



OPEN WORLD

LEADERSHIP CENTER

OPEN WORLD PROGRAM OPEN WORLD LEADERSHIP CENTER

2013 GRANT PROCEDURES

Introduction

The congressionally sponsored Open World program brings emerging leaders from participating countries to the United States in order to give them firsthand exposure to the American system of participatory democracy and free enterprise. The program allows American leaders and their counterparts from Russia, Ukraine, Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Serbia, Tajikistan, and Turkmenistan to engage constructively with one another in a manner that complements the U.S. Congress's public diplomacy efforts on timely issues such as accountable governance, human-trafficking prevention, young leadership development, and rule of law. The principles of accountability, transparency, and citizen involvement in government are among the concepts emphasized by the Open World program. Today, Open World has more than 18,300 alumni and a network of 7,100 U.S. host families. The program is administered by the Open World Leadership Center (the Center), an independent entity established in the U.S. legislative branch in 2000. The program serves Members of Congress—and their constituents and staff—and demonstrates to delegates the role of the legislative branch in a mature democracy, with the goal of helping these delegates strengthen legislative bodies—and citizen involvement in the legislative process—in their own countries.

Open World's mission is:

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

In light of this mission, Open World will continue to bring emerging leaders from this region to the United States, while endeavoring to foster lasting ties that result in ongoing cooperation and collaboration. This solicitation seeks proposals to host delegates from the following countries: Russia, Ukraine, Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Serbia, Tajikistan, and Turkmenistan. Open World will give greater weight to those 2013 hosting proposals that (a) give delegates significant exposure to federal, state, county, and local legislators, the structure and functions of legislatures, and the legislative process; (b) are likely to produce new partnerships or further existing ones; (c) include specific follow-on project activities and/or significant projected results, such as

plans for future reverse travel;¹ (d) include collaborative programming with American young professionals organizations; and (e) provide for significant cost-sharing of the program. Some hosting proposals will be judged specifically for their ability to program as described in (a) above, especially in a state capital when the state legislature is in session (usually the first three months of the year).

The Open World program was originally established in 1999 as a Library of Congress–administered pilot project to give emerging Russian leaders firsthand exposure to the American system of democracy through visits to local governments and communities in the United States. Open World began expanding to other countries in 2003. To date, more than 18,300 current and future leaders—from virtually all administrative regions of the participating countries—have taken part in Open World. The average age of delegates is 38; roughly half are women.

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

The Center intends to award grants for the hosting of 200 delegations under these guidelines for 2013. In addition, the Center is looking for illustrative proposals for up to 11 delegations of Parliamentarians from some of the countries listed in this solicitation. Each delegation will consist of five delegates² and one facilitator.³ (Please see the table on pp. 38–39 for a listing of these delegations by country and travel date.)⁴ The Center invites U.S.-based organizations with either established foreign visitor programs or demonstrated ability to host foreign visitors to propose hosting from one to 200 delegations from the participating countries. Those organizations that have projects and/or partnerships with their colleagues in participating counties are strongly encouraged to offer to defray and/or cover some of the costs of such programming by either covering some of the hosting costs themselves or having their proposed delegation members prepared to cover all or some part of their travel or other programmatic costs.

¹ Reverse travel is when someone affiliated with an Open World U.S.-based exchange travels to a participating Open World country and meets with alumni during this visit. In nearly all instances, Open World cannot fund reverse travel or follow-on activities.

² Delegations from Turkmenistan will typically have four delegates plus one facilitator.

³ Facilitators are young co-nationals of the delegates, with excellent English skills and, usually, previous experience living in the United States. They will provide after-hours interpretation support, especially for meals and cultural events, along with facilitating logistical and cross-cultural matters.

⁴ This table only refers to the 201 delegations referred to in the first sentence of this paragraph, and not the potential Parliamentary delegations, the dates and make up of which are not determined at this time.

Grant applications in response to this solicitation are due on a staggered basis. Applications for Serbia programming are due Friday, September 7, 2012. Applications for all other country programming in this solicitation are due Friday, October 12, 2012. Please see pp. 47-48 for instructions on submitting applications.

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

2013 GRANT PROCEDURES

Grants Overview

The **2013 Open World Program** will focus on emerging political, civic, and community leaders from the national, regional, and local levels, and will put a strong emphasis on (1) acquainting participants with American lawmakers and legislative functions and processes at different levels of government; (2) helping develop new, or further existing, networks between delegates and their U.S. counterparts; and (3) hosting delegates ages 25 to 35.

While some candidates are nominated by international organizations, most are nominated by U.S. and participating-country agencies and institutions. The Center looks for talented leaders who are relatively young (no older than age 45), and, as noted above, in 2013 the Center will continue to focus on those ages 25 to 35. Candidates are vetted using the following criteria: demonstrated leadership skills and a commitment to building a civil society; extent of activities in one or more of the thematic areas for Open World exchanges; participation in the political process, especially as legislative officeholders, candidates, or staff; community involvement or volunteer work; and established U.S. ties or the potential to forge such ties. Ideal nominees will have no previous travel to the United States. English-language ability is not required.

Delegates and facilitators will be invited for up to 10-day exchanges⁵ in the United States. Homestays with American host families will again be an integral element of the program.

The Center plans to host up to 1,193 participants⁶ (200 delegations) under these guidelines⁷, with up to 540 participants (90 delegations) coming from Russia, up to 294 participants (49 delegations) from Ukraine, up to 12 participants (2 delegations) from Armenia, up to 66 participants (11 delegations) from Georgia, up to 48 participants (8 delegations) from Kazakhstan, up to 42 participants (7 delegations) from Kyrgyzstan, up to 48 participants (8 delegations) from Moldova, up to 54 participants (9 delegations) from Serbia, up to 54

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

⁶ The term "participants" includes delegates and facilitators.

⁷ These numbers do not include potential parliamentary delegations for which illustrative proposals are welcome, but should not be integrated into the proposal in response to this solicitation.

participants (9 delegations) from Tajikistan, and up to 35 participants (7 delegations) from Turkmenistan. **Final 2013 hosting numbers will depend on available funding.**

Grant Guidelines Contents

This document contains, in order:

- Grantee eligibility requirements and programming priorities
- Open World objectives
- Hosting themes
- Proposed 2013 travel dates
- Grantee programming/administrative requirements
- Local-hosting document deadlines
- Results tracked by Open World
- Key dates and deadlines
- Criteria for evaluating grant applications
- A grant proposal outline
- Financial procedures
- Appendixes
 - Procurement guidelines
 - Cost principles
 - A form and instructions for reporting cost share
 - A glossary of terms

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

Eligibility for an Open World Grant and Programming Priorities

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

- Must demonstrate that the applicant organization has the ability, experience, and expertise to provide excellent programming in the Hosting Theme(s) for which it is applying and/or will establish cooperative agreements with expert local host organizations that can do so.⁸

⁸ Local host organizations for past Open World exchanges have included local affiliates of grantee organizations; colleges and university-based centers; and civic associations. Each local host organization designates a local host coordinator who will have overall responsibility for the eight-day community visit.

- Will be given preference if it demonstrates that the applicant organization has the ability to provide programmatic activities with federal, state, county, and local legislators and legislative staff that will enhance the delegates' understanding of the legislative process and the structure and functions of American legislative bodies.
- Will be given preference if it is likely to produce new partnerships or further existing ones.
- Will be given preference if it includes ideas for specific follow-on project activities and/or significant projected results, such as plans for future reverse travel.
- Will be given preference for a grant award if it demonstrates how the applicant organization will involve one or more organizations composed of young American professionals⁹ in providing some of the delegates' professional, networking, and cross-cultural programming. To the extent possible, such young professionals organizations should be focused on activities relevant to a delegation's Hosting Theme.
- Will be given preference for a grant award if its accompanying budget submission includes a significant cost share for Open World delegations, such as paying all or a significant portion of local hosting expenses, or all or portions of airfares.
- Will be given preference for a grant award if it demonstrates how results (as defined on p. 45 below) will be accomplished, particularly if this programming would further ongoing or proposed projects/partnerships with the applicant organization or one of its proposed local host organizations.

The Center will permit (on a very limited basis) organizations awarded 2013 Open World grants under these guidelines to nominate candidates for competitive delegate selection for exchanges that will support the organizations' ongoing or proposed projects/partnerships. Any applicant organization that wishes to nominate candidates must include in its proposal a clear strategy for nominations that demonstrates the organization's ability to identify quality candidates who match Open World's criteria, including Open World's emphasis on young professionals ages 25 to 35. If the applicant organization plans on having one or more participating-country organizations propose candidates for a specific hosting program, the rationale for using each organization, and each organization's complete contact information, must be included in the proposal. The nominations strategy must also demonstrate that the candidates will meet Open World's selection criteria, enhance a community partnership and/or project, and/or foster long-term collaboration with U.S. counterparts.¹⁰ It is also encouraged that delegates chosen to participate in such ongoing project or partnership programming pay some or all of their program related travel and pre-

⁹ Types of organizations include young-adult chapters of professional and business organizations; young-alumni associations, and young-adult branches of charitable organizations.

¹⁰ If an applicant organization anticipates that one or more of its prospective subgrantees will want to nominate candidates, its proposal should include the information requested in this paragraph for each such prospective subgrantee.

departure orientation expenses. In these cases, such cost-share information should be included in the nominations strategy for that project.

Any candidates nominated by grantees must submit Open World's standard delegate application form and go through the same competitive, transparent vetting process as other nominees for the program. Open World will closely coordinate the nomination process with the relevant grantees and the logistical contractor.¹¹ Open World reserves the right to supplement any delegation of grantee-nominated delegates with one or more delegates from the general pool of finalists.

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

Objectives

Open World delegates include some of the participating countries' most dynamic, highly educated emerging leaders, who are eager to share their experiences with Americans for a robust and mutually beneficial exchange of ideas—an element critical to our programming. The Open World program is designed to ensure that delegates have the opportunity to:

- Develop an understanding of the universe of people who interact with their American professional counterparts. For example, a delegation of mayors and other city officials might meet with the host community's mayor, city manager, city council members, mayor's office staff, key departmental staff, and local political reporters.
- Share their professional expertise through planned formal presentations, panel discussions, and/or roundtables with American counterparts and contacts, and present information about their country's culture, history, and current affairs to members of their host community.
- Develop an understanding of the role of the U.S. Congress and state, county, and local legislatures in shaping, overseeing, and/or funding programs and institutions connected with the applicable Open World Hosting Theme (e.g., accountable governance, social issues, or rule of law).
- Develop an understanding of how citizens and interest groups work to affect the legislative process (at the federal, state, county, and local levels) on issues related to the delegates' Hosting Theme.

¹¹ The Open World Leadership Center will serve as the logistical contractor for the delegations from Armenia and Turkmenistan, and possibly for a limited number of delegations from one or more of the other countries covered by this solicitation.

- Network with American professionals and hosts who are interested in maintaining contact beyond the eight-day community visit for ongoing cooperation and collaboration.
- Exchange views with influential representatives of appropriate federal, state, county, and local government agencies; legislators; civic organizations and other non-governmental organizations (NGOs); and the business and education communities.
- Participate in community events to gain an understanding of the role of community organizations' interactions with government.
- Receive an overview of the relationships among:
 - a) the executive, legislative, and judicial branches of state, county, and local government;
 - b) the business and civic communities and government; and
 - c) individual citizens and government.

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

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

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

Hosting Themes

The **2013 Open World Program** will offer a different set of themes for each participating country. Country themes were developed in close consultation with the U.S. Embassy in each participating country, NGOs, experts on the region, and participating-country

organizations. Delegates will be selected based on their activities and background in one or more of the themes.

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

Center staff oversee the process of forming and placing Open World delegations. Center staff and the Center's logistical contractor will work to place delegates in host communities that are comparable to their own communities and that can offer experiences and information directly relevant to the delegates' interests. Center staff and the Center's logistical contractor will also work closely with grantees on matching specific delegates or specific types of delegates with approved grantee programs. Wherever possible, these placements will be based on already-established ties or plans specified in grant applications to forge new ones. Center staff and the Center's logistical contractor will also work with grantees to ensure that host-community visits include opportunities for delegates to give voluntary presentations and to meet with lawmakers and legislative staff.

The host-community visit should give delegates firsthand experience with their professional counterparts' daily work routines and offer a view of American life through community and cultural activities and homestays. All programming, regardless of Hosting Theme, should include extensive exposure to legislative processes, and how these processes affect the Hosting Theme. The delegates will prepare for their host-community activities by attending a pre-departure program (usually held in their home country's capital city) followed by an arrival orientation program conducted in Washington, DC. If feasible, grantees will meet with their delegates and make brief presentations on their organizations during the Washington orientation. The orientation program will review the Open World program's goals and provide an overview of the delegations' Hosting Theme(s); federal, state, and local governments and their interrelationships; a general overview of the federal legislative process; the balance of powers; current issues in U.S. governance and politics; the rights of individual citizens; and American culture. Delegates will be introduced to the Center's initiatives to foster ongoing professional and community networks, including Open World's outreach efforts on social network sites such as Facebook (<http://www.facebook.com/openworldleadershipcenter2>). The delegates will also learn about American home life and practices to prepare them for their homestays.

The host community visit must include an appropriate opportunity or opportunities for the delegates to present the professional and cultural aspects of their life to their colleagues and the community at large. The professional and cultural programming should be interactive

in nature to ensure that the delegates have the opportunity to discuss their professional responsibilities and aspirations, the status of their theme/subtheme in their country, as well as their country's cultural milieu.

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

Applicant organizations are asked to indicate in their proposals for which countries, themes and subthemes, and dates they seek to host. (See instructions beginning on p. 47.) Proposed travel dates can be found in the table on pp. 38–39.

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

Russia

1. Accountable Governance

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

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

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

As another function of governance, the Russian government has in recent years created the Presidential Commission for Modernization and Technological Development of Russia's Economy and dedicated significant resources to creating the Skolkovo Innovation Center. These initiatives have been undertaken to provide a catalyst for Russia's future economic growth, a platform for expanded international collaboration, and a way to encourage foreign investment in Russia's development of new technologies. Open World is prepared to further this effort by providing programming to Russia's emerging innovators that exposes them to efforts in the United States to foster innovation and economic advancement, such as technology parks, university research centers of excellence, and other institutions working in such fields as nanotechnology, alternative energy, computational advancement, and

medical innovation. Such programming will also introduce delegates to venture capital strategies and various forms of public-private partnerships, and provide opportunities for American academics, entrepreneurs, and others interested or involved in technological development in Russia to meet with the delegates.

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

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

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

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

2. Accountable Governance – The Role of Legislatures

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

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

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

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

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

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

3. Judicial Rule of Law

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

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

independence, judicial ethics, juvenile justice practices, financial dispute resolution, bankruptcy proceedings, and judicial administration.

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

Target Group: Judicial rule of law delegations will be composed entirely of judges¹² or be a mix of judges, prosecutors, defense attorneys, and other legal professionals.

4. General Rule of Law¹³

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

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

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

¹² The hosting locations for the Russia judicial rule of law program will, for the most part, be determined by the Open World Leadership Center in cooperation with the U.S. Judicial Conference's Committee on International Judicial Relations (IJRC), and the professional hosting program will be organized by a host judge. Each U.S. host judge will be matched with a local host organization that will provide logistical and administrative support and assist with program planning. An applicant organization is encouraged to indicate in its proposal how many such delegations it wishes to assist. Please contact Open World Program Manager Jeffrey Magnuson at jmag@openworld.gov for more information.

¹³ Please note that Russian general rule of law hosting can occur on an accountable governance date, on the social issues – social services date, or, if space permits, on a judicial rule of law date.

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

5. Social Issues – Health-Care Provision

Rationale: Russia's high rates of chronic and communicable diseases, including cardiovascular disease, diabetes, HIV/AIDS, and cancer, highlight the need for preventive education, the promotion of healthy lifestyles, early diagnosis, better maternal and perinatal care, and affordable/accessible medical treatment. Inadequate health-care financing and outdated medical equipment, facilities, and practices have also contributed to a health-care crisis in Russia. Building Russian-American cooperation in the medical field can benefit both countries and improve the response to global health threats. Programs in this subtheme should expose delegates to the delivery of quality coordinated services to patients. Programming would include visits to major medical centers; community-based clinics; county health departments; women's health centers; maternal, perinatal, and pediatric care facilities; and volunteer organizations in areas of particular relevance to a delegation. Delegates should also share their own expertise with their counterparts and discuss health-care legislation and funding with federal and state lawmakers if possible, or their staff.

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

6. Social Issues – Higher Education and Innovation

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

entrepreneurship, and the role of public-private partnerships in developing innovative education models.

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

7. Social Issues – Social Services

Rationale: Although Russia has recently seen some gains in life expectancy, the country is still facing a demographic crisis with continued decrease in the overall population size and life expectancy lower than in Western countries. At the same time, more responsibility for social services delivery has been shifted from the national government to regional and local governments, without a corresponding transfer of funds. Challenges that American communities face—including substance abuse, the care and inclusion of people with mental and physical disabilities, unstable home environments, abandoned and missing children, homelessness, and elder care—have also affected many Russian communities. Open World will invite mixed delegations of legislators, executive branch and NGO officials, and other community leaders to the United States to see how their counterparts here work to address social services delivery and funding issues. Programs should enable delegates to learn on-site about the operations, structure, and funding of leading public and private social service agencies; job-shadow their professional counterparts; meet with legislators and legislative staff to discuss social services issues, legislation, and funding; and meet with NGO leaders who work with or advocate for special populations (e.g., disabled, elderly, or economically disadvantaged citizens; adoptive families and children in the foster care system; abused, neglected, or abandoned children; victims of domestic violence; substance abusers; and those with life-threatening diseases and conditions). Host organizations are encouraged to schedule an overview session at the beginning of the community visit to provide background on the roles that Congress, state and local legislatures, government agencies (federal, state, and local), and nongovernmental organizations play in funding and providing social services in the host community.

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

Ukraine

1. Accountable Governance

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

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

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

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

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

2. Accountable Governance – The Role of Legislatures

Rationale: Regional and local legislatures (radas) in Ukraine, while limited in their authority, create laws that both establish greater local governmental autonomy and provide a legal structure for basic public services at the local level. While legislative bodies in

Ukraine do not play as large a role in their country's governmental system as legislatures play in that of the United States, they are increasingly involved in deciding how to (a) raise and distribute revenue, and (b) settle land and property ownership issues, while taking on other governmental responsibilities that have devolved from the federal to the regional level.

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

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

Program Structure: Most programming will take place in a state capital or other community during a legislative session, with a focus on the role of the legislative branch in governance and the formulation of public policy. Open World seeks proposals for two types of delegations: one type would consist of legislators who share an interest in a particular public policy issue, such as health care or education; the second type would include legislators, legislative staff, and legislative administrators. Programming for the legislator delegations would allow the delegates to meet with their American counterparts; attend committee meetings and legislative sessions; and learn how their counterparts interact with relevant state executive agencies, advocacy groups, and constituents. Programming for the "mixed" delegations of legislators, legislative staff, and legislative administrators would focus on the operations of a legislature, on how legislatures receive independent information and analysis to support decision-making, and on constituent services.

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

and other administrative issues with legislative officials; and meet in-state with Members of Congress and/or their field staff. It is also expected that each legislative host program will have a legislator pay a significant lead role in the hosting.

3. NGO Development

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

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

4. Judicial Rule of Law

Rationale: Although progress has been made in recent years toward establishing the legal basis for an independent judiciary in Ukraine, clear hurdles remain to separating the judicial branch from the executive branch and establishing a genuinely independent judiciary. Concepts like judicial independence, the adversarial process, equal protection, and equal access to justice are still nascent in Ukraine. In addition, information about judicial qualification processes, judicial training, and effective ways of fighting judicial corruption and white-collar crime would be timely and useful. Open World's previous Ukrainian rule of law exchanges allowed judges at all levels of the Ukrainian judiciary to examine judicial practices in the United States, and this programming will continue in 2013. Delegates should explore U.S. approaches to court proceedings, the jury-trial process, the adversarial

system, plea-bargaining, alternative dispute resolution, law enforcement and corrections practices, and the legislative process. Other possible topics include judicial independence, judicial ethics, juvenile justice practices, financial dispute resolution, bankruptcy proceedings, and judicial administration. Delegations should meet with federal, state, and/or (if applicable) local legislators or their staff to discuss judiciary-related legislative issues and funding.

Target Group: Most delegates for Open World’s judicial rule of law program¹⁴ will be judges from local courts and regional appellate courts, although some will come from national-level courts. These delegations are usually hosted by a federal or state judge in a program that emphasizes judge-to-judge activities. Other judicial delegations may be made up of judges and non-judges for exchanges focused on such issues as court management and media-judicial relations.

5. General Rule of Law

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

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

6. Social Issues – Secondary and Higher Education and Innovation

Rationale: Ukraine is a highly literate society with a strong and proud history of education at the elementary and secondary levels, although the level of education in metropolitan areas is generally higher than that in rural areas. The country has made priorities of ensuring equal access to a quality education for rural and low-income students and enhancing the professionalism of educators. Open World’s 2013 Ukraine education and innovation programming will focus on educators from the secondary and college/university levels, and these programs should explore transparent and standardized testing, credentialing, teacher training (pre-service and in-service), school performance monitoring, and creating, selecting, and distributing quality educational materials. Open World delegates from the federal, regional, and local levels, together with their American

¹⁴ The hosting locations for the Ukraine judicial rule of law program will, for the most part, be determined by the Open World Leadership Center in cooperation with the U.S. Judicial Conference’s Committee on International Judicial Relations (IJRC), and the professional hosting program will be organized by a host judge. Each U.S. host judge will be matched with a local host organization that will provide logistical and administrative support and assist with program planning. Applicants are encouraged to indicate in their proposal how many such delegations they wish to assist. Please contact Open World Program Manager Jeffrey Magnuson at jmag@loc.gov for more information.

counterparts, will examine the United States' education system and the many models it provides for preparing young people for their future. Delegates will explore the community college as an effective model for remedying knowledge and skills gaps created by a changing global economy. Some delegations under this subtheme will explore the role of universities and research institutions in promoting innovation and entrepreneurship, and the role of public-private partnerships in developing innovative education models.

Target Group: Secondary and higher educational delegates might include federal, regional and local executive-branch officials and legislators involved in education policy and reform, school administrators, administrators of institutions of higher education, educators in leadership roles, NGO leaders, and journalists, and education professionals active in promoting standardization and transparency in education. This theme will also include education professionals from both the secondary and higher education spheres from the categories listed above who are looking at issues relating to fostering innovation and entrepreneurship in academia.

Armenia

1. Accountable Governance – Local Governance and Meeting Constituent Needs

Rationale: Since the *Law on Local Self-Government* was passed in 2002 by the Assembly of the Republic of Armenia, both urban and rural communities continue to build their capacity to manage government finances and provide services to their constituents. Armenia's eleven provinces are divided into communities that decide how to form their own municipal or inter-municipal governments. The U.S. program will provide an opportunity for regional and municipal government representatives, including representatives from small cities/towns, to see how citizens may participate in decision-making at the local level by participating in public hearings, meetings, and referenda. Such programming would also provide insight as to how citizens can advocate for improvements through legislative bodies, and by trying to influence the regulatory process at all levels of governance, especially the local level.

Target Group: Regional government representatives, with a focus on small city mayors.

2. Accountable Governance – NGO Management and Civic Participation

Rationale: The *Law on Local Self-Government* allows citizens to attend community council sessions and draft resolutions for consideration by their community councils, but few citizens are aware of their rights and the procedures for availing themselves to these rights. In this regard, the citizens of Armenia are not well aware of the role that non-governmental organizations can play in advocating on their behalf. The U.S. visit for this programming will expose community leaders to how NGOs work, communicate, and, sometimes collaborate with governing bodies to identify and address problems in the community, and advocate for improvements.

Target Group: Civic leaders and leaders of non-governmental organizations.

Georgia

1. Accountable Governance – Community Engagement

Rationale: There is an ongoing need for strong, community based advocacy organizations outside of Tbilisi that can successfully represent the needs of the citizenry to assure the provision of social services, hold local governments accountable, and advocate for community development projects. Through this program, representatives of Georgian community based advocacy organizations will meet with their U.S. counterparts to see how local non-profit advocacy organizations in the United States organize advocacy campaigns, mobilize community support for various issues, hold government officials accountable, and raise funds to support their activities.

Target Group: Leaders of community based advocacy organizations.

2. Accountable Governance – Electronic and Print Media

Rationale: A robust, transparent, and independent media sector has not yet developed in Georgia. While television is the most important source of information for Georgians, a talent pool and market is developing using modern media techniques in both print and electronic media. Representatives of print and other media outlets need to improve their investigative and political-reporting skills, their coverage of changing political alliances and politicians' reactions to constituent concerns, and their analytical reporting on crucial social issues such as health, housing, and education. This programming will concentrate on exposing delegates to the watchdog role that a robust media plays, to investigative journalistic practices, and to online sources of in-depth news and political coverage.

Target Group: Print and electronic media professionals, and NGO leaders working to develop a robust media in Georgia.

3. Accountable Governance – Municipal Development

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

the effectiveness of the provision of services, and the organization and accessibility of public records.

Target Group: Officials from the Ministry of Justice, municipal legislators, mayors, city managers and other top city administrators, and media and/or civil society NGO leaders who are interested in the delivery of services at the municipal level.

4. Accountable Governance – Parliamentary Staffers

Rationale: Georgia recently opened its new Parliament building in the city of Kutaisi, about 150 miles to the West of the capital city of Tbilisi, and a new Parliament is to be elected in October 2012. Reports indicate that a very large number of staff personnel are being hired, and some long-term staff from Tbilisi are relocating. This will be a critical time to identify and train staffers as Georgia's Parliament is in transition, and a strong backbone of staff support will be greatly needed. The U.S. program should acquaint Georgian parliamentary staffers with the workings of legislative bodies in the United States, on both the federal and state level, and discuss such issues as best legislative practices and processes, transparency in legislation, and coordination between legislative staffers.

Target Group: Key staff members of the Georgian Parliament.

5. Rule of Law – Judicial Practices and Ethics

Rationale: Although the Georgian judiciary has made tremendous progress in recent years on judicial independence and court administration, there is still much room for improvement, especially with regard to judicial ethics and international standards of conduct. Programming will expose judges from Georgia to the Code of Conduct by which U.S. federal judges must abide. The code “provides guidance for judges on issues of judicial integrity and independence, judicial diligence and impartiality, permissible extra-judicial activities, and the avoidance of impropriety or even its appearance.”¹⁵ This program will also allow Georgian judges to observe and discuss how cases are processed, hearings are conducted, interactions between judges and other legal professionals are handled, and decisions are made (including in high-profile cases) in U.S. courts.

Target Group: Judges.

6. General Rule of Law

Rationale: The judicial reforms enacted in recent years in Georgia demand improvements in legal education and practice and a redefinition of the role of the judiciary in civil society. Greater availability of legal services is badly needed by the populace. Appropriate activities for such delegations include observing court proceedings and press briefings; meeting with judges and court administrators; visiting family and juvenile courts, law schools, law firms, corrections facilities, media outlets, legal advocacy NGOs, and state legislatures; and taking workshops on courtroom technology.

¹⁵ See <http://www.uscourts.gov/RulesAndPolicies/CodesOfConduct.aspx>.

Target Group: Law school faculty, judicial educators, legal specialists from NGOs and the private sector, legislators and legislative experts, lawyers, court administrative staff, court press officers, and legal reporters.

7. Social Issues – Child Welfare Services

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

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

8. Social Issues – Higher Education and Innovation

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

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

9. Social Issues – Societal Inclusivity

Rationale: Georgia’s population is made up of many different ethnic groups, including Azeris, Armenians, and Kurds, with ethnic Georgians comprising the majority. Members of the country’s minority groups often find themselves at the bottom of the social ladder, and many ethnic Georgians regard them with suspicion or even outright distrust. Since gaining independence and joining international organizations such as the Organization for Security and Co-operation in Europe (OSCE) and the Council of Europe, Georgia has gradually modernized its legal system and improved its compliance with international norms of human rights,

including the protection of the human rights of ethnic minorities. More needs to be done to enable minorities to participate fully in Georgian community and economic life, including expanding Georgian-language comprehension. The U.S. program should expose participants to social-services delivery to ethnic minorities; national and community organizations dedicated to protecting civil rights; and programs for teaching English as a second language.

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

10. Social Issues – Young Researchers (International Relations/Think Tanks)

Rationale: In recent years, the Government of Georgia has made significant efforts to build the long-term institutional capacity needed to better manage its education system. Noticeable progress has been made to Georgia's system of higher education as a result of the reform process by policies that have led to some decentralization and enhanced accreditation policies. It is important now that a cadre of scholars working within the reformed Georgian education system gain broader exposure, and improve their skills. The program for young researchers for Georgia is aimed at exposing these scholars to higher education policy, management, and processes in the United States, and to provide a broad overview of the role of academia in building society and having an impact on policymaking in the international arena.

Target Group: Young academics/researchers active in the higher education system in Georgia; academics working in the field of international affairs and policymaking in that area.

Kazakhstan

1. Accountable Governance – Environmental Leaders

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

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

2. Accountable Governance – Civil Service Reform

Rationale: Current economic and political conditions demand that government streamline and increase the effectiveness of public agencies, in part through creative management and the use of social-networking websites and other Internet-based technologies. Several sectors of the Kazakhstan government would benefit from a program that allows officials to explore how government agencies in the United States are striving to improve their performance and provide better service to the public. Programs should provide delegates with exposure to how various government services, such as the issuing of licenses and the granting of permits, are provided in the United States, with an emphasis on how information technology is being used to improve the effectiveness of the provision of such services. In the United States, delegates will be introduced to the E-Government Act of 2002, and will see how different levels of government (sometimes in partnership with private entities) provide information electronically to the public, how personal privacy is safeguarded, and how government conducts its business virtually.

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

3. Accountable Governance – Agricultural Diversification

Rationale: Agriculture remains a small part of Kazakhstan's economy, contributing under ten percent to the country's GDP. With little arable land, Kazakhstan's agricultural sector relies mostly on the farming of wheat, uses out-of-date agricultural techniques, and improperly irrigates its land. The lack of agricultural diversification in Kazakhstan threatens both the soil and the economy. The delegates for this program will learn about the experience gained in the United States about agricultural diversification and the role of the government and the private sector in promoting diversification. The delegates will also explore land-management practices, crop rotation strategies, and irrigation methods.

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

4. Judicial Rule of Law

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

Target Group: Regional-level judges.

Kyrgyzstan

1. Accountable Governance – Investigative Journalism

Rationale: Kyrgyzstan needs a larger corps of professional investigative journalists, especially for corruption investigations. This theme will enable delegates to study and observe how journalists from all types of media outlets in the United States discover, investigate, and effectively report on corruption and other illegal activity. Such programming will also include exposure to such aspects of journalists' work as research methodologies, the finding and use of sources, the legal issues that investigative journalists face, and how the general public's support for such reporting is earned and maintained.

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

Target Group: Journalists and other representatives of media outlets.

2. Accountable Governance – Ethnic Reconciliation

In June 2010, the southern region of Kyrgyzstan, particularly the cities of Osh and Jalal-Abad, experienced an outbreak of clashes between ethnic Kyrgyz and Uzbeks in aftermath of the removal of President Bakiyev. The clashes killed up to 2,000 people, mostly Uzbeks, and another 100,000 were displaced. Since then, there have been no new outbreaks of violence, but a March 2012 report published by the International Crisis Group stated that ethnic tensions continue largely due to state neglect and the nationalist policies of the political and social leaders in the southern regions. The U.S. program should expose participants to how social-services are delivered to ethnic minorities and introduce them to the leaders and work of national and community organizations that are dedicated to protecting civil rights, promoting conflict resolution, and fostering interethnic harmony.

Target Group: Community religious leaders, NGO leaders, government officials, legislators, and leading minority-group representatives working in the area of societal inclusivity.

3. Accountable Governance – Parliamentary Staffers

Following the overthrow of President Bakiyev in April 2010, the interim government wrote a new Constitution establishing Kyrgyzstan as a parliamentary democracy. In order for this new parliament to establish itself as a functioning and effective legislative body, highly-skilled parliamentary staff members are needed to ensure its smooth operation. The U.S. program should acquaint parliamentary staffers from Kyrgyzstan with the workings of legislative bodies in the United States, on both the federal and state level, and discuss such issues as best legislative practices and processes, transparency in legislation, and coordination between legislative staffers.

Target Group: Key staff members of the Kyrgyz Parliament.

4. Social Issues – Women Entrepreneurs

Rationale: Women are playing an increasingly important role in Kyrgyzstan as business leaders and entrepreneurs, and are looking for successful business models as they take their place in modern Kyrgyz society. The Open World program will focus on strategies to establish and promote women-owned businesses. Programming activity should include providing exposure to effective transfer of leadership skills and be aimed at increasing the effectiveness of women's activity and competency in the economic sphere. The U.S. program should also include consultations to explore ways to overcome gender discrimination and introduce effective public and media strategies, and roundtable discussions on strategic planning for business development.

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

5. Social Issues – Women in Sports and Community Development

There is a need in Kyrgyzstan for youth-oriented programs aimed at young women as a way of promoting empowerment, education, leadership, and community development. Creating a culture of participation in organized sports will promote these positive developments improve the general health of women, and teach Kyrgyz girls to have a better understanding of the importance of community. The U.S. program will focus on how the promotion of sports and athletics—both in schools and through associations—at the national, regional, and local levels can contribute to the positive development of young women in society.

Target Group: Federal government and education officials involved in the organization and promotion of sports, especially for young women.

6. Social Issues – Vocational and Continuing Education Administration

Rationale: Vocational and technical colleges are good alternatives for students in Kyrgyzstan who are unable to attend university. In particular, vocational training provides women and girls from rural areas with greater opportunities in life. The Open World

program will focus on the role of vocational schools and community and technical colleges in preparing students for the workforce, and will examine the curricula, administration, and financing of these institutions.

Target Group: Ministry of Education representatives, school directors, and heads of education departments.

7. Social Issues – Libraries as Community Centers of Technology

Rationale: Libraries are becoming hubs of technology in Kyrgyzstan. In addition to providing Internet access to citizens (which is not always publicly available otherwise), libraries are leading the way in adopting new technology, and have been recognized by the government for doing so. The Open World program will focus on how libraries act as a community center for technology use, and how they provide access to public information through the Internet. The program will also provide the delegates with exposure to how librarians are trained to use the Internet as a resource, methods of improving reference services, and effective ways of attracting more patrons.

Target Group: Library directors and Ministry of Culture representatives.

Moldova

1. Accountable Governance – Energy Policy

Rationale: Moldova is completely dependent on energy from Russia, Transnistria, and Ukraine. As a result, the Government of Moldova does not have real control over its own energy policy. Current government policy is to seek alternative sources of energy such as wind, hydro, solar, thermal, and biomass. During the U.S. Open World program, Moldovan government officials engaged in energy policy, cross-border energy diplomacy, and alternative energy development will be exposed to energy regulation, energy efficiency efforts, and liquefied gas and renewable energy projects, and gain broad exposure to energy policy in the United States.

Target Group: Moldovan government officials and policy experts responsible for energy policy and the development of renewable/alternate energy resources.

2. Accountable Governance – Public Engagement for Better Policy and Services

Rationale: As the process of government decentralization takes place in Moldova, a gap in the provision of public services has been identified as a concern. To fill the gap, a national decentralization strategy has been adopted to transfer expertise and financial resources from central authorities to local authorities. This strategy envisions the modernization of infrastructure, and it aims to provide public services more efficiently and cost effectively at the local level. Social assistance programs, water supply, and roadways are just some of the services that local governments will have greater impact on. Decentralization will result in

local elected officials having more interaction with and responsibility to their constituents. During their Open World program, Moldovan municipal officials, both elected and appointed, and NGO leaders will see how public services are provided and investigate how citizens in a community can impact and work to improve policies and services at the local level.

Target Group: Municipal officials and NGO leaders working to improve the provision of services in Moldova at the local level.

3. Accountable Governance – Urban Revitalization and Business Attraction

Rationale: City planning has become a priority in Moldova after being neglected in that country since the fall of the Soviet Union. The national elections of 2009 made it clear to the electorate that the country's economic development was stagnant and that the economy was in a poor condition. Urban revitalization is needed to replace decaying and outmoded urban infrastructure and housing, provide employment, and eliminate urban blight. The Open World program will provide municipal and business leaders a chance to view the positive impact that city revitalization projects, and pro-business policies, including incentives for businesses to re-locate in target cities, can have on regional and local economies.

Target Group: Business, community, and local government leaders involved in urban development and business/regional economic development.

4. Rule of Law – International Abduction/Kidnapping

Rationale: Moldova has been party to the *Hague Convention on the Civil Aspects of International Child Abduction* since 1998. However, Moldova is only now drafting a new law on abductions. The Moldovan Central Authority on Adoptions is working on the new abductions law. In order to better prepare this law, representatives from Moldova's Central Authority on Adoptions, and the Ministry of Foreign Affairs will participate in Open World to meet with specialists in the field of international abduction prevention and child protection to see how international child abduction cases are handled in the United States. They will also compare laws, regulations, and practices in this complicated area.

Target Group: Representatives from Moldova's Central Authority on Adoptions, and Ministry of Foreign Affairs involved in fighting international child abduction.

5. Social Issues – Empowering Youth

Rationale: With the separation of families due to migration for employment abroad, Moldova's young generation faces a crisis of leadership and guidance. There is great need for community leaders in that country to develop public services, projects, and policies that work to improve the lives of young Moldovans. Open World programming will provide professionals that work with youth to be exposed to youth leadership issues in the U.S., and how programs and policies aimed at fostering the participation of youth in society are

developed and implemented. During their program, young community leaders will see how civic organizations mentor and empower youth to become self-reliant, dependable citizens leading purposeful lives. The role of government and media in working to mediate the challenges facing youth today will also be addressed during such a program.

Target Group: Community leaders, NGO officials, and young professionals (all under 30) working to develop policies, projects and public services aimed at fostering youth participation in society, and the development of future generations into a responsible and productive citizenry.

6. Social Issues – Improving Medical Care

Rationale: Health care delivery in Moldova is seen as substandard by international standards. Medical equipment, qualified personnel, hospital accommodations and services, and medicines are either in short supply or out of date. This is especially true in the area of acute care. The current situation with regard to medical delivery in Moldova reduces the quality of life for Moldovans, and travelers are advised to seek treatment for any of their ailments before visiting Moldova. Evidence-based medicine is slowly replacing the traditional authority-based norm, and the country's medical schools are improving in this regard. Open World's program in this area will focus on the provision of acute care services in hospitals and clinics. In the U.S., Moldovan acute care physicians, nurses, and professors of medicine will observe current professional standards of care for emergency treatment, and interact with their American colleagues to develop an understanding of best practices and the use of current technologies.

Target Group: Physicians, nurses, and professors of medicine working to improve the delivery of acute care services in Moldova.

Serbia

1. Accountable Governance – Advances in Agriculture

Rationale: The World Trade Organization (WTO) has acknowledged the progress Serbia has made in implementing new legislation to reach accession. Serbia has numerous bilateral trade agreements with other countries, but its current restrictions in agriculture are not in line with WTO rules. Agriculture is vital for the rural economy in Serbia to provide income and improve the standard of living. The introduction of modern agricultural methods should raise productivity, protect the environment, and sustain rural development. Enhanced competitiveness would result in a more vibrant domestic market, greater export potential, and would eliminate the need for protective policies against agricultural imports. During the U.S. program, Serbian government officials, representatives of farmers' organizations, agriculture professors, other academics in agriculture, and journalists in the field will meet with representatives of agriculture companies, academic researchers, and government agriculture and trade officials to discuss advances in agricultural production, storage, and transportation.

Target Group: Representatives from the Ministry of Agriculture, leaders of the Farmers Union, and agricultural specialists in academia and media.

2. Accountable Governance – Civic Activism outside the Party Structure

Rationale: The majority of decision making in matters affecting almost every aspect of daily life in Southwest Serbia is heavily influenced by party allegiance or affiliation. The concepts of civic service and engaging in public activities that benefit the broader community is little understood and not part of everyday life in this geographic region of Serbia. Exposing participants from different ethnic backgrounds and from both genders to their American colleagues that are active in building and improving their communities would broaden and deepen their understanding of how citizens could work effectively outside of government and beyond political party allegiances.

Target Group: Participants would be mid-level leaders of civil society organizations from Southwest Serbia, including the Sandzak region. This would include NGO representatives, journalists, academics, and social entrepreneurs.

3. Accountable Governance – Theater Management

Rationale: Theater has been part of Serbian culture for more than eight centuries. There are 35 professional theaters, three drama schools (institutes of higher learning), and two museums dedicated to the performing arts in Serbia. Strengthening the capacities of smaller theatres by diversifying funding and exposing theater managers to new marketing and management technique will increase Serbia's tourism potential and economic prosperity. In the U.S., Serbian theater managers and artistic directors will visit theaters managed by nonprofit groups and academic institutions to see how local communities support the preservation of culture and the arts. They will also look at ways that theaters and performance companies provide educational programs and promote economic development and increased tourism through their presentations of the arts.

Target Group: Theater managers, such as operational and artistic managers from Belgrade and throughout Serbia, focusing on smaller organizations.

4. Accountable Governance – Women's Entrepreneurship: Building Sustainable Economic Opportunities for Women

Rationale: Women play a key role in efforts to promote sustainable development throughout the world, particularly in the areas of economic development, environmental sustainability, and the building of a vibrant and healthy society. Empowering women business leaders results in better practices and performance, less risky behavior, and improved financial management. Women entrepreneurs face challenges in Serbia, such as difficulties in owning property, acquiring bank loans, and operating their own businesses. Exposure to a more conducive business climate and a private sector that provides a level playing field on which to compete will enable Serbian businesswomen to create new opportunities for themselves and promote better business development in general in Serbia.

In the U.S., Serbian women entrepreneurs and business leaders will meet with NGO and women business leaders who focus on women's empowerment and entrepreneurship, government officials who provide incentives for women entrepreneurs, potential investors, and women who own large and small businesses to discuss best practices and practical methods of empowering women to develop business opportunities.

Target Group: Women entrepreneurs and members of the Serbian Association of Business Women.

5. Accountable Governance – Youth Entrepreneurship

Rationale: Unemployment in Serbia is at 24 percent, and youth unemployment is estimated to be substantially higher – reaching 40 or 50 percent or even higher in many municipalities. In Southern Serbia and the Sandzak region in particular, opportunities for youth are very limited, often leading to outmigration. An alternative option, however, is for youth to establish their own businesses. During their program in the U.S., entrepreneurs under the age of 30 from South Serbia and Sandzak will be exposed to the U.S. culture of entrepreneurship, profitable business models, and will be presented with some of the tools that could be useful in growing their businesses and creating employment opportunities for themselves and others.

Target Group: Young entrepreneurs from South Serbia and the Sandzak region.

6. Rule of Law – Victim-Witness Assistance: Human Trafficking and Forced Labor

Rationale: Serbia is a source of, transit point for, and destination country for men, women, and children subjected to sex trafficking and forced labor. The European Commission's 2011 analytical report accompanying the *Commission Opinion on Serbia's application for membership of the European Union* points at deficiencies in support of victims of human trafficking, and recommends that "better protection of victims, including provision of assistance or shelter and reintegration, is needed." Even though the Serbian government has taken significant steps to combat trafficking and provide victims with adequate services, a lack of specialized shelters and services for trafficked children has left some victims vulnerable to continued exploitation and re-trafficking. During the U.S. visit, specialists with responsibilities in this field will discuss the legal framework, regulations, and internal policies that are needed for a national program for victim-witness assistance; hear best practices in working with victims of such crimes; and see how police and prosecutors work together to provide victims with support and assistance.

Target Group: Representatives of the Ministry of Justice, Ministry of Interior, State Prosecutorial Council and Public Prosecutor's Office, High Judicial Council, and High Court of Cassation.

7. Social Issues – Minority Rights Activism

Rationale: In the process of Serbia forming a new nation-state, strong historical and traditional behavioral norms has resulted in a society that has shown intolerance toward multiculturalism, including pluralism of ethnicity, faith, and sexual orientation. To address resulting inequalities, in 2009 *The Law on the Prohibition of Discrimination* was passed. This law specifically indicates that discrimination is prohibited “in relation to individuals or groups, as well as members of their families or persons close to them, be it overt or covert, on the grounds of race, skin colour, ancestors, citizenship, national affiliation or ethnic origin, language, religious or political beliefs, gender, gender identity, sexual orientation, financial position, birth, genetic characteristics, health, disability, marital and family status, previous convictions, age, appearance, membership in political, trade union and other organisations and other real or presumed personal characteristics.” In daily life, significant discrimination still exists for those that differ from the traditional lifestyle norms that have been generally accepted in Serbia. In the U.S., representatives of Serbian activist organizations will be exposed to work in the fields of human rights promotion, advocacy for civil rights, and the provision of legal protection against discrimination. The delegates will meet with leaders involved in the protection of human rights to discuss how to raise society’s awareness of issues having to do with discrimination, and to promote legal defense strategies for victims of intolerance. In addition, future collaboration with American counterparts that work in the area of civil rights promotion should be explored.

Target Group: Leaders of Serbian activist organizations promoting the civil rights of members of society that face discrimination based on societal norms.

Tajikistan

1. Accountable Governance – Economic Literacy for Public Sector Officials

Rationale: The demands of modern society and limitations on resources call for creative partnering between the government of Kazakhstan and representatives of the private sector. This programming will enable government representatives, managers of public entities, and representatives from private/commercial organizations to explore how public-private partnerships work in the United States to meet citizens’ needs and promote business development. Programs should provide delegates with exposure to the fundamentals of trade, how government actions impact (intentionally or unintentionally) the investment climate, the law of unintended consequences, and a primer on why corruption is bad for the business environment and economic growth.

Target Group: Government managers, managers of public entities, and private sector business representatives.

Accountable Governance – Ecotourism

Rationale: Tajikistan’s mountainous terrain and natural resources provide numerous opportunities for tourists. Unfortunately, Tajikistan’s tourism sector—which could be a source of much-needed income—is underdeveloped. The program for these delegates should focus on how Tajikistan’s natural resources can be effectively used for the creation of a profitable tourism industry (“ecotourism”), including through public-private partnerships.

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

2. Accountable Governance – Investigative Journalism/Anti-Corruption

Rationale: Because the press in Tajikistan retains its historic passivity, delegates for this program would greatly benefit from observing how media outlets in the United States report on the political process, and how American journalists work to expose corruption wherever it occurs in American society. The program should also familiarize the delegates with how American journalists gather facts, including the analysis of public records and the use of multiple independent sources, and how such fact-finding is used in investigative reporting on government, political, business, and other activities that effect society.

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

3. Social Issues – NGO Development

Rationale: Tajikistan has many dedicated NGO leaders who face the challenge of developing better-managed and more effective organizations. NGOs in Tajikistan rely heavily on funding from foreign donors and financial institutions and often do not consider that funding can also be raised from members of the community, including the business sector. There is also great need for the development of effective rural NGOs that promote local economic development and/or provide services to the needy. The delegates for this program will look at ways to improve their administrative, advocacy, and fundraising skills. The program will also enable the delegates to formulate strategies for providing leadership and services in the community. The programming should also demonstrate how government entities, NGOs, and the business community work closely together to help meet public needs.

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

5. Social Issues – Women Entrepreneurs

Rationale: Women are playing an increasingly important role in Tajikistan as business leaders and entrepreneurs, and are looking for models as they take their place in modern Tajik society. The Open World program will focus on strategies to establish and promote women-owned businesses. Programming goals should include increasing the effectiveness of women's activity and competency in the economic sphere by observing and discussing leadership skills and ways to overcome gender discrimination. In addition, delegates should be introduced to effective styles of communication and look at various methods of strategic planning for business success.

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

6. Social Issues – Volunteerism and Service Learning

Rationale: Tajikistan has many dedicated NGO leaders who are being challenged to develop better-managed and more vibrant organizations. NGOs in Tajikistan rely heavily on foreign donations, and often fail to see how funds can be raised at the local level, particularly from the business community. Open World programming should aim to improve NGO leaders' administrative, advocacy, and fundraising skills and will help these delegates formulate strategies for providing leadership and service in the community. The program should also focus on the recruitment, training, management, and retention of volunteers and demonstrate how government entities and NGOs work closely together to help meet public needs.

Target Group: Board members, directors, high-level staff, and key volunteers of NGOs; NGO leaders involved in promoting good governance and the voluntary sector; and government representatives who work with members of the NGO community or who have budget or oversight responsibilities for government-funded activities that are carried out by NGOs.

7. Social Issues – Youth Development

Rationale: Tajikistan's economy is the weakest in Central Asia, and this creates a dangerous situation for members of society that are under the age of 18, which is roughly half of the population. Young men may be drawn to crime or religious extremism, and young women may become victims of the sex trade. The U.S. program would focus on demonstrating community-based activities, vocational programs, and after school activities, in both rural and urban settings, that work to improve the economic and educational opportunities available to young people. The program will provide exposure to vocational, career, voluntary, and other options provided to youth in the United States to provide positive outlets that allow for youth to contribute productively in society.

Target Group: Representatives of NGOs and government officials that are working to improve the opportunities available to youth in Tajikistan and journalists who report on youth issues.

Turkmenistan

1. Accountable Governance – Event Management

Rationale: In 2017, Turkmenistan will be the first Central Asian state to host the Asian (Indoor) Games. Such an event will boost both national and local level economies, and provide a modern infrastructure for future development. With advance planning, the environmental impact of event related projects could be mitigated, and a positive environmental and social legacy can be made. In preparation for such development, government officials and entrepreneurs from Turkmenistan will participate in Open World to see venues that have hosted large international events, and they will discuss with their professional colleagues how plans were developed and implemented for a one-time event and for future and environmentally sound use of the infrastructure created for such an event.

Target Group: Government officials, representatives of planning agencies, and business leaders involved in the planning process for the 2017 Asian Games.

2. Accountable Governance – Mass Media

Rationale: The Parliament of Turkmenistan, the Mejlis, has the important task of drafting a new law to provide a legislative framework for the development of a free media that takes advantage of the new technologies of the electronic age. During the Open World program, parliamentarians from Turkmenistan and media policy experts in the United States will discuss important issues such as freedom of the media, how an information society is defined, international standards of Internet governance, ethics of electronic journalism, and online media registration procedures. The delegation will also visit with media professionals in the United States to discuss current technologies and media practices.

Target Group: Government officials and media professionals involved in establishing a free media in the electronic age.

3. Accountable Governance – Supporting Small Business and Promoting Economic Diversification

Rationale: Turkmenistan understands the need for diversification of economic activity for the development of a vibrant private sector. State-directed loans to small and medium enterprises have contributed to a rapid growth in this area, but since this growth is not market driven, it may not survive. In order to better understand the principles of small business development, and economic diversification, government officials, policymakers and entrepreneurs from Turkmenistan working in the area of economic development will

participate in Open World to explore, with their American counterparts, key issues having to do with private ownership, business management, financing, competition, pro-business legislation, the regulatory environment, and local government policies that support the business community.

Target Group: Government officials, policymakers, and business leaders working to diversify business opportunities.

4. Accountable Governance – Transportation Management

Rationale: Transportation infrastructure drives the health of a nation’s economy and can lead to economic diversity. Even though the state has planned for the construction of a North-South railway, a bridge over the Amu Darya River, and the Ashgabat-Karakum-Dashoguz and Turkmenbashi-Farab highways, more is needed to improve the efficiency and integration of transportation in that country, and create opportunities for the private sector. During the Open World program, transportation officials from Turkmenistan will observe the role of government and private enterprises in the integration of road, rail, and air transportation services, and discuss best practices for transportation safety at all levels of a country’s infrastructure.

Target Group: Transportation officials and planners.

5. Social Issues - Youth Development through Organized Sports

Rationale: With a quarter of its population under the age of 14, and a median age of 25, Turkmenistan has an interest in promoting a healthy lifestyle among its youth, and is planning to promote such a lifestyle with an emphasis on sports and fitness. For this program, sports managers and entrepreneurs will see how the public and private sectors work in communities in the United States to provide young people with opportunities to stay mentally and physically fit, so they can live healthier and more productive lives.

Target Group: Local government officials, managers and business leaders working to provide access to sports and fitness/healthy lifestyle options to the youth of Turkmenistan.

Russia, Ukraine, Azerbaijan, Georgia, Kazakhstan, Moldova, Russia, Turkmenistan and Ukraine

In addition to the above thematic programs, Open World is also soliciting expressions of interest/capability statements for up to 11 delegations of parliamentarians (possibly parliamentarians and staffers in one delegation) from the countries of Azerbaijan (1), Georgia (2), Kazakhstan (1), Moldova (1), Russia (3), Turkmenistan (1), and Ukraine (2).¹⁶ Through this program, Open World is seeking to match delegations from these countries with key counterparts in the U.S. Senate, the House of Representatives, and in state

¹⁶ Expressions of interest in parliamentary hosting should not be integrated into the formal Open World proposal submitted in response to this solicitation and should not include a budget at this time.

governments. These delegations may be defined by the committees the members serve on or by subject area. Currently, these delegations are not yet defined for specifics, such as date of travel, number of members, and duration of program.

The proposed illustrative programming should identify a Member of Congress who would be responsible for some aspect of the delegation's program (preferably in Washington, D.C. and in the Member's state or district). It should also include proposed high-level meetings in Washington, D.C. with other Members of Congress, executive branch officials, congressional staff and policy experts, and in-depth discussions with a variety of political, civic, and business leaders in the relevant state/district.

2013 Open World Program – Proposed Travel Dates¹⁷

Country	U.S. Arrival Date ¹⁸	Theme/Subtheme	Number of Delegations
Ukraine	Jan 30	Accountable Governance – The Role of Legislatures	Nine (9)
Serbia	Feb 6	Accountable Governance – Theater Management Rule of Law – Victim-Witness Assistance Social Issues – Minority Rights Activism	One (1) Two (2) One (1)
Russia	Feb 13	Accountable Governance – The Role of Legislatures	Nine (9)
Armenia	Feb 25	Accountable Governance – Local Governance and Meeting Constituent Needs	One (1)
Kyrgyzstan	Feb 27	Accountable Governance – Ethnic Reconciliation Accountable Governance – Investigative Journalism Accountable Governance – Parliamentary Staffers Social Issues – Libraries as Community Centers of Technology Social Issues – Vocational and Continuing Education Administration	One (1) One (1) One (1) One (1) One (1)
Kyrgyzstan Kyrgyzstan Russia Serbia Tajikistan Ukraine	Mar 6	Social Issues – Women Entrepreneurs Social Issues – Women in Sports and Community Development Accountable Governance – Young Women Professionals Accountable Governance – Women’s Entrepreneurship: Building Sustainable Economic Opportunities for Women Social Issues – Women Entrepreneurs Accountable Governance – Young Women Professionals	One (1) One (1) Three (3) One (1) One (1) Two (2)
Russia	Mar 13	Social Issues – Health-Care Provision	Nine (9)
Ukraine	Mar 20	Accountable Governance Rule of Law – General	Five (5) Four (4)
Armenia	Mar 25	Accountable Governance -- NGO Management and Civic Participation	One (1)
Serbia	Apr 3	Accountable Governance – Advances in Agriculture Accountable Governance – Civic Activism Outside the Party Structure Accountable Governance – Youth Entrepreneurship	One (1) One (1) Two (2)
Russia	Apr 10	Social Issues – Higher Education and Innovation	Nine (9)
Russia Ukraine Georgia	Apr 17	Judicial Rule of Law (Judges and Mixed Delegations) Judicial Rule of Law (Judges and Mixed Delegations) Rule of Law – Judicial Practices and Ethics	Three (3) Two (2) One (1)
Turkmenistan	Apr 22	Accountable Governance – Event Management Accountable Governance – Mass Media Accountable Governance – Supporting Small Business and Promoting Diversification Accountable Governance – Transportation Management Social Issues – Youth Development through Organized Sports	One (1) One (1) Three (3) One (1) One (1)

¹⁷ Please note that a number of the delegations listed above might consist entirely of young professionals ages 25 to 35. As of the publication date of these guidelines, it has not been determined how many, when, or under which themes such delegations will travel, unless noted. Please also note that, as of the publication date of these guidelines, it has not been determined when or how many Russian Accountable Governance – The Role of Legislatures delegations will travel. They may travel on one or more of the Accountable Governance dates. Please include your best hosting option(s) in your proposal.

¹⁸ Date of arrival in Washington, DC.

Georgia	Apr 24	Accountable Governance – Electronic/Print Media Accountable Governance – Municipal Development Social Issues – Young Researchers (Internat’l Relations/Think Tanks)	One (1) Two (2) One (1)
Tajikistan	May 8	Accountable Governance – Economic Literacy for Public Sector Officials Accountable Governance – Ecotourism Accountable Governance – Investigative Journalism/Anti-Corruption	One (1) Two (2) One (1)
Russia	May 15	Accountable Governance	Nine (9)
Ukraine	May 30	Accountable Governance NGO Development	Five (5) Four (4)
Russia	Jun 5	Accountable Governance	Nine (9)
Kazakhstan	Jun 19	Accountable Governance – Agricultural Diversification Accountable Governance – Civil Service Reform Accountable Governance – Environmental Leaders	Two (2) Two (2) Two (2)
Moldova	Sep 5	Accountable Governance – Energy Policy Accountable Governance – Public Engagement for Better Policy and Services Accountable Governance – Urban Revitalization and Business Attraction Rule of Law – International Abduction/Kidnapping Social Issues – Empowering Youth Social Issues – Improving Medical Care	One (1) One (1) Two (2) One (1) Two (2) One (1)
Russia	Sep 11	Accountable Governance	Nine (9)
Ukraine	Sep 18	NGO Development Rule of Law (General)	Five (5) Four (4)
Russia Kazakhstan	Sep 26	Judicial Rule of Law (Judges and Mixed Delegations) Judicial Rule of Law	Three (3) Two (2)
Tajikistan	Oct 1	Social Issues – NGO Development Social Issues – Volunteerism and Service Learning Social Issues – Youth Development	One (1) One (1) Two (2)
Russia	Oct 9	Social Issues – Social Services	Nine (9)
Georgia	Oct 23	Accountable Governance – Community Engagement Accountable Governance – Parliamentary Staffers Rule of Law (General) Social Issues – Child Welfare Services Social Issues – Higher Education and Innovation Social Issues – Societal Inclusivity	One (1) One (1) One (1) One (1) One (1) One (1)
Ukraine	Nov 6	Education and Innovation (Young Professionals)	Nine (9)
Russia	Nov 14	Accountable Governance (Young Professionals)	Nine (9)
Russia	Dec 4	Accountable Governance	Nine (9)

Grantee Programming and Administrative Requirements

Successful grantee organizations will be responsible for eight days and eight nights of programming (including weekends) for delegations (most consisting of **five delegates** and **one facilitator**) arriving in the United States between January 30 and December 4, 2013. Delegations, except for those from Armenia and Turkmenistan, will land in the United States on a Wednesday or Thursday and arrive in their host communities on a Friday or

Saturday.¹⁹ Delegations from Armenia and Turkmenistan will land in the United States on a Monday and arrive in their host communities on a Wednesday. Grantee organizations will be expected to successfully complete and/or oversee the following programmatic and administrative activities:

- Recruit and select local host organizations and families. The local host organizations must demonstrate expertise in, and programming resources for, the Hosting Theme(s) and subthemes selected by the grant applicant. Programs should emphasize mutual learning and dialogue. Grantees are encouraged to recruit host coordinators, presenters, and home hosts who are interested in maintaining contact with the Open World delegates after their U.S. visit through joint projects, ad hoc and/or formal organization-to-organization ties, and regular communications.
- Submit a Host Organization Profile Form for each local program to be hosted by a local host organization approved by the Center. The grantee organization must submit the form(s) to the Center within two weeks of being notified of a host organization's approval. The form (supplied by the Center) asks for the local host organization's theme/subtheme preferences and preferred hosting dates, a general description of the planned local program, and descriptions of three or four proposed professional activities. This information, which will be shared with the Center's logistical contractor, will improve Open World's ability to match delegates with local host organizations quickly and appropriately.
- If providing nominations: (1) ensure that nominating partners (both domestic and international) submit only names of qualified and high-quality candidates and the necessary background program and partnership/project information to the logistical contractor **by the designated deadlines**, and (2) be responsible for reviewing nominees' applications prior to their submission to the logistical contractor to ensure that nominees meet Open World criteria and that the information in the applications is complete and accurate. Nominators identified by the grantee will work closely with Center staff to select appropriate applicants.
- Be responsible for effective implementation of each program developed by local host organizations.
- Participate, either in person or via telephone conference, in coordination meetings with representatives of the Center and/or representatives of the Center's logistical contractor.
- Attend the 2013 Open World grantee orientation meeting, which is expected to be held in the spring of 2013 in Washington, DC. (The cost for one representative to attend the meeting is to be included in the proposed budget; see pp. 49–50 for details.)

¹⁹ 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.

- Help make arrangements for Center staff to conduct site visits during local hosting programs, if requested by the Center.
- Submit required reports by scheduled deadlines, including the host coordinator post-program report for each visit, the final program report, federal financial reports, and cost-share reports. (For descriptions of these reports, see pp. 43–44, 55–56, and 71–73.)
- Assist the Center in coordinating press outreach, if requested, with local host organizations.
- Report on visit outcomes as required (see Results section below).
- Ensure that local host coordinators are aware of Open World’s website and social-networking resources; have local host coordinators encourage presenters and host families to find the Open World Leadership Center on Facebook at www.facebook.com/openworldleadershipcenter2; and encourage local host coordinators, presenters, and host families to get up-to-the-minute information on Open World by following <http://twitter.com/owprogram>.
- Adhere to federal income tax regulations.

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

- Coordinate with the Center on congressional outreach in the local communities and Washington, DC, and ensure, when possible, that delegates have the opportunity to meet with Members of Congress or their local staff, and send any photos from such meetings to the Center as soon as possible.
- Ensure that delegates have voluntary opportunities to share their professional expertise and their knowledge about their native country in meetings with their American counterparts and in public settings such as conferences, colloquia, classroom and civic-association presentations, town meetings, and media interviews.
- Provide local transportation during participants’ visits, beginning with pickup at the U.S. final destination airport and ending with delivery to the departure airport. **Participants may not take public transportation to a professional activity unless the grantee gets advance approval from the Center, and a local escort must accompany the participants.**
- Provide a suitable homestay placement for each delegate, usually for eight days, including weekends. **Homestays are a centerpiece of the Open World experience and a major factor in grant application evaluations.**

- **Each delegate must be given his or her own private bedroom.** If this cannot be arranged, the grantee must get advance approval from the Center for delegates to share a bedroom. A facilitator may not share a bedroom with a delegate under any circumstances.
- Ensure that breakfast, lunch, and dinner are provided daily to the delegates and facilitator(s) during their stay. Unlike similar U.S. government programs, **Open World does not provide per diems to its participants.**
- Provide professional interpretation for ALL group professional program activities. **The Center requires high-quality professional interpretation for Open World delegations and recognizes that this affects budgets.** Interpreters who are certified by the U.S. Department of State or a state or local agency that certifies legal and medical interpreters are preferred. Interpretation in the native language is required for delegations from Armenia, Georgia, Moldova, Serbia, Tajikistan, and Ukraine. For other countries, the Center would prefer that grantees hire interpreters fluent in the relevant country's native language wherever possible. However, Russian is an acceptable alternative for delegations from Kazakhstan, Kyrgyzstan, or Turkmenistan, with prior approval from the Center. Open World facilitators are not to provide interpretation for group professional meetings. Please consult with Center staff for further clarification, if needed.
- Prepare an eight-day program for each participant group that reflects the selected Hosting Theme and includes other activities that meet program objectives. Approximately **32 hours** of programming should directly address the Hosting Theme. Time spent in professional sessions with federal, state, county, or local legislators and legislative staff counts toward this total. Cross-cultural activities should be scheduled for weekends and some evenings. A cross-cultural activity is an activity designed to promote exposure and interchange between the delegates and Americans in order to increase their understanding of each other's society, culture, and institutions. Cross-cultural activities include cultural, social, and sports activities.
- Provide an end-of-visit review session for the delegates, facilitator(s), and host coordinator to review program successes/weaknesses and to identify any new projects, or any joint projects, reciprocal visits, or other continued professional interactions between delegates and their new American contacts, that will likely result from the Open World program.
- Coordinate with the Center on press outreach, including sharing drafts of any press material developed for each delegation in advance, if requested, and reviewing any relevant press material developed by the Center, if requested. The Center strongly encourages local host organizations to try to get press coverage of Open World visits. **Local press releases on Open World exchanges must credit the Open World Leadership Center and the U.S. Congress.**

- Track results efficiently and regularly report them. Definitions of results, and requirements and methods for reporting them, are given in the Document-Exchange Deadlines table on the next page and in the Results section that immediately follows it.

Grantee Interaction with Open World Logistical Contractor

Open World’s logistical contractor will provide the Center with administrative and logistical support, including assistance with (a) planning and administration of the nominations process in the countries included in this solicitation; (b) visas and travel arrangements; (c) selection and training of facilitators; (d) formation of delegations; (e) organization of predeparture orientations; and (f) review of program agendas (which supplements the Center’s own review of the agendas). Grantees and their local hosts will be required to work closely with this contractor through all steps of the planning process and meet the relevant deadlines in the following table. As noted earlier, the Center will serve as the logistical contractor for the delegations from Armenia and Turkmenistan, and possibly for a limited number of delegations from one or more of the other countries covered by this solicitation.

Document-Exchange Deadlines for an Open World Visit

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

<i>Deadline</i>	<i>Host Coordinator provides:</i>	<i>Logistical contractor provides:</i>
<i>8-6 weeks before arrival</i>		<ul style="list-style-type: none"> • Participant Names and Profiles
<i>4 weeks before arrival</i>	<ul style="list-style-type: none"> • Draft Program Agenda • Host Family Forms (including contact info. and brief bios) • Community Profile (if requested) 	<ul style="list-style-type: none"> • Flight Itineraries
<i>3 weeks before arrival</i>	<ul style="list-style-type: none"> • Resumé(s) of Professional Interpreter(s) 	
<i>10 days before arrival</i>	<ul style="list-style-type: none"> • Updated Program Agenda (with changes highlighted) • Emergency Contact Information (if different from that on the Updated Program Agenda) 	
<i>3 weeks after departure</i>	<ul style="list-style-type: none"> • Post-program Report (Host Narrative, Post-program Program Agenda, Final Host Family Forms, Media Coverage, Photos)* 	<ul style="list-style-type: none"> • Delegation Feedback on Program to Grantee and Local Host Coordinator

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

Results

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

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

Key Dates and Deadlines²⁰

Grant applications for Serbia are due on Friday, September 7. For all other countries covered by this solicitation, grant applications are due on Friday, October 12, 2012.

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

All 2013 grants will end on **March 31, 2014**, when final financial reports are due to the Center, unless a later date is agreed to in writing by the Center. Please note again that grantees are encouraged to submit all final financial documentation by ninety (90) days after the completion of programming activities.

Criteria for Evaluating Grant Applications

All grant applications for the Open World program under these guidelines will be evaluated on the following factors, listed in order of importance:

1. Degree to which proposed program plans address Open World's programming priorities and objectives, especially with regard to (a) giving delegates significant exposure to federal, state, county, and local legislators, the structure and functions of legislatures, and the legislative process; (b) the likelihood of producing new partnerships or furthering existing ones; (c) the potential for follow-on project activities and/or significant projected results, such as plans for future reverse travel;²¹ (d) collaborative programming with American young professionals organizations; and (e) including a significant cost share.
2. Past experience in hosting similar programs, especially for citizens of the specific country(ies) for which you are applying.
3. Demonstrated ability or experience in creating programs in the Hosting Theme(s) proposed in the application.
4. Demonstrated ability to recruit or plan for recruiting host coordinators, presenters, and home hosts who are interested in maintaining contact with the delegates after their U.S. visit.
5. Quality of submitted sample agendas (one important factor in determining quality is whether the agendas include opportunities for delegates to make presentations to professional and public audiences and to have open dialogue with their hosts and professional counterparts).
6. Ability to home host.

²⁰ See table on pp. 43–44 for deadlines for document delivery to the logistical contractor.

²¹ Reverse travel is when someone affiliated with an Open World U.S.-based exchange travels to a participating Open World country and meets with alumni during this visit. In nearly all instances, Open World cannot fund reverse travel or follow-on activities.

7. Per person costs. (Please note that the “per person cost” does not stand alone as a criterion. The Center also looks at the ratio of administrative costs to program costs, as well as the cost share amount the organization is proposing.)
8. Ability to host on theme dates.
9. Quality of submitted work plans, including plans for the implementation of the U.S. programs, results tracking and reporting, and the nomination strategy (if applicable).
10. For previous Open World grantees: assessments of previous hosting quality and results. Assessments are based on input from Open World program managers, facilitator reports, and informal delegate surveys, and on the quality and promptness of grantee programmatic/administrative and financial reporting, including the accuracy of financial records.
11. For proposals that contain plans for nominations, the Center will weigh the degree to which the proposed programs advance Open World’s programming priorities indicated above in the first criterion.

GRANT PROPOSAL OUTLINE

Proposals and budgets should be e-mailed to the Grants Officer: Lewis Madanick, Program Manager, Open World Leadership Center, at lmad@openworld.gov, or faxed to the Open World Leadership Center office at (202) 252-3464. Please put “2013 Open World Grant Proposal” in the subject line. Please contact Mr. Madanick at (202) 707-8943 if e-mailing or faxing material is not feasible. **Do not mail or send by commercial delivery any materials without first contacting Mr. Madanick.**

The Open World Leadership Center grants committee will review applications and respond no later than 35 calendar days after receipt of an application. **ACTUAL DETERMINATIONS OF PARTICIPANT HOSTING LEVELS AND THE DATE OF AWARDS WILL DEPEND ON AVAILABLE FUNDING.**

All submissions must provide the following cover sheet:

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

All submissions must follow the outline below.²²

- 1. Project Summary** – A narrative document of no more than eight double-spaced pages providing the following information:
 - Estimates of your hosting capabilities, i.e., number of host communities and number of participants (delegates and facilitators) to be hosted.
 - General description of your programming capabilities for the countries for which you are applying.
 - Descriptions of how your organization will fulfill the program objectives, programming priorities, and the requirements given above, including how professional interpretation will be provided, how results will be accomplished and reported, and how delegates will be introduced to legislators (including Members of Congress), legislative staff, and legislative entities, processes, and functions.
 - Examples of how your organization’s hosting activities and past experience will be applied to recruiting host coordinators, presenters, and host families potentially interested in maintaining contact or developing joint projects with delegates.

- 2. Proposed Countries and Hosting Themes** – For each country that you propose to host for, please submit the following:
 - Detailed description of your capabilities to host in the proposed theme(s) and subtheme(s).
 - Proposed schedule of selected hosting dates (with proposed hosting sites) by country.
 - Sample/illustrative activities or sample agendas.
 - Organizations/persons participating.
 - Objective of illustrative activity: i.e., lessons to be learned.
 - Special resources required.

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

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

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

- 6. Budget Submission** – The budget submission is the financial expression of your organization’s proposal to become an implementing partner in the Open World program. Therefore, your budget submission needs to reflect your administration of a program that meets the objectives and theme rationales outlined above.

²² Pages 49–76 contain more information on financial management and budget requirements, including a recommended budget form (p. 50).

FINANCIAL PROCEDURES – 2013 GRANTS

PLEASE READ CAREFULLY

I. Grant Proposals

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

a. Budget Submission

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

Each budget category should include an accounting of any **cost-share contribution** the organization is providing. **Cost-share contributions are an important factor in the grant selection process.** Organizations are encouraged to carefully consider their ability to share in the cost of the program and to offer the maximum contributions feasible. All organizations awarded grants by the Center will be required to submit cost-share report forms by March 31, 2014.

Below are some possible categories for your budget submission. Each category in your budget proposal must provide dollar amounts accompanied by a narrative justification. When an individual category will be under \$500, you might want to combine one or more like categories. **NOTE: When preparing your budget, please keep in mind that an overage of 10 percent or more in any one category will require prior written approval from the Open World Leadership Center's budget officer, Jane Sargus.²³**

1. Personnel Compensation – Salaries and wages paid directly to your employees.
2. Personnel Benefits – Costs associated with employee benefits.
3. Administrative Travel – Costs associated with having one representative attend the grantee orientation meeting for one night and day, including economy/coach travel to and from Washington, DC; transportation within Washington, DC; and a one-night hotel stay at a designated local hotel. (Dinner, breakfast, and lunch will be covered by the Center.)
4. Local Travel and Transportation – Local travel and transportation of staff and/or local transportation for delegates.
5. Office Expenses – Postage, telephone, supplies, etc.
6. Advisory and Assistance Services – Interpreters, speakers, trainers, etc.
7. Cultural Activities – Receptions, admissions to events, etc.
8. Grants – Grants made to others by your organization.

²³ Under no circumstances does obtaining the Center's written approval for an overage in a given category permit a grantee to exceed the total amount that it was awarded by the Center.

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

Sample Budget Submission:

Proposed Budget for Submission Under the 2013 Open World Program			
Proposed Number of Participants:			
Cost Per Participant:			
Budget Category²⁴	Amount	Cost Share	Narrative Justification
Personnel Compensation	\$XX,XXX	\$XX,XXX	Director and Specialist will work for 2 months as follows: Director: XXX hours @ \$XX/hour=\$X,XXX Specialist: XXX hours @ \$XX/hour=\$X,XXX
Personnel Benefits	\$X,XXX	\$X,XXX	Benefits calculated @ XX% of salary
Administrative Travel	\$XXX	\$XXX	Transportation to, from, and within Washington, DC; one-night hotel stay
Local Travel and Transportation (domestic)	\$X,XXX	\$X,XXX	Local transportation for staff and rental of transport for delegation (one van @ \$XXX per day for X days); \$XXX taxi and public transportation ²⁵
Office Expenses	\$XXX	\$XXX	Utilities, supplies, printing, etc. Utilities=\$X,XXX Supplies, phone, printing=\$XXX
Advisory and Assistance Services	\$XX,XXX	\$XXX	Professional interpretation and translation X persons times X days each at \$XXX/day (includes air, lodging, and per diem for interpreters=\$XXX)
Cultural Activities	\$XXX	\$XXX	Receptions, admissions, etc.
Grants	\$XX,XXX	\$XXX	E.g., three local organizations will each receive a grant for \$X,XXX=\$XX,XXX to cover hosting expenses ²⁶
Total	\$XX,XXX	\$XX,XXX	
PROPOSED BY:			
Signature Program Officer and Date:			

²⁴ Please note that the Center no longer funds equipment purchases.

²⁵ Participants (delegates and their facilitator[s]) may not take public transportation to a professional activity unless the grantee gets advance approval from the Center, and a local escort must accompany the participants.

²⁶ Grants to third-party organizations require a separate attached budget.

b. Allowable Costs

The reasonableness, allowability, and allocation of costs for work performed under a Center grant shall be determined in accordance with the applicable federal cost principles and the terms and conditions of the grant award.

1. **Pre-Award Costs.** Applicant organizations may include project costs incurred within the 90-calendar-day period immediately preceding the beginning date of the grant in the proposed budget. Pre-award expenditures are made at the risk of the applicant organization, and the Center is not obligated to cover such costs in the event an award is not made or is made for an amount that is less than the applicant organization anticipated.
2. **Travel Costs.** Travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by those who are on official business attributable to work under a grant. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs, or on a combination of the two, provided the method used results in charges consistent with those normally allowed by the grantee in its regular operation, as set forth in the grantee's written travel policy. Airfare costs in excess of the lowest available commercial discount or customary standard (coach) airfare are unallowable unless such accommodations are not reasonably available to accomplish the purpose of travel. All air travel that is paid in whole or in part with Center funds must be undertaken on U.S. air carriers unless the Center gives prior written approval for use of non-U.S. carriers.

II. Grant Documentation and Compliance

a. Introduction

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

Please note that the Open World Leadership Center, as a legislative branch agency, is not required to apply the OMB grants-related guidance for executive branch agencies and departments found in the OMB Circulars and in Title 2 of the Code of Federal Regulations (CFR). Nevertheless, it is the policy of the Center to follow this familiar grants guidance and to deviate from it only when in the best interest of the Open World program. Consequently, CFR Title 2 and relevant OMB Circulars will apply as they are customarily implemented by the Center in connection with the Open World program. For example, the

requirement in 2 CFR 215.4 “Deviations” for clearance through OMB of any deviations to the terms of the circulars will not apply to Open World. Instead, grantees should direct any questions about the Center’s implementation of the OMB Circulars to Jane Sargus, Budget Officer, at jsar@loc.gov.

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

- 2 CFR Part 215, “Uniform Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations” (OMB Circular A-110)
- 2 CFR Part 220, “Cost Principles for Educational Institutions”(OMB Circular A-21)
- 2 CFR Part 225, “Cost Principles for State, Local, and Indian Tribal Governments” (OMB Circular A-87)
- 2 CFR Part 230, “Cost Principles for Non-Profit Organizations” (OMB Circular A-122)
- OMB Circular A-102, “Grants and Cooperative Agreements with State and Local Governments”
- OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”

The full text of these authorities is available as follows:

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

b. Basic Grantee Responsibilities

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

c. Compliance with Federal Law

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

1. **Nondiscrimination.** Grants are subject to the provisions of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972 (as amended), Section 504 of the Rehabilitation Act of 1973 (as amended), the Age Discrimination Act of 1975 (as amended), and the regulations issued pursuant thereto. Therefore, no person on grounds of race, color, national origin, disability, or age shall be excluded from participation in, be denied the benefits of, or be otherwise subject to discrimination under a program funded by the Center. In addition, if a project involves an educational activity or program, as defined in Title IX of the Education Amendments of 1972, no person on the basis of sex shall be excluded from participation in the project.
2. **Lobbying Activities.** The Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, prohibits recipients of federal contracts, grants, and loans from using appropriated funds to influence the executive or legislative branches of the federal government in connection with a specific contract, grant, cooperative agreement, loan, or any other award covered by § 1352. 18 U.S.C. 1913 makes it a crime to use funds appropriated by Congress to influence members of Congress regarding congressional legislation or appropriations. Finally, Attachment B25 of Office of Management and Budget Circular A-122 designates the following as unallowable charges to grant funds or cost sharing: certain electioneering activities, financial support for political parties, attempts to influence federal or state legislation either directly or through grass-roots lobbying, and some legislative liaison activities.
3. **Drug-Free Workplace.** The Drug-Free Workplace Act of 1988, 41 U.S.C. 701, requires grantees to have an on-going drug-free awareness program; to publish a

statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace; to maintain evidence that this statement was given to each employee engaged in the performance of the grant; and to identify in the funding proposal or to keep on file in its office the place(s) where grant activities will be carried out.

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

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

III. Grant Period and Extensions

Grant Period - The grant period is the span of time during which the grantee has the authority to obligate grant funds and undertake project activities. However, when approved by the Center, a grantee may incur necessary project costs in the 90-day period prior to the beginning date of the grant period. **All 2013 grants will begin on the date of the grantee's signature on the award letter and end on March 31, 2014.**

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

Financial Reports - Final financial reports are due to the Center no later than March 31, 2014, unless a later date is agreed to in writing by the Center. Please note that grantees are encouraged to submit all final financial documentation with the final program report by ninety (90) days after the completion of programming activities. See Section IV for detailed information on quarterly financial reporting.

Extension of Grant - The Center may authorize a one-time extension of the expiration date established in the initial grant award if additional time is required to complete the original scope of the project with the funds already made available. A single extension that shall

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

IV. Reporting Requirements

Each organization awarded a grant by the Center is required to submit by fax or e-mail the following reports. **Please include the Open World Grant Number (e.g., OWLC-1352) in the fax's or e-mail's subject line each time a report is submitted. Failure to meet these deadlines will negatively affect consideration for future grants from the Center.**

a. Federal Financial Reports (Standard Form 425)

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

1. Beginning of grant award–March 31, 2013 (Due 4/10/13)
2. April 1–June 30, 2013 (Due 7/10/13)
3. July 1–September 30, 2013 (Due 10/9/13)
4. October 1–December 31, 2013 (Due 1/10/14)
5. January 1–March 31, 2014 (Due 4/10/14), if the grant has not been closed by March 31, 2014.

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

b. Cost Share Report

A Cost Share Report (form provided by the Center) must be completed no later than March 31, 2014. The report must identify all cost-share contributions made toward the program for which the grant was given. When submitting, please include the Open World Grant Number in the fax's or e-mail's subject line.

c. Final Financial Reports

To close a grant the following must be submitted:

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

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

4. Cost Share Report (form provided by Open World).

Final Financial Reports must be submitted to the Center not later than March 31, 2014, unless a later date is agreed to in writing by the Center. When submitting, please include the Open World Grant Number in the fax's or e-mail's subject line.

V. Payments and Interest

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

- a. **Payment Requests.** Requests for advance payment shall be limited to no more than 75 percent of the total grant award, unless otherwise specified by the Center. Grant funds that have been advanced but are unspent at the end of the grant period must be returned to the Center. **Grantees must make every effort to avoid requesting advance payment of funds that then are not used.**
- b. **Interest on Grant Funds.** All grantees, except states (see glossary), are required to maintain advances of federal funds in interest-bearing accounts unless the grantee receives less than \$120,000 per year in advances of grant funds or the most reasonably available interest-bearing account would not earn more than \$250 per year on the federal cash balance, or would entail bank services charges in excess of the interest earned. Interest that is earned on advanced payments shall be remitted to the Center.
- c. **Requesting Reimbursement or Advance.** When requesting reimbursement or advance of funds, the Request for Advance or Reimbursement of Funds (Form 270) must be used. Grantees must clearly mark in their documentation for requesting funds whether the request is for a **partial** advance payment, **reimbursement**, or the **final close-out payment of the grant**. **NOTE: If the request is for an advance of funds, the "period covered" must state a time period subsequent to the request. If the request is for a reimbursement of funds, the "period covered" must state a time period prior to the request.**

VI. Budget Revisions

The project budget is the schedule of anticipated project expenditures that is approved by the Center for carrying out the purposes of the grant. When grantees or third parties

support a portion of the project costs, the project budget includes the nonfederal as well as the federal share of project expenses. All requests for budget revisions must be signed by the recipient organization's grant administrator and submitted to the Center.

Within 14 calendar days from the date of receipt of the request for budget revision, the Center will review the request and notify the grantee whether or not the budget revision has been approved. NOTE: Budget categories are firm, and any overage in expenditure in a particular category of more than 10 percent must be approved by the Center in advance. **Under no circumstances does obtaining the Center's written approval for an overage in a given category permit a grantee to exceed the total amount that it was awarded by the Center.**

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

- the transfer to a third party (by subgranting, contracting, or other means) of any work under a grant (Center approval is not required for third-party transfers that were described in the approved project plan, or for the purchase of supplies, materials, or general support services);
- the addition of costs that are specifically disallowed by the terms and conditions of the grant award;
- the transfer of funds from one budget category to another in excess of 10 percent of each category; or
- changes in the scope or objectives of the project.

VII. Organizational Prior Approval System

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

- a. the expenditure of project funds for items that, under the applicable cost principles, normally require prior agency approval;
 - b. the one-time extension of a grant period;
 - c. the incurring of project costs prior to the beginning date of an award; and
 - d. budget revisions that involve the transfer of funds among budget categories.
- 1. Purpose.** The procedures for approving such changes are sometimes referred to as an "organizational prior approval system." The purpose of such a system is to ensure that:

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

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

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

VIII. Cost Sharing and Cost-Sharing Records

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

- Are verifiable from the grantee's records;
- Are not included as contributions for any other federally assisted program;
- Are necessary and reasonable for the proper and efficient accomplishment of project objectives;
- Are types of charges that would be allowable under the applicable cost principles;
- Are used to support activities that are included in the approved project work plan;
- Are incurred during the grant period.

Contributions such as property, space, or services that a grantee donates to a project are to be valued in accordance with the applicable federal cost principles and not on the basis of what would normally be charged for the use of these items or services. When cost sharing includes third-party in-kind contributions, the basis for determining the valuation of volunteer services and donated property or space must be documented and must conform to federal principles. Appendix 3 illustrates the cost-share report form [with instructions] that the Center will provide to grantees and local hosts to aid them in estimating cost-share totals. The form/s are due to the Center by March 31, 2014.

IX. Suspension and Termination

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

- by the Center if the grantee materially fails to comply with the terms and conditions of an award;
- by the Center with the grantee's consent, in which case the two parties shall agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion of the project to be terminated; or
- by the grantee, upon sending to the Center via fax or e-mail written notification—followed by signed documents sent via overnight or express delivery PER ARRANGEMENTS MADE BY CONTACTING OPEN WORLD BUDGET OFFICER JANE SARGUS AT (202) 707-8943—setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion of the project to be terminated. However, if the Center determines that the reduced or modified portion of the grant will not accomplish the purposes for which the grant was made, it may terminate the grant in its entirety either unilaterally or with the grantee's consent.

b. Suspension or Termination for Cause. When the Center determines that a grantee has failed to comply with the terms of the grant award, the Center may suspend or terminate the grant for cause. Normally, this action will be taken only after the grantee has been notified of the deficiency and given sufficient time to correct it, but this does not preclude immediate suspension or termination when such action is required to protect the interests of the Center. In the event that a grant is suspended and corrective action is not taken within 90 days of the effective date, the Center may issue a notice of termination.

c. Allowable Costs. No costs that are incurred during the suspension period or after the effective date of termination will be allowable except those that are specifically authorized by the suspension or termination notice or those that, in the opinion of the Center, could not have been reasonably avoided.

- d. Report and Accounting.** Within 30 days of the termination date, the grantee shall furnish to the Center a summary of progress achieved under the grant, an itemized accounting of charges incurred against grant funds and cost sharing prior to the effective date of the suspension or termination, and a separate accounting and justification for any costs that may have been incurred after this date.
- e. Termination Review Procedures.** If the grantee has received a notice of termination, the grantee may request review of the termination action. The grantee request for review must be sent via overnight or express delivery [PER ARRANGEMENTS MADE BY CONTACTING OPEN WORLD BUDGET OFFICER JANE SARGUS AT (202) 707-8943] no later than 30 days after the date of the termination notice and should be addressed to the Chairman of the Board, Open World Leadership Center, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-9980, with a copy sent via overnight or express delivery [PER ARRANGEMENTS MADE BY CONTACTING THE OFFICE OF THE INSPECTOR GENERAL AT (202) 707-6314] to the Inspector General, Library of Congress, 101 Independence Ave., S.E., Washington, DC 20540-1060.

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

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

X. Financial Management Standards

Grantee financial management systems must meet the following standards:

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

- b. **Source Documentation.** Accounting records must be supported by such source documentation as canceled checks, bank statements, invoices, paid bills, donor letters, time and attendance records, activity reports, travel reports, contractual and consultant agreements, and subaward documentation. All supporting documentation should be clearly identified with the grant and general ledger accounts that are to be charged or credited.
 - (1) The documentation required for salary charges to grants is prescribed by the cost principles applicable to the grantee organization. If an applicant organization anticipates salary changes during the course of the grant, those charges must be included in the budget request.
 - (2) Formal agreements with independent contractors, such as consultants, must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs that are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of the grantee organization.
- c. **Third-Party Contributions.** Cash contributions to the project from third parties must be accounted for in the general ledger with other grant funds. Third-party in-kind (non-cash) contributions are not required to be recorded in the general ledger, but must be under accounting control, possibly through the use of a memorandum ledger. If third-party in-kind (non-cash) contributions are used on a project, the valuation of these contributions must be supported with adequate documentation.
- d. **Internal Control.** Grantees must maintain effective control and accountability for all cash, real and personal property, and other assets. Grantees must adequately safeguard all such property and must provide assurance that it is used solely for authorized purposes. Grantees must also have systems in place that ensure compliance with the terms and conditions of each grant award.
- e. **Budget Control.** Records of expenditures must be maintained for each grant project by the cost categories of the approved budget (including indirect costs that are charged to the project), and actual expenditures are to be compared with budgeted amounts no less frequently than quarterly. Center approval is required for certain budget revisions.
- f. **Cash Management.** Grantees must also have written procedures to minimize the time elapsing between the receipt and the disbursement of grant funds to avoid having excessive federal funds on hand. Requests for advance payment shall be limited to immediate cash needs and are not to exceed anticipated expenditures for a 30-day period. Grantees must ensure that all grant funds are obligated during the grant period and spent no later than 60 days after the end of the grant period.

XI. Record Retention and Audits

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

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

Appendix 1

Procurement Guidelines

I. Procurement Responsibility

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

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

II. Procurement Standards

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

- a. **Contract Administration.** Grantees shall maintain a system for contract administration that ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. Grantees shall evaluate contractor performance and document, as appropriate, whether or not contractors have met the terms, conditions, and specifications of the contract.
- b. **Ethical Standards of Conduct.** Grantees shall maintain a written standard of conduct for awarding and administering contracts. No employee, officer, or agent of the recipient organization shall participate in the selection, or in the awarding or administration, of a contract supported by federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when any of the following have a financial or other interest in the firm selected for a contract: the employee, officer, or agent; any member of his or her immediate family; his or her partner; or an organization which employs or is about to employ any of the preceding.

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

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

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

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

III. Procurement Procedures

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

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

1. A clear and accurate description of the technical requirements for the material, product, or service to be procured. In competitive procurements, such a description shall not contain features that unduly restrict competition.
2. Requirements that the bidder/offeror must fulfill and all other factors to be used in evaluating bids or proposals.
3. Whenever practicable, a description of technical requirements in terms of the functions to be performed or the performance required, including the range of acceptable characteristics or minimum acceptable standards.
4. The specific features of "brand name or equal" descriptions that bidders are required to meet when such items are included in the solicitation.

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

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

1. Some form of price or cost analysis should be made in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices and similar indicia, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability, and allowability.
2. Procurement records and files for purchases in excess of the simplified acquisition threshold (currently \$100,000) shall include the basis for contractor selection, justification for lack of competition when competitive bids or offers are not obtained, and the basis for award cost or price.

IV. Contract Provisions

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

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

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

1. **Equal Employment Opportunity.** All contracts awarded by the grantee and the grantee's contractors and subrecipients having a value of more than \$10,000 must contain a provision requiring compliance with Executive Order 11246, entitled "Equal Employment Opportunity" as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR, Part 60).
2. **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352).** Contractors who apply or bid for an award of \$100,000 or more must file a certification with the grantee stating that they will not and have not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any federal contract, grant, cooperative agreement, loan, or any other award covered by 31 U.S.C. 1352. Such contractors must also disclose to the grantee any lobbying that takes place in connection with obtaining any federal award.
3. **Debarment and Suspension (Executive Orders 12549 and 12689).** No contracts shall be made to parties listed on the General Services Administration's Lists of Parties Excluded From Federal Procurement or Nonprocurement Programs in accordance with Executive Orders 12549 and 12689. These lists contain the names of contractors debarred, suspended, or proposed for debarment by agencies, and contractors declared ineligible under other statutory or regulatory authority other than Executive Order 12549. Grantees must obtain a certification regarding debarment and suspension from all subrecipients and from all parties with whom they contract for goods or services when (a) the amount of the contract is \$100,000 or more, or (b) when, regardless of the amount of the contract, the contractor will have a critical influence or substantive control over the covered transaction. Such persons would be project directors and providers of federally required audit services.

V. Other Federal Guidance

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

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

APPENDIX 2

Cost Principles

I. Introduction

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

II. Basic Definitions

Attachment A to the Circular describes

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

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

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

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

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

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

III. Potential Costs

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

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

1. Advertising and public relations costs
2. Advisory councils
- X 3. Alcoholic beverages
4. Audit costs and related services
- X 5. Bad debts
6. Bonding costs
7. Communication costs
8. Compensation for personal services
- X 9. Contingency provisions
10. Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement
11. Depreciation and use allowances
12. Donations to the grant project
13. Employee morale, health, and welfare costs and credits
14. Entertainment costs
- X 15. Equipment and other capital expenditures
- X 16. Fines and penalties
- X 17. Fund raising and investment management costs
- X 18. Gains and losses on depreciable assets
- X 19. Goods or services for personal use
- X 20. Housing and personal living expenses for organization employees
21. Idle facilities and idle capacity
22. Insurance and indemnification
- X 23. Interest
24. Labor relations costs
- X 25. Lobbying
- X 26. Losses on other awards
27. Maintenance and repair costs
28. Materials and supplies
29. Meetings and conferences
30. Memberships, subscriptions, and professional activity costs

- X 31. Organization costs
- 32. Page charges in professional journals
- 33. Participant support costs
- 34. Patent costs
- 35. Plant and homeland security costs
- 36. Pre-agreement costs
- 37. Professional service costs
- 38. Publication and printing costs
- 39. Rearrangement and alteration costs
- 40. Reconversion costs
- 41. Recruiting costs
- 42. Relocation costs
- 43. Rental costs
- 44. Royalties and other costs for use of patents and copyrights
- 45. Selling and marketing
- 46. Specialized service facilities
- 47. Taxes
- 48. Termination costs
- 49. Training and education costs
- 50. Transportation costs
- 51. Travel costs
- 52. Trustees

APPENDIX 3

Cost-Share Report Form and Instruction Sheet

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



OPEN WORLD
LEADERSHIP CENTER

Tel 202.707.8943

Open World Leadership Center

Fax 202.252.3464

I. Identifying Information:	
Grantee:	
Grant Number:	
Program Theme:	
Program Dates:	Date Form Completed:

II. REQUIRED COST SHARE:			
Column 1	Column 2	Column 3	Column 4
Homestay value:			
Number of nights with home hosts: <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
www.gsa.gov/perdiem			
Donated meals:			
Breakfasts: <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
Lunches: <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
Dinners: <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
www.gsa.gov/perdiem			
		SUBTOTAL:	\$0.00
Volunteer/host driving in their own cars:			
Total miles all drivers: <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
http://www.gsa.gov			
Volunteer time:			
Other unpaid hours (staff, presenter, etc.): <input type="text"/>	X <input type="text"/>	X <input type="text"/>	= <input type="text"/>
http://www.dol.gov/esa/minwage/america.htm			
		SUBTOTAL:	\$0.00
SUBTOTAL REQUIRED COST SHARE:			\$0.00

III. 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	

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

The Open World Cost-Share Report Form is designed to be a quick electronic tool for calculating in-kind contributions. Although the form can be printed and filled out by hand, the Center recommends using it on-screen, as the Excel file has all of the formulas loaded into it. If you are a local host coordinator, you may either e-mail or fax the completed form to your Grantee, along with all other final financial documentation, or you may mail a printout of it along with hard copies of final financial documentation to your Grantee. Sending this documentation via e-mail is preferred. All cost-share estimation forms are due to the Center by March 31, 2014.

Note that the form has three sections. The “Identifying Information” and “Required Cost Share” sections must be filled out in their entirety. The default amounts provided in Columns 2 and 3 are only estimates—please use the web links provided to find the amounts that apply to your state. There is no need to provide official documentation supporting the dollar amounts entered. The “Optional Section” is provided for you to list any other relevant in-kind contributions you choose. If you have any questions about these instructions, please contact Budget Officer Jane Sargus at 202-707-8943 or jsar@loc.gov (please put GRANT NUMBER OWLC-13XX - COST SHARE in the subject line).

INSTRUCTIONS

IDENTIFYING INFORMATION:

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

REQUIRED COST SHARE:

Homestay value:

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

Donated meals:

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

Volunteer/host driving in their own cars:

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

Volunteer time:

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

“Subtotal Required Cost Share” will automatically populate.

OPTIONAL SECTION:

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

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

APPENDIX 4

Glossary of Terms

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

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

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

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

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

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

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

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

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

Grants Officer - The Center staff member so designated by the Executive Director.

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

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

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

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

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

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

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

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

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

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

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

Suspension -

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

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

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