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

2008 GRANT PROCEDURES – RUSSIA CIVIC HOSTING PROGRAM

Introduction

The congressionally sponsored Open World Program brings emerging leaders from Russia, Ukraine, and other post-Soviet states to the United States in order to give them firsthand exposure to the American system of participatory democracy and free enterprise. The principles of accountability, transparency, and citizen involvement in government are among the concepts emphasized by the Open World Program. Today Open World has over 13,000 alumni and a network of some 6,000 U.S. host families. The program is administered by the Open World Leadership Center (the Center), an independent entity established in the U.S. legislative branch in 2000.

Open World in 2006 adopted as its mission statement:

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

In light of this mission, Open World will continue to bring emerging leaders from this region to the United States, while endeavoring to foster lasting ties that result in ongoing cooperation and collaboration. For 2008 hosting proposals, Open World will give greater weight to those proposals that are likely to produce new partnerships or further existing ones. In addition, Open World will look most favorably on proposals that include specific follow-on project activities, cost-sharing, and/or plans for future reverse travel.[2]

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 post-Soviet states, and for Russian cultural leaders. The overall program now focuses primarily on developing a network of leaders who have an

---

[1] Eurasia here means Russia, Ukraine, Belarus, Moldova, Armenia, Georgia, Azerbaijan, Turkmenistan, Kazakhstan, Uzbekistan, Tajikistan, and Kyrgyzstan.

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

understanding of how American communities deal with contemporary issues and who want to maintain contact with their new American contacts and other counterparts.

The Russia Civic Hosting Program remains the Center's core exchange, accounting for over 12,000 participants since 1999. Delegates come from all 83 Russian regions, and from all levels of government, the NGO and small-business sectors, and the media. Their average age is 38, and just over half are women.

Grant applications for the Russia Civic Hosting Program are due Monday, April 13, 2008.

Grant guidelines for hosting for Open World's 2008 Russian Cultural Leaders Program and Ukraine Program have been published and are available at www.openworld.gov. The deadlines for applications for these programs have passed. Grant guidelines for Open World's 2008 expansion-country programs will be published separately in the near future.

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

2008 RUSSIA CIVIC HOSTING GRANT PROCEDURES

Grant Overview

The 2008 **Russia Civic Hosting Program** will focus on emerging Russian political, civic, and community leaders from the national, regional, and local levels, and will put a strong emphasis on helping develop, or further, existing networks between delegates and their U.S. counterparts. Most candidates are nominated by U.S. and Russian agencies and institutions, as well as international organizations. Open World looks for talented leaders who are relatively young (usually no older than age 45). Candidates are vetted using the following criteria: demonstrated leadership skills and a commitment to building a civil society; extent of activities in one or more of the thematic areas for Open World exchanges; community involvement or volunteer work; participation in the political process; and established U.S. ties or the potential to forge such ties. Ideal nominees will have no previous travel to the United States. English-language ability is not required. Open World plans to host up to 750 participants (delegates and facilitators[3]) in the 2008 Civic Hosting Program. Delegates and facilitators will be invited for up to 10-day exchanges[4] in the United States. Homestays with American host families will again be an integral element of the program.

---

[3] Facilitators are young Russian citizens with excellent English skills and 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.

[4] Most delegations stay in Washington, D.C., for two days to attend an orientation program hosted by the Center, then spend eight days in the local host community. The exceptions are specialized rule of law and librarian delegations, which will spend seven days in the local host community.

Grant Guidelines Contents:

This document contains, in order:

- Grantee eligibility requirements
- Open World objectives
- Civic hosting themes
- Proposed 2008 travel dates
- An option for orientation hosting
- Grantee programming/administrative requirements
- Local-hosting document deadlines
- Results tracked by Open World
- Grantee financial responsibilities
- Key dates/deadlines
- Criteria for evaluating grant applications
- A grant proposal outline
- Annexes
    - Grant administration guidelines
    - Grant financial guidelines
    - Procurement guidelines
    - Cost principles
    - Suspension and termination
    - A form and instructions for estimating cost share
    - A glossary of terms

Please note: the section on results describes outcomes tracked by the Open World Leadership Center and explains grantees' and local host organizations' role 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 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.[5]

- 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

[5] 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 eight-day community visit.

contact with the Russian 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. 17-20 below) will be accomplished.

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

- Will also be given preference for a grant award if it is able to recommend Russian program candidates who meet Open World selection criteria and whose participation in Open World would further ongoing or proposed projects/partnerships with the applicant organization or one of its proposed local host organizations. (Open World will permit organizations awarded 2008 grants to nominate candidates for competitive delegate selection for their ongoing or proposed projects/partnerships.) A list of specific individuals you intend to nominate or a statement of your strategy to identify nominees must be included in your proposal.

Open World will closely coordinate the nomination process with grantees and the logistical contractor. 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 also seeks proposals that, for one or more local programs, clearly specify the type(s) of delegates desired (e.g., mayors, NGO leaders, media professionals) and/or regions of Russia 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 most dynamic, highly educated emerging leaders, who are eager to share their experiences with Americans for a mutually beneficial exchange of ideas. The Russia Civic Hosting Program is designed to assure that delegates have the opportunity to:

- Network with American professionals and hosts who are interested in maintaining contact beyond the eight-day community visit for ongoing cooperation and collaboration.

- Exchange views with influential representatives of appropriate federal, state, and local government agencies; 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.

- Share their professional expertise through planned formal presentations, panel discussions, and/or roundtables with American counterparts and contacts, and present information about Russian culture, history, and current affairs to members of their host community.

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

- Acquire an understanding of the important elements of American civil society in order to make constructive comparisons with Russian 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.

- 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 society, culture, and institutions.

Civic Hosting Themes

The 2008 Russia Civic Hosting Program will offer the same themes as the 2007 Russia Civic Hosting Program: **accountable governance, rule of law,** and **social issues**. A number of the exchanges hosted under the **accountable governance** theme will have a special focus on community economic development, environmental management, the 2008 U.S. elections, or libraries. The rule of law theme has two major hosting components: (1) the specialized rule of law program, which focuses on judicial reform and (2) the civic rule of law program, which focuses on specific rule of law issues such as anti–human trafficking, legal advocacy, and legal training. The **social issues theme** is composed of three subthemes: health-care provision, elementary and secondary education, and social services. The hosting of delegations with a special focus on "women as leaders" will be an option under the accountable governance and social issues themes.

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 in 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.

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.

The delegates will prepare for their host-community activities by attending a Moscow-based pre-departure program and a domestic orientation program conducted in Washington, D.C., or another urban area as deemed appropriate by the Center. If feasible, grantees will meet with their delegates and make brief presentations on their organizations during the domestic orientation. The domestic orientation program will provide an overview of the delegations' focus theme(s); federal, state, and local governments and their interrelationships; the balance of powers; current issues in U.S. governance and politics; the rights of individual citizens; and American culture. Delegates will be introduced to the Center's initiatives to foster ongoing professional and community networks, including Open World's Digital Directory (dd.openworld.gov). The delegates will also learn about American home life and practices to prepare them for their homestays.

All hosting dates for the 2008 Russia civic hosting program are assigned a single theme or two closely related themes so that orientations will also be theme-specific (see Proposed Travel Dates chart on p. 13). Applicants are encouraged to indicate which of their proposed local hosts are available to host on which of the travel dates specified in the chart. Open World's logistical contractor will work with each grantee to coordinate and confirm the hosting date(s) for each local host after the grants have been awarded.

Below are the 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. Publicly supported libraries need to provide free, equal, and equitable access to information for all people in the community, to help enable an educated citizenry to exercise their civic rights.

Since the United States will conduct national, state, and local elections in late 2008, some delegations may focus solely or partly on campaign activities, elections administration, and voting procedures.

Target Group: Mayors, city managers and other municipal administrators, regional and local legislators, civic and political activists, policy researchers, journalists, public services providers, NGO leaders, local business leaders involved in community development, election officials, environmental managers, and academic and public library directors. 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 also host a limited number of delegations with a special focus on elections, community economic development, environmental management, or "women as leaders."

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 would emphasize administrative capacity-building, transparency, service delivery, financing of government services, community economic 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; revitalization; public-private economic development partnerships; and election administration and procedures. Programs should emphasize the particular types of local governance, election-related, economic development, or environmental management 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 county executives, mayors, and city managers; having workshops with independent government auditors, city planning and zoning officials, voter registration and election officials, and state municipal-league officials; visiting private voluntary organizations involved in community development and improvement; observing campaign activities and voting procedures; 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 economic development delegations include having roundtables at chambers of commerce, economic development corporations, and banks; briefings with state and municipal economic development and tax officials; and site tours of public-private economic development projects, business incubators, and local businesses.

Possible focuses for environmental management delegations are environmentally friendly development projects; 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.

Appropriate activities for public and academic library delegations include visits to public, school, university, and specialized libraries; demonstrations of virtual libraries; and discussions with library boards, friends-of-the-library organizations, and library users.

Possible settings for delegate presentations include city council meetings, university seminars, forums at public or academic libraries, 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, and to provide comparative insights into legal education, juvenile justice, and the prevention and prosecution of human trafficking and domestic violence. In 2008, Open World will also host a limited number of "civic rule of law programs," which do not require a host judge.

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

  Rational: 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 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[6] 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. Appropriate activities include job-shadowing experiences; courtroom observations;

---

6 Delegations composed entirely of judges will be hosted by U.S. federal judges in host cities to be determined by the Committee on International Judicial Relations of the U.S. Judicial Conference, Open World's rule of law programming partner. 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 for the hosting locations or for more information.

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, consultations, etc., by delegates include bench and bar association meetings, law-school colloquia, meetings of advocacy groups, and panel discussions.

- **Civic Rule of Law**

Rational: 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. In addition, the judiciary is combating the perception that the courts are still not open and transparent.

A specific rule of law issue 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.

Target Group: Delegations could consist of judicial department officials, law school faculty, judicial educators, legal specialists from NGOs and the private sector, 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); NGO leaders; victims' rights advocates; shelter administrators; and legislative specialists who can shape policy.

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, and legal/judicial training. Appropriate activities include observing court proceedings and press briefings; meeting with judges and court administrators; visiting law schools, law firms, corrections facilities, media outlets, and legal advocacy NGOs; and taking workshops on courtroom technology.

Topics for anti–human trafficking programs include U.S. approaches to human-trafficking prevention and prosecution, and U.S. cooperation with other nations to address this issue 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, consultations, etc., 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, Elementary and Secondary Education, Social Services)

Although in recent years Russia's economic growth has raised overall living standards in some places, significant quality of life problems remain for vital segments of the population. In addition, both Russia and the United States share an interest in preventing the spread of communicable diseases and making information technology, education, and proper health care accessible to all. Open World seeks to address some of these issues by giving exchange participants new strategies for strengthening health-care practices and delivery, elementary and secondary education, and social services in their regions and communities. Some delegations may have a special focus on "women as leaders" within the assigned subtheme.

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

  Rationale: High rates of chronic and communicable diseases, outdated medical equipment, facilities and practices, and inadequate health-care financing have contributed to a health-care crisis in Russia. Issues relating to the delivery of services for patients with noncommunicable or communicable diseases as well as at-risk individuals will be a major focus of this subtheme.

  Target Group: Government officials (with an emphasis on regional and local 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, NGO leaders, and journalists.

  Possible Grantee Activities: Local programs might include visits to major medical centers, community-based clinics, county health departments, women's health centers, 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 such as HIV/AIDS and TB, 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 and financing. Possible settings for presentations by delegates include panel discussions, roundtables, and scheduled meetings at health-care facilities or institutions.

- **Elementary and Secondary 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 educational system, like that of the United States, faces challenges with financing, administration, teacher recruitment and retention, access to and integration of information technology, and outdated teaching materials. Open World delegates from the federal, regional, and local levels will examine educational issues within the context of the highly decentralized American model, with a focus on educational policy, technology integration into classrooms, alternative financing of public education, equity/access, the role of testing in educational assessment and access to higher education, community involvement, extracurricular and after-school activities, and school-to-work programs.

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

Possible Grantee Activities: Appropriate activities include attending school board and parent-teacher association meetings; viewing learning activities for special populations; discussing financing issues with mayors and legislators; visiting community college school-to-work and other transitional programs; sharing ideas with potential private sector partners; and meeting with curriculum development specialists, state education officials, and education researchers. Possible settings for delegate presentations, consultations, etc., include faculty and parent-teacher association meetings, classroom lectures, and university seminars.

- **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, homelessness, and elder care—have affected the viability of many Russian communities. Open World will invite mixed delegations of government, NGO, and other community leaders to the United States to see how their counterparts here work to address both 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 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 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 HIV/AIDS and other social diseases).

Other preferred activities for delegates include attending county commission and city council meetings or hearings on social service issues; 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.

2008 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
Civic Delegations						
23-Jul	Wed	25-Jul	Fri	2-Aug	Sat	Accountable Governance
3-Sep	Wed	5-Sep	Fri	13-Sep	Sat	Accountable Governance
17-Sep	Wed	19-Sep	Fri	27-Sep	Sat	Civic Rule of Law; Accountable Governance
25-Sep	Thur	28-Sep	Sun	5-Oct	Sun	Librarians/Accountable Governance
1-Oct	Wed	3-Oct	Fri	11-Oct	Sat	Accountable Governance
8-Oct	Wed	10-Oct	Fri	18-Oct	Sat	Civic Rule of Law; Accountable Governance
22-Oct	Wed	24-Oct	Fri	1-Nov	Sat	Accountable Governance
29-Oct	Wed	31-Oct	Fri	8-Nov	Sat	Accountable Governance
5-Nov	Wed	7-Nov	Fri	15-Nov	Sat	Social Issues – Health
13-Nov	Thur	15-Nov	Sat	23-Nov	Sun	Social Issues – Social Services
3-Dec	Wed	5-Dec	Fri	13-Dec	Sat	Social Issues – Education
Specialized Rule of Law Delegations[7]						
4-Jun	Wed	7-Jun	Sat	14-Jun	Sat	Rule of Law
16-Jul	Wed	19-Jul	Sat	26-Jul	Sat	Rule of Law
10-Sep	Wed	13-Sep	Sat	20-Sep	Sat	Rule of Law

Orientations

The Center anticipates that the great majority of delegates will participate in an orientation program in Washington, D.C. The Center will consider proposals for orientation programs in other major cities. Applicants must demonstrate the ability to conduct orientation programs on the executive, legislative, and judicial branches of government; the balance of powers; the rights of individual citizens; and current issues in governance, politics, and the Open World theme(s) for that hosting date, and to provide sessions on American culture and American home life and practices. Applicants must also demonstrate they have the ability and Internet access to train delegates to use the Center's Digital Directory, available at http://dd.openworld.gov. (Training information will be furnished by the Center.) Orientations should include cultural and social activities. Applicants for the Russia Civic Hosting Program interested in conducting domestic orientation programs or (in lieu of domestic orientation programs) wrap-up programs for their delegates should contact Aletta Waterhouse at awat@loc.gov or (202) 707-8943.

[7] All-judge delegations will be placed in predetermined host locations, as described earlier.

Grantee Programming and Administrative Requirements

Please note that the standard Open World delegation has increased to five delegates plus one facilitator.[8]

Successful grantee organizations will be responsible for eight days[9] and eight nights of programming (including weekends) for delegations (most consisting of **five delegates** and one facilitator) arriving in the United States between July 23 and December 3, 2008. Most delegations will land in the United States on a **Wednesday** and arrive in their host communities on a Friday or Saturday.[10] 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 Russian 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 proposed local host organization to the Center and its logistical contractor. The grantee organization must submit the form(s) within two weeks of being notified of the total number of participants (and delegations) it will be awarded. The form (supplied by the Center's logistical contractor) asks for the local host organization's theme/subtheme preferences, a general description of the planned local program, and a list of planned meetings and other activities. This information will improve Open World's ability to match delegates with local host organizations quickly and appropriately.

- Ensure that local hosts register, and have the local hosts encourage presenters and host families to register, on the Open World Digital Directory at http://dd.openworld.gov before the delegates' arrival.

- Be responsible for effective implementation of each program developed by local host organizations.

---

[8] In previous years, the typical Open World delegation consisted of four delegates and one facilitator. The new increase in delegation size applies to both the Ukraine program and the Russia civic program.
[9] The D.C.-based orientations for specialized rule of law delegations and public/academic librarian delegations last an extra day, so these delegations will spend seven days and seven nights in the local host community.
[10] 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.

- 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 2008 Open World grantee Washington, D.C. orientation meeting, which will be held during the week of May 18.

- Help make arrangements for Center staff to conduct site visits during local hosting programs, if requested by the Center.

- Submit required reports by scheduled deadlines, including the host coordinator post-program report for each visit. (For a description of the post-program report, see p. 17.)

- Report on visit outcomes as required (see Results section below).

- Adhere to federal income tax regulations.

- Assist the Center in coordinating press outreach with local host organizations.

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

- Provide local transportation during participants' visits, beginning with pickup at the U.S. final destination airport and ending with delivery to the departure airport. **Participants may only take public transportation to professional activities if a local escort accompanies them, and Open World's logistical contractor must be notified in advance of any such plans.**

- Provide a suitable homestay placement for each delegate, usually for eight days, including weekends. **Homestays are a centerpiece of the Open World experience and a major factor in grant application evaluations.** The Center will consider proposals that include hotel or other paid accommodations under **unique** circumstances, but priority will be given to proposals providing for homestays. Each delegate should be given his or her own private bedroom. If this cannot be arranged, the Center's logistical contractor must be notified.

- Ensure that breakfast, lunch, and dinner are provided daily to the delegates and facilitator(s) during their stay.

- Provide a suitable homestay placement for the facilitator.

- Provide professional interpretation for ALL professional program activities. **The Center requires high-quality professional interpretation for Open World delegations and recognizes that this affects budgets.** Interpreters who are certified by the U.S. Department of State or a state or local agency that certifies

legal and medical interpreters are preferred. Open World facilitators are not to provide interpretation for group professional meetings.

- Prepare an 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. Cross-cultural activities should be scheduled for weekends and some evenings. A cross-cultural activity is an activity designed to promote exposure and interchange between the delegates and Americans so as to increase their understanding of each other's society, culture, and institutions. Cross-cultural activities include cultural, social, and sports activities.

- Ensure that delegates have voluntary opportunities to share their professional expertise and their knowledge about Russia in meetings with their American counterparts and in public settings such as conferences, colloquia, classroom and civic-association presentations, town meetings, and media interviews.

- Coordinate with the Center on congressional outreach in the local communities and ensure where possible that delegates have the opportunity to meet with members of Congress or their local staff.

- Provide a review session near the end of the visit for the delegates, facilitator(s), and host coordinator to review program successes/weaknesses and to identify any new projects, or any joint projects, reciprocal visits, or other continued professional interactions between delegates and their new American contacts, that will likely result from the Open World trip.

- Coordinate with the Center on press outreach, including sharing drafts of any press material developed for each delegation in advance, if requested, and reviewing any relevant press material developed by the Center, if requested. Local press releases for the Russia Civic Hosting Program must credit the Open World Leadership Center.

- Track results (see Results section below) efficiently and regularly report them. Local host organizations must report certain categories of results (as descried below) to their grantee organization, which in turn must report them to the Center. The Center will provide all grantees with spreadsheets to use to record these results during the course or each local program and at each local program's end-of-visit review session. In addition, the Center may ask local host organizations to administer a participant survey

Grantee Interaction with Open World Logistical Contractor

Open World's logistical contractor will provide the Center with administrative and logistical support, including assistance with (a) planning, oversight and administration of the nominations process in Russia, (b) visas and travel arrangements, (c) selection 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.

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).

Deadline	***Host Coordinator provides:***	***Logistical Contractor provides:***
8-6 weeks before arrival		• Participant Names and Profiles
4 weeks before arrival	• Draft Program Agenda • Host Family Contact Information and Brief Bios • Community Profile (if requested)	• Flight Itineraries
2 weeks before arrival	• Resumé(s) of Professional Interpreter(s)	
1 week before arrival	• Updated Program Agenda • Emergency Contact Information	
3 weeks after departure	• Post-program Report*	• Delegation Feedback on Program to Grantee

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

Results

The Open World Leadership Center now tracks results of the Open World Program using eight categories, or "bins." Below are definitions and examples of these categories, along with language explaining which results categories grantee and local host organizations *must* report on and which categories they are *encouraged* to report on. The forthcoming 2008 Guidelines for Host Coordinators will 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.

   (Grantee or local host organizations *must* report on benefits to Americans in the host narrative submitted after the conclusion of each exchange. Grantees *must* report any post-hosting benefits in their final report. For a brief description of the final report, see p. 21.)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

   (Grantees *must* fill out and submit the Open World Cost-Share Estimation Form/s [Annex VI] by March 31, 2009. Please email any questions about this form to awat@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; number of alumni who run for office, number of alumni who are elected to office; number of alumni who obtain official positions in voluntary organizations.

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

Grantee Financial Responsibilities

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

All grant applications must include an accounting of any administrative cost share that is provided. All organizations awarded grants by the Center will be required to submit cost-share estimation form/s [illustrated in Annex VI] by March 31, 2009. See section 2.3 in Annex II for more details on cost share.

Each organization awarded a grant by the Center is required to submit **quarterly** Status of Funds reports (Standard Form 269A, provided by the Center) for each grant awarded. The quarterly reporting periods are: beginning of grant award – June 30, 2008; July 1–September 30, 2008; October 1–December 31, 2008; and January 1–March 31, 2009, if the grant has not been closed by March 31, 2009. The quarterly reports are due on July 10, 2008; October 10, 2008; January 12, 2009; and April 10, 2009. Grantees who receive advance payments must also fill out on a quarterly basis, with the same deadlines as above, a Federal Cash Transactions Report (Standard Form 272A, provided by the Center). Failure to meet these deadlines will negatively affect consideration for future grants from the Center.

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

Grantees are encouraged to submit all final financial documentation by ninety (90) days after the final day of programming and must submit such documentation by March 31, 2009, unless a later date is agreed to in writing by the Center. Documentation must be organized according to the budget categories in the Budget Award Document issued by Open World at the time of the grant award, unless another form of documentation is

agreed to in writing by both parties. Failure to submit final documentation by the deadline will negatively affect consideration for future grants from the Center.

If, for any reason agreed to by both parties, the Open World grant performance period is extended beyond December 13, 2008, Open World and the grantee may agree to a new grant close-out date in writing.

Key Dates/Deadlines[11]

Grant applications are due COB April 11, 2008. A list of host sites with a description of the proposed programming and preferred scheduling of visits **using dates listed in the hosting chart on p. 13** must be included in the grant application. For details on these and other required elements of the grant application, see pp. 22–24.

Within two weeks of being informed of the total number of participants (and delegations) that it will be awarded, a grantee organization must submit a Host Organization Profile Form to the Center and its logistical contractor for each proposed local host organization. The form (to be supplied by the logistical contractor) asks for information on the local host organization's theme/subtheme preferences, a general description of the planned local program, and a list of planned meetings and other activities. These hosting profiles will be used by the logistical contractor for identifying the most appropriate delegates to be assigned to each host.

No travel or other activities after December 13, 2008, will be allowed unless specifically agreed to by the Center.

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

All 2008 grants will end on **March 31, 2009,** when final financial reports are due to the Center, unless a later date is agreed to in writing by the Center. Please note again that grantees are encouraged to submit all final financial documentation by ninety (90) days after the completion of programming activities.

Criteria for Evaluating Grant Applications

All grant applications for the Open World Russia 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, and the goals of developing/furthering partnerships and/or collaborative projects.
2. Past experience in hosting similar programs, especially for Russians.

[11] See p. 17 for deadlines for document delivery regarding delegation travel to the logistical contractor.

3. For previous Open World grantees: assessments of previous hosting quality and results. Assessments are based on input from Open World program managers, delegate surveys, and facilitator reports, and on the quality and promptness of grantee programmatic/administrative and financial reporting, including the accuracy of financial records.
4. Demonstrated ability or experience in creating programs in the 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 delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
6. Quality of submitted sample agendas (one important factor in determining quality is whether the agendas include opportunities for an open dialogue between the delegates and their hosts and professional colleagues and opportunities for delegates to make presentations to professional and public audiences).
7. Ability to home host.
8. Per person costs.
9. Ability to host on theme dates.
10. Quality of submitted work plans.
11. For proposals that contain specific suggested nominees, the Center will weigh how appropriate the suggested nominees are for the proposed program, as compared to similar proposals (with specific suggested nominees) received.
12. Amount of cost share.

GRANT PROPOSAL OUTLINE

Proposals and budgets should be e-mailed to the Grants Officer: Aletta Waterhouse, Program Administrator, Open World Leadership Center, at awat@loc.gov, or faxed to the Open World Leadership Center office at (202) 252-3464. Please contact Ms. Waterhouse 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 Ms. Waterhouse.**

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

All submissions must provide the following cover sheet:

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

All submissions must follow the outline below:

1. **Project Summary** – A narrative document of no more than four double-spaced pages providing the following information:

- Estimates of your hosting capabilities, i.e., number of host communities and number of participants (delegates and facilitators) to be hosted.
- Explanation of your programming capabilities, especially in the 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 and how results will be accomplished and reported.
- Examples of how your organization's hosting activities and past experience will be applied to recruiting host coordinators, presenters, and host families potentially interested in maintaining contact or developing joint projects with delegates.

2. **Proposed Hosting Themes –** For each proposed theme please submit:

- Schedule of proposed hosting dates
- 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 (e.g., simultaneous interpretation to allow delegate participation in a conference)

3. **Summary of your organization's past experience with similar programs**

4. **Statements of any unique qualifications for this program**

5. **Work Plan** – The work plan is a chronological outline that demonstrates your ability to administer the grant and meet all required deadlines, including those for reporting on results.

6. **Budget Submission** – The budget submission is the financial expression of your program plans as a partner in the Open World Program. Therefore, your budget submission needs to reflect your administration of a program that meets the proposed programming outlined above.

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

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

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

Sample Budget Submission:

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

PROPOSED BY:

_____

SIGNATURE PROGRAM OFFICER AND DATE

_____

SIGNATURE FINANCIAL/BUDGET OFFICER AND DATE

APPROVAL:

_____

Open World Leadership Center
GRANTS OFFICER

ANNEX I

Grant Administration Guidelines

1.1. Introduction

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

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

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

- 2 C.F.R. Part 215, "Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (OMB Circular A-110)

- 2 C.F.R. Part 220, "Cost Principles for Educational Institutions"(OMB Circular A-21)

- 2 C.F.R. Part 225, "Cost Principles for State, Local, and Indian Tribal Governments" (OMB Circular A-87)

- 2 C.F.R. Part 230, "Cost Principles for Non-Profit Organizations" (OMB Circular A-122)

- OMB Circular A-102, "Grants and Cooperative Agreements with State and Local Governments"

- OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations"

The full text of these authorities is available as follows:

- Code of Federal Regulations, Title 2, "Grants and Agreements" is available online from the National Archives and Records Administration via the Government Printing Office GPOAccess website at: www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1

- The OMB Circulars are available online from the OMB website at: www.whitehouse.gov/omb/circulars/index.html

- Copies of relevant authorities are also available from Open World upon request

1.2. Basic Grantee Responsibilities

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

1.3. Compliance with Federal Laws

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

a. Nondiscrimination. Grants are subject to the provisions of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 (as amended), Section 504 of the Rehabilitation Act of 1973 (as amended), the Age Discrimination Act of 1975 (as amended), and the regulations issued pursuant thereto. Therefore, no person

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

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

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

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

1.4. Grant Period and Extensions

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

established in the initial grant award if additional time is required to complete the original scope of the project with the funds already made available. A single extension that shall not exceed 2 months may be made for this purpose, provided it is made prior to the original expiration date. Grant periods will not be extended merely for using the unliquidated balance of project funds.

1.5. Key Project Personnel

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

1.6. Changes in Project Scope

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

1.7. Organizational Prior Approval System

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

1. the expenditure of project funds for items that, under the applicable cost principles, normally require prior agency approval;

2. the one-time extension of a grant period;

3. the incurring of project costs prior to the beginning date of an award; and

4. budget revisions that involve the transfer of funds among budget categories.

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

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

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

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

1.8. Activities Outside the United States

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

o Reporting Requirements

All grant applications must include an accounting of any administrative cost share that is provided. All organizations awarded grants by the Center will be required to submit the cost-share estimation form/s [illustrated in Annex VI] by March 31, 2009. See section 2.3 in Annex II for more details on cost share.

Each organization awarded a grant by the Center is required to submit **quarterly** Status of Funds reports (Standard Form 269A, provided by the Center) for each grant awarded. The quarterly reporting periods are: beginning of grant award – June 30, 2007; July 1–September 30, 2007; October 1–December 31, 2007; and January 1–March 31, 2008, if the grant has not been closed by March 31, 2008. The quarterly reports are due on July 10, 2007; October 10, 2007; January 10, 2008; and April 10, 2008. Failure to meet these deadlines will negatively affect consideration for future grants from the Center.

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

A final report and all final financial documentation shall be submitted to the Center by March 31, 2008, unless a later date is agreed to in writing by the Center.

ANNEX II

Grant Financial Guidelines

2.1. Allowable Costs

The reasonableness, allowability, and allocation of costs for work performed under a Center grant shall be determined in accordance with the applicable federal cost principles and the terms and conditions of the grant award. The complete official federal cost principles for nonprofit organizations are included in Annex IV.[12]

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

b. Travel Costs. Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by those who are on official business attributable to work under a grant. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs, or on a combination of the two, provided the method used results in charges consistent with those normally allowed by the grantee in its regular operation, as set forth in the grantee's written travel policy. Airfare costs in excess of the lowest available commercial discount or customary standard (coach) airfare

[12] The information in Annex IV may be superseded by changes in OMB regulations.

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.

2.2. Budget Revisions

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

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

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

2.3. Cost Sharing and Cost-Sharing Records

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

1. Are verifiable from the grantee's records;

2. Are not included as contributions for any other federally assisted program;

3. Are necessary and reasonable for the proper and efficient accomplishment of project objectives;

4. Are types of charges that would be allowable under the applicable cost principles;

5. Are used to support activities that are included in the approved project work plan;

6. Are incurred during the grant period.

Contributions such as property, space, or services that a grantee donates to a project are to be valued in accordance with the applicable federal cost principles and not on the basis of what would normally be charged for the use of these items or services. When cost sharing includes third-party in-kind contributions, the basis for determining the valuation of volunteer services and donated property or space must be documented and must conform to federal principles. Annex VI illustrates the cost-share estimation form [with instructions] that the Center will provide to grantees and local hosts to aid them in estimating cost-share totals. The form/s are due to the Center by March 31, 2009.

2.4. Payments and Interest

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

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

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

2.5. Financial Management Standards

Grantee financial management systems must meet the following standards:

a. Accounting System. Grantees must have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each federally sponsored project. Accounting records must contain information pertaining to federal awards, authorizations, obligations, unobligated balances, assets, outlays, and income. These records must be maintained on a current basis and balanced at least quarterly.

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

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

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

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

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

e. Budget Control. Records of expenditures must be maintained for each grant project by the cost categories of the approved budget (including indirect costs that are charged to the project), and actual expenditures are to be compared with budgeted

amounts no less frequently than quarterly. Center approval is required for certain budget revisions.

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

2.6. Record Retention and Audits

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

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

2.7. Equipment

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

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

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

2.8. Supplies

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

ANNEX III

Procurement Guidelines

3.1. Procurement Responsibility

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

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

3.2. Procurement Standards

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

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

b. Ethical Standards of Conduct. Grantees shall maintain a written standard of conduct for awarding and administrating contracts. No employee, officer, or agent of the recipient organization shall participate in the selection, or in the awarding or administration, of a contract supported by federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when any of the following have a financial or other interest in the firm selected for a contract: the employee, officer, or agent; any member of his or her immediate family; his or her partner; or an organization which employs or is about to employ any of the preceding.

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

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

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

(1) Placing qualified small, minority and women's business enterprises on solicitation lists;

(2) Assuring that these businesses are solicited whenever they are potential sources;

(3) Contracting with consortiums of small, minority-owned, or women's business enterprises, when a contract is too large for one of these firms to handle individually;

(4) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Department of Commerce's Minority Business Development Agency; and

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

3.3. Procurement Procedures

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

a. Solicitations. Solicitations for goods and services shall provide the following:

(1) A clear and accurate description of the technical requirements for the material, product, or service to be procured. In competitive procurements, such a description shall not contain features that unduly restrict competition.

(2) Requirements that the bidder/offeror must fulfill and all other factors to be used in evaluating bids or proposals.

(3) Whenever practicable, a description of technical requirements in terms of the functions to be performed or the performance required, including the range of acceptable characteristics or minimum acceptable standards.

(4) The specific features of "brand name or equal" descriptions that bidders are required to meet when such items are included in the solicitation.

(5) Preference, to the extent practical and economically feasible, for products and services that conserve natural resources, protect the environment, and are energy efficient.

b. Selecting Contractors. Contracts will be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration should be given to such matters as contractor integrity, the record of past performance, financial and technical resources or accessibility to other necessary resources.

(1) Some form of price or cost analysis should be made in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices and similar indicia, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability, and allowability.

(2) Procurement records and files for purchases in excess of the simplified acquisition threshold (currently $100,000) shall include the basis for contractor selection, justification for lack of competition when competitive bids or offers are not obtained, and the basis for award cost or price.

3.4. Contract Provisions

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

(1) Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and such remedial actions as may be appropriate.

(2) Termination for cause and for convenience by the grantee, including the manner by which it will be effected and the basis for settlement. In addition, these contracts shall also contain a description of the conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

(3) Access by the recipient organization, the Center, the Comptroller General of the United States, or any other duly authorized representatives to any books, documents, papers, and records of the contractor that are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions.

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

(1) Equal Employment Opportunity. All contracts awarded by the grantee and the grantee's contractors and subrecipients having a value of more than $10,000 must contain a provision requiring compliance with Executive Order 11246, entitled "Equal Employment Opportunity" as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR, Part 60).

(2) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352). Contractors who apply or bid for an award of $100,000 or more must file a certification with the grantee stating that they will not and have not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant, cooperative agreement, loan, or any other award covered by 31 U.S.C. 1352. Such contractors must also disclose to the grantee any lobbying that takes place in connection with obtaining any federal award.

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

3.5. Other Federal Guidance

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

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

ANNEX IV

Cost Principles

4.1. Introduction

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

4.2. Basic Definitions

Attachment A to the Circular describes

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

(1) Be reasonable for the performance of the award and be allocable thereto under these principles.

(2) Conform to any limitations or exclusions set forth in these principles or in the award as to types or amount of cost items.

(3) Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization.

(4) Be accorded consistent treatment.

(5) Be determined in accordance with generally accepted accounting principles.

(6) Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period.

(7) Be adequately documented.

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

(1) Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award.

(2) The restraints or requirements imposed by such factors as generally accepted sound business practices, arms-length bargaining, federal and state laws and regulations, and terms and conditions of the award.

(3) Whether the individuals concerned acted with prudence in the circumstances, considering their responsibilities to the organization, its members, employees, and clients, the public at large, and the federal government.

(4) Significant deviations from the established practices of the organization that may unjustifiably increase the award costs.

c. Allocable Costs. A cost may be allocated to the recipient organization's grant in accordance with the relative benefits received. A cost is allocable to a federal award if it is treated consistently with other costs incurred for the same purpose in like circumstances and if it:

(1) Is incurred specifically for the award.

(2) Benefits both the award and other work and can be distributed in reasonable proportion to the benefits received, or

(3) Is necessary to the overall operation of the organization, although a direct relationship to any particular cost objective cannot be shown.

(4) Any cost allocable to a particular award or other cost objective under these principles may not be shifted to other federal awards to overcome funding deficiencies, or to avoid restrictions imposed by law or by the terms of the award.

4.3. Potential Costs

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

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

- Advertising and public relations costs
- Advisory councils

X	3.	Alcoholic beverages
	4.	Audit costs and related services
X	5.	Bad debts
	6.	Bonding costs
	7.	Communication costs
	8.	Compensation for personal services
X	9.	Contingency provisions
	10.	Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement
	11.	Depreciation and use allowances
	12.	Donations to the grant project
	13.	Employee morale, health, and welfare costs and credits
X	14.	Entertainment costs
	15.	Equipment and other capital expenditures
X	16.	Fines and penalties
X	17.	Fund raising and investment management costs
X	18.	Gains and losses on depreciable assets
X	19.	Goods or services for personal use
X	20.	Housing and personal living expenses for organization employees
	21.	Idle facilities and idle capacity
	22.	Insurance and indemnification
X	23.	Interest
	24.	Labor relations costs
X	25.	Lobbying
X	26.	Losses on other awards
	27.	Maintenance and repair costs
	28.	Materials and supplies
	29.	Meetings and conferences
	30.	Memberships, subscriptions, and professional activity costs
X	31.	Organization costs
	32.	Page charges in professional journals
	33.	Participant support costs
	34.	Patent costs
	35.	Plant and homeland security costs
	36.	Pre-agreement costs
	37.	Professional service costs
	38.	Publication and printing costs
	39.	Rearrangement and alteration costs

40. Reconversion costs
41. Recruiting costs
42. Relocation costs
43. Rental costs
44. Royalties and other costs for use of patents and copyrights
45. Selling and marketing
46. Specialized service facilities
47. Taxes
48. Termination costs
49. Training and education costs
50. Transportation costs
51. Travel costs
52. Trustees

ANNEX V

Suspension and Termination

5.1. Suspension and Termination

a. Grants may be terminated in whole or in part:

- by the Center if the grantee materially fails to comply with the terms and conditions of an award;

- by the Center with the grantee's consent, in which case the two parties shall agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion of the project to be terminated; or

- by the grantee, upon sending to the Center via fax or e-mail written notification—followed by signed documents sent via overnight or express delivery PER ARRANGEMENTS MADE BY CONTACTING OPEN WORLD PROGRAM ADMINISTRATOR ALETTA WATERHOUSE 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.

5.2. 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 PROGRAM ADMINISTRATOR ALETTA WATERHOUSE AT (202) 707-8943] no later than 30 days after the date of the termination notice and should be addressed to the Chairman of the Board, Open World Leadership Center, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-9980, with a copy sent via overnight or express delivery [PER ARRANGEMENTS MADE BY CONTACTING THE OFFICE OF THE INSPECTOR GENERAL AT (202) 707-6314] to the Inspector General, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-1060.

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

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

ANNEX VI

Cost-Share Estimation Form and Instruction Sheet

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

Open World Leadership Center

Tel 202.707.8943 Fax 202.252.3464

REQUIRED SECTION	Column 1 # of Units		# of Participants		Column 2 Unit Value		Column 3 Cost Share
Homestay value:							
Number of nights with home hosts:		X		X	$60.00	=	$0.00
(www.gsa.gov/perdiem)							
Number of donated meals:							
Breakfasts:		X		X	$7.00	=	$0.00
Lunches:		X		X	$11.00	=	$0.00
Dinners:		X		X	$13.00	=	$0.00
(www.gsa.gov/perdiem)							
			Price per mile				
Volunteer/host driving in their own cars:							
Total miles all drivers:		X	$0.45			=	$0.00
(http://www.gsa.gov/)							
			Cost per hour				
Volunteer time:							
Unpaid interpreter hours:		X	$5.15			=	$0.00
Unpaid driver hours:		X	$5.15			=	$0.00
Other unpaid volunteer hours:		X	$5.15			=	$0.00
(http://www.dol.gov/esa/minwage/america.htm)							
			Cost per hour				
Presenter time:							
Hours delegates spent at appointments:		X	$5.15			=	$0.00
					Subtotal Required Cost Share:		$0.00

OPTIONAL SECTION

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

Item Description	Value
Subtotal Optional Cost Share:	$0.00

IDENTIFYING INFORMATION:

Grand Total Cost Share:	**$0.00**

Open World Cost-Share Estimation Form
Instruction Sheet for Local Host Coordinators

The Open World Cost-Share Estimation Form is designed to be a quick electronic tool for calculating in-kind contributions made during hosting. Although the form can be printed and filled out by hand, Open World recommends using it on-screen, as the Excel file has all of the formulas loaded into it. Once filled out, the form can either be e-mailed to your Grantee along with all other final financial documentation, or printed and mailed. Sending this documentation via e-mail is preferred. All cost-share estimation forms are due to the Center by March 31, 2009.

Note that the form has two sections. The "Required Section" must be filled out in its entirety. The default amounts provided in Column 2 are only estimates—please use the web links provided to find the amounts that apply to your state. There is no need to provide official documentation supporting the dollar amounts entered. The "Optional Section" is provided for you to list any other relevant in-kind contributions you choose. If you have any questions about these instructions, please contact Aletta Waterhouse at (202) 707-8943 or awat@loc.gov (please put COST SHARE in the subject line).

INSTRUCTIONS

Required Section:

- Fill in Column 1 with the requested units.
- Fill in the number of participants (delegates plus facilitator[s]).
- Use the provided web links to check whether you may claim a higher unit value than the default value in Column 2 (based on your state). If you can, plug the higher value into the corresponding box.
- Column 3 will automatically populate, as will the "Subtotal Required Cost Share" amount.

Optional Section:

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

Identifying Information:

- List your name and the local host organization's name. If someone else filled out the form, please also provide his/her name and affiliation with the local host organization.
- List the arrival date and theme of your delegation.

ANNEX VII

Glossary of Terms

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

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

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

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

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

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

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

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

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

Grants Officer - The Center's Program Administrator or other party 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; usage or rental fees for equipment or property acquired under a grant; admission fees; broadcast or distribution rights; and royalties on patents and copyrights.

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

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

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

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

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

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

Suspension -

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

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

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