a comprehensive set of grant principles published by the Office of Management and Budget (OMB), the Open World Leadership Center (the Center) has identified specific rules that will apply to all grantees and subrecipients of Center grants. These rules are explained below. It is important to become familiar with these provisions and comply with them.

Please note that the Open World Leadership Center, as a legislative branch agency, is not required to apply the OMB grants-related guidance for executive branch agencies and departments 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 C.F.R. 215.4 “Deviations” for clearance through OMB of any deviations to the terms of the circulars will not apply to Open World. Instead, grantees should direct any questions about 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 C.F.R. Part 215, “Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” (OMB Circular A-110)
- 2 C.F.R. Part 220, “Cost Principles for Educational Institutions”(OMB Circular A-21)
- 2 C.F.R. Part 225, “Cost Principles for State, Local, and Indian Tribal Governments” (OMB Circular A-87)
- 2 C.F.R. Part 230, “Cost Principles for Non-Profit Organizations” (OMB Circular A-122)
- OMB Circular A-102, “Grants and Cooperative Agreements with State and Local Governments”
- OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”

The full text of these authorities is available as follows:

- Code of Federal Regulations, Title 2, “Grants and Agreements” is available online from the National Archives and Records Administration via the Government Printing Office GPOAccess website at: [www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1](http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1)
- The OMB Circulars are available online from the OMB website at: [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html)
- Copies of relevant authorities are also available from 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 2011 grants will begin on the date of the grantee's signature on the award letter and end on March 31, 2012.** No travel or other activities will be allowed after December 20, 2011, unless specifically agreed to by the Center.

**Final Program Report** - For each grant awarded, 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, 2012, 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 e-mail the reports listed below. **Please include the Open World Grant Number (e.g., OWLC-1152) in the e-mail's subject line each time a report is submitted. Failure to meet the stated 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, 2011 (Due 4/10/11)
2. April 1 – June 30, 2011 (Due 7/10/11)
3. July 1–September 30, 2011 (Due 10/9/11)
4. October 1–December 31, 2011 (Due 1/10/12); and
5. January 1–March 31, 2012 (Due 4/10/12, if the grant has not been closed by March 31, 2012).

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

**NOTE:** The Standard Form 425 has replaced the prior financial reporting forms Financial Status Report (269a) and the Federal Cash Transactions Report (272).

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

A Cost-Share Report (form provided by the Center) must be submitted no later than June 30, 2012. 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 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 will require 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, 2012, unless a later date is agreed to in writing by the Center. When submitting, please include the Open World Grant Number in the 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 and must be returned to the Center.** This practice will impact negatively on future grant awards.
- b. **Interest on Grant Funds.** All grantees, except states (see glossary), are required to maintain advances of federal funds in interest-bearing accounts unless the grantee receives less than \$120,000 per year in advances of grant funds or the most reasonably available interest-bearing account would not earn more than \$250 per year on the federal cash balance, or would entail bank services charges in excess of the interest earned. Interest that is earned on advanced payments shall be remitted to the Center.
- 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**. Failure to do so could delay payment and will negatively affect consideration for future grants from the Center. **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.

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 award can fund most project activities, 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, 2012.

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

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

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

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

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

- X
28. Materials and supplies
  29. Meetings and conferences
  30. Memberships, subscriptions, and professional activity costs
  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

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

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>	

**Grand Total Cost Share:**



## **Open World Cost-Share Report Form Instruction Sheet for Grantees/Subgrantees**

The Open World Cost-Share Report Form is designed to be a quick electronic tool for calculating in-kind contributions made during hosting. Although the form can be printed and filled out by hand, the Center recommends using it on-screen, as the Excel file has all of the formulas loaded into it. Once filled out, the form can either be e-mailed to your Grantee along with all other final financial documentation, or printed and mailed with hard copies of final financial documentation. Sending this documentation via e-mail is preferred. All cost-share report forms are due to the Center by June 30, 2012.

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 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-1152).
3. List the theme and dates of your program.
4. Note the date that the form is being completed.

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

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

1. Complete Column 1 with the number of nights of homestay provided to participants.
2. Complete Column 2 with the number of participants (delegates plus facilitator[s]) to whom homestays were provided.
3. Column 3: Use the provided web 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, as will the “Subtotal” amount.

“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.