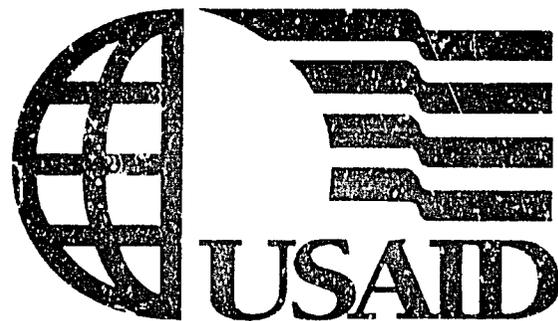


U.S. Agency for International Development

Local Private Voluntary Organizations

Registration Procedures



January 1994

FOREWARD

The Office of Private and Voluntary Cooperation in USAID's Bureau for Humanitarian Response (BHR/PVC) is the focal point for private voluntary organization (PVO) relationships with the Agency. Since 1988, the annual Foreign Assistance appropriation legislation has contained a provision stipulating that none of the funds appropriated may be made available to any PVO which is not registered with USAID. Disaster assistance funding and funding through subgrants or contracts are not subject to this requirement. The Foreign Assistance Act extends the availability of certain resources to foreign, non-profit, voluntary agencies (i.e., Local PVOs) on the basis that they also are registered with, and approved by, USAID when no U.S. PVO is available to provide the assistance.

Registration is a key element to the USAID and PVO partnership. To help facilitate the registration process and clarify the responsibilities of USAID/Washington (USAID/W) and Mission personnel, PVC has developed the LPVO Registration Procedures. The procedures detail the life cycle of LPVO registration with USAID and include step-by-step instructions.

We hope you find these procedures helpful and valuable. These procedures supersede any previous instructions and will continue until further notice. Please address any questions concerning the LPVO Registration Procedures to:

*USAID Registrar
BHR/PVC
Room 708, SA-8
Washington, D.C. 20523-0804
TEL (703) 351-0207
FAX (703) 351-0212*

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OVERVIEW: THE LPVO REGISTRATION PROCESS

INITIAL REGISTRATION

- The local private voluntary organization (LPVO) submits the documentation required by the U.S. Agency for International Development (USAID) to establish its compliance with the eight conditions of registration. The LPVO submits this documentation *directly* to local personnel at the USAID Mission.
- The USAID Mission PVO Officer and appropriate Mission staff review the documentation and complete the Standard Registration Form (SRF) provisionally registering the LPVO. (The SRF verifies that the documentation complies with the conditions required for registration.) The Officer then submits two copies of the SRF to USAID/Washington (USAID/W).
- The Office of Private and Voluntary Cooperation (PVC) in the Bureau for Humanitarian Response (BHR) of USAID/W thoroughly reviews the SRF. If additional information is needed to prove compliance, PVC contacts the USAID Mission.
- The USAID Registrar submits a memorandum to the Director of BHR/PVC to obtain approval for the LPVO's registration. After receiving approval, PVC sends a memorandum to advise the Mission Director of the LPVO's registration. Accompanying the memorandum to the Mission Director are two Certificates of Registration with the LPVO's registration number and a copy of the SRF.

ANNUAL SUBMISSION

- The registered LPVO must submit to the USAID Mission an annual submission package containing documentation demonstrating that it continues to meet the eight conditions of registration, if it is to maintain its registered status with USAID. The documentation includes financial statements, an operational budget, and an annual report.
- BHR/PVC suggests that the USAID Mission set a date, preferably six months after the LPVO's fiscal year-end, as the target date for annual submissions. The six-month lag between the fiscal year end and the annual submission due-date allows the LPVO and its auditors time to prepare the financial statements. BHR/PVC also suggests that the USAID Mission allow a grace period of not more than one additional month for compliance with the submission requirements.
- The USAID/Mission reviews the annual submission packages as they arrive. The USAID Mission immediately advises BHR/PVC regarding the LPVOs that have or have not maintained their registration status.

TERMINATION OF REGISTRATION

- When a LPVO fails to meet the submission requirements by not meeting one or more of the conditions or by not submitting the annual submission package, the USAID Mission should terminate the LPVO and notify BHR/PVC by cable immediately.
- The LPVO has the opportunity to reapply for admission to the Registry within 90 days after it has been removed. However, the LPVO must fulfill all of the documentation requirements for new applicants.

INITIAL REGISTRATION

Procedures For Initial LPVO Registration

Inquiries regarding LPVO registration are directed to the USAID Mission within the LPVO's country.

1. USAID MISSION DUTIES

- The USAID Mission PVO Officer (or other designee) provides the LPVO with conditions of eligibility and documentation requirements necessary for registration with USAID. These are listed in A.I.D. Handbook 3, Annex 1 to Appendix 4C-A, (Exhibit A) and in State 356010 (Exhibit B).
- The USAID Mission receives the required documentation from the LPVO and uses the Documentation Review Form (DRF) (Exhibit C) to verify that the documentation is complete.
- The USAID Mission evaluates the documentation and the financial condition of the LPVO as instructed in State 402756 (Exhibit D) and determines whether the applicant should be provisionally registered after receiving clearances from all appropriate Mission Officers.
- The USAID Mission then submits two copies of the completed Standard Registration Form (SRF) (Exhibit E) and one copy of the completed LPVO Data Form (Exhibit F) to BHR/PVC. The USAID Mission retains all of the supporting documentation.
- The USAID Mission assists BHR/PVC in answering any questions which BHR/PVC may have regarding the submitted SRF.
- The USAID Mission communicates to the LPVO the determination of BHR/PVC. If BHR/PVC registers the LPVO, the USAID Mission will forward the original Certificate of Registration which it receives from BHR/PVC to the LPVO and retain the Certificate copy and the approved SRF in its files. If BHR/PVC does not register the LPVO, the USAID Mission will send the LPVO a copy of the disapproved SRF with a brief explanation as to why the LPVO was not approved for registration with USAID.

Note: Some exhibits were prepared before FVA was renamed BHR.

2. **BHR/PVC DUTIES**

- BHR/PVC reviews the SRF submitted by the USAID Mission.
- BHR/PVC contacts the USAID Mission, not the LPVO, if additional information is needed to determine whether the LPVO meets the conditions of registration.
- If the LPVO is approved for registration with USAID, BHR/PVC:
 - a. Inputs the information from the LPVO Data Form into the Management Information System (MIS);
 - b. Prepares an Action Memorandum for the Director, BHR/PVC (Exhibit G);
 - c. Prepares a Certificate of Registration which includes the LPVO's newly assigned registration number (commonly referred to as a decode number) (Exhibit H);
 - d. Obtains a signature from the Director, BHR/PVC on the Action Memorandum indicating that the LPVO was *approved* for registration; obtains signatures from the Director, BHR/PVC on two copies of the SRF and on the Certificate of Registration;
 - e. Prepares a memorandum to the USAID Mission notifying it that the LPVO has been registered with USAID (Exhibit I);
 - f. Sends original and copy of the Certificate of Registration, a signed SRF, the signed BHR/PVC Action Memorandum, and notification memo to the USAID Mission; and
 - g. Retains one copy of the signed SRF in the respective country file at BHR/PVC.
- If the LPVO is not approved for registration with USAID, BHR/PVC returns the application to the USAID Mission.

ANNEX 1 TO APPENDIX 4C

ELIGIBILITY OF NON-U.S. PRIVATE AND VOLUNTARY AGENCIES
FOR PARTICIPATION IN AID-SUPPORTED PROGRAMS

1. Background:

As of October 1, 1977, any U.S. private voluntary organization seeking either a project or program grant or wishing to receive other forms of support^{1/} administered by the Agency for International Development authorized by the Foreign Assistance Act and the Agricultural Trade and Development Act must be registered. AID has recently revised and expanded the registration process for all U.S. private and voluntary organizations seeking such support. Under current legislative guidelines, this process is conducted by A.I.D.

Amendments to the Foreign Assistance Act of 1961, as amended (FAA), and the Agricultural Trade Development and Assistance Act of 1954, as amended (PL 480),^{2/} have extended the availability of certain resources under those Acts to foreign nonprofit voluntary agencies registered with, and approved by, A.I.D. when no U.S. PVO is available to provide the assistance. Section 607 of the FAA has been amended to permit registered foreign PVOs to obtain services and commodities on a reimbursable and advance-of-funds basis, and section 202(a) of P.L. 480 has been amended to allow the furnishing of agricultural commodities under Title II through registered foreign PVOs (including both third-country and indigenous PVOs). The amendments require that regulations be issued governing registration with and approval by A.I.D. of foreign non-profit voluntary agencies. Although the new amendments do not establish a legal requirement for registration of foreign PVOs as a condition for receipt of other forms of assistance which they may otherwise be authorized to receive under the FAA or P.L. 480, as a matter of policy we also intend to require certification of eligibility for all non-U.S. PVOs receiving grant assistance under Sections 103, 104, 105 and 106 of the FAA.

^{1/} Frequently called "subventions" these include reimbursement of ocean freight shipping costs, grants of excess U.S. Government property, and grants of Title II P.L. 480 commodities.

^{2/} Section 122 and 208 of the International Development and Food Assistance Act of 1977, P.L. 95-88, 91 Stat. 533, August 3, 1977.

PAGE NO. 4C-A-2	EFFECTIVE DATE April 20, 1984	TRANS. MEMO NO. 3:48	AID HANDBOOK 3, App 4C-A
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This document describes the process for registering non-U.S. voluntary agencies, including LDC host country institutions (sometimes referred to as "indigenous" PVOs), regional institutions which operate in LDCs on one continent (Africa, Asia, and Latin America), and other foreign, non-LDC (third country) and international institutions.

AID recognizes that cultural and legal systems of other countries may, of necessity, require the application of different standards and requirements to determine the eligibility of voluntary agencies for participation in AID's programs. Local tradition and law may not give formal recognition to charitable or even not-for-profit organizations, even though in practice these may exist in a particular country. Similarly, uniform standards of accountability, financial management, or controls on voluntary giving may not yet exist. Determination of eligibility of non-U.S. PVOs will frequently depend on the informed judgment of the responsible officers. Nonetheless, a number of basic principles can be applied in almost every setting.

II. Preliminary Considerations

AID recognizes that "voluntarism" can take several forms, any one of which provides a reasonable basis for measuring the "voluntary" character of a particular organization. For example,

- a group of persons voluntarily organized for some specific purpose may constitute a voluntary agency;
- an organization which acquires its funds through voluntary donations from the general public is a voluntary agency;
- an agency which draws upon "volunteer" services of the general public for the performance of some aspects of its activities may be a voluntary agency.

Regional Bureaus and USAIDs now make project grants (i.e., OPGs) to host country voluntary agencies. The same standards that govern eligibility of U.S. agencies, however, cannot be applied to non-U.S. PVOs. Therefore, a special certification of eligibility for each non-U.S. voluntary agency which receives AID support shall be established by each Mission or Bureau as appropriate. PVOs certified to be eligible for AID support will be determined at three levels:

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- a. Host country voluntary agencies domiciled and operating in one country will be certified as eligible by the principal AID officer in the country. If there is no AID Mission or office, a designated officer in the U.S. Embassy shall make the determination.
- b. Regional voluntary agencies, that is agencies operating in more than one country within a geographic bureau's jurisdiction, will be certified as eligible by the Assistant Administrator of that Bureau.
- c. Foreign (third country) and international private and voluntary organizations will be determined eligible by the Assistant Administrator of Food for Peace and Voluntary Assistance (FVA).

III. Conditions of Eligibility of Non-U.S. Private and Voluntary Organizations

To be eligible, a "voluntary" agency must be philanthropic and/or public service oriented in purpose. It must also be nonprofit, nonpolitical, and nongovernmental. Excluded from eligibility are research organizations and universities, colleges, other similarly structured and accredited institutions of learning, and churches or organizations engaged exclusively in religious activities. A prospective registrant should be able to demonstrate to the satisfaction of the reviewing officer that:

- a. It is a legal entity organized under laws of the country in which it is domiciled.
- b. It is a private, non-government entity and receives funds from private sources.
- c. It is a voluntary organization, i.e., receives voluntary contributions of money, staff time or in-kind support from the public.
- d. It operates on a not-for-profit basis and has tax exemption under the laws of its country of domicile/operation, if such laws exist and are appropriate.
- e. It is engaged in voluntary charitable or development assistance operations of a nonreligious nature which are consistent with the purposes and objectives set forth in the Foreign Assistance Act or PL 480 and described in the application and supporting documents submitted to the USAID, Regional Bureau, or FVA Bureau.

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- f. It prepares an annual financial statement and that this statement indicates the organization has the financial resources to enable it to perform its normal functions in the absence of AID support.
- g. It is controlled by an active and responsible governing body which maintains effective policy and administrative control, which meets at least annually and whose members serve without compensation; if paid officers serve on the governing body they can not constitute a majority in any decision.
- h. Under its own established priorities and programs, it obtains, expends, and distributes its funds and resources in conformity with accepted ethical standards, without unreasonable cost for promotion, publicity, fund raising and administration.

IV. Registration Documentation to be Furnished in Support of Certification of Eligibility

- a. Articles of incorporation, by-laws, constitution, or other relevant documents which describe the purpose of the organization, its methods of management, and scope of program.
- b. Copy of statement of tax exemption, if available.
- c. Latest financial statement prepared by an independent (chartered) accountant/auditor who can certify, in accordance with generally accepted accounting principles, that the organization is financially viable. For international and their country organizations, these statements must be in English.
- d. Current budget, detailing sources of income, administrative (personnel and related overhead) expenses, and program costs.
- e. Annual report of program activities (within last year) or document of similar import.
- f. Names and addresses of members of Board of Directors; average number of times Board meets in a year.

In the absence of these specific documents, the approving officer should use his discretion in accepting substitutes which provide the same or equivalent information.

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To maintain the conditions of certification of eligibility, organizations are required to supply the following information materials annually within 180 days after the close of their fiscal years:

- a. Annual financial statements, preferably audited, including a statement of income and expenditures.
- b. Current operational year budget detailing sources of income, administrative expenses and program costs.

This information could also be provided as part of annual progress reports for ongoing projects.

V. Certification of Eligibility and Notification to AID/W

The principal AID officer or, where there is no AID establishment, Embassy officer shall determine whether on the basis of documents available and, taking into account local law and practices, the host country organization meets the conditions set out in Section III above.

The AID Mission/Embassy may wish to engage the services of local legal counsel and accountant to assist in analyzing the documents used as a basis for eligibility. The procurement of legal services abroad will be in accordance with Chapter 16, AID Handbook 23.

Each non-U.S. PVO certification will be reported by the concerned bureau to the Office of Private Voluntary Cooperation, FVA Bureau, for inclusion in the Registry of non-U.S. PVOs. A one-page summary describing the non-U.S. PVO and the documents reviewed by the certifying officer shall accompany the notice of certification.

The funds obligated for each PVO shall be reported to FVA/PVC at six month intervals, with a summary report not less than 30 days after the end of each fiscal year.

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ANSA-02 ARAF-03 AHAH-01 PPMF-01 LADP-04 LACO-01 LASA-02
LACA-03 AALA-03 SAST-01 PPR-01 PPPB-02 IG-01 GCOM-02
FYA-01 ANME-03 AMEG-02 ANTR-06 PVC-02 ES-01 OFDA-02
PRE-06 STHE-03 AAPF-01 IGLS-03 SEOP-01 SETM-01 IGI1-04
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AID/AFR/DP/PPE:ADRABEN (DRAFT)

AID/ANE/TR:MR:SGRANT (DRAFT)

AID/PPC/PB:MGRAY (DRAFT)

AID/GC/LP:RLESTER (DRAFT)

AID/ES:MHAGEBOECK

AID/LAC/OP:SBENDLIEL (DRAFT)

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TAGS:

SUBJECT: RESTRICTION IN 1989 APPROPRIATIONS ACT
REGARDING REGISTRATION OF PVOS

REFS: (A) STATE 022800; (B) STATE 074046; (C) HANDBOOK
3, APPENDIX 4C - REGULATION 3 REGARDING PVO
REGISTRATION; (D) HANDBOOK 3, ANNEX 1 TO APPENDIX 4C -
ELIGIBILITY OF NON-U.S. PVOS

1. BACKGROUND AND SUMMARY. SECTION 541 OF THE 1989
APPROPRIATIONS ACT REENACTS THE REQUIREMENT THAT ALL PVOS
MUST BE REGISTERED TO BE ELIGIBLE FOR GRANTS OF
APPROPRIATED FUNDS DIRECTLY FROM AID. REGISTRATION
PROCEDURES FOR U.S. PVOS ARE SET FORTH IN AID REGULATION
3, REF C, AND AUTHORITY TO IMPLEMENT REGULATION 3 HAS
BEEN DELEGATED TO DAA/FYA/PVC. REF A QUOTED THE 1988
COMMITTEE REPORT COMMENTS OF THE SENATE APPROPRIATIONS
COMMITTEE (SAC), WHICH SPONSORED THIS PROVISION, AND
PROVIDED INTERIM GUIDANCE FOR COMPLYING WITH IT. REF B
PROVIDED ADDITIONAL INFORMATION IN RESPONSE TO FIELD
COMMENTS. DURING 1988, AID/W DISCUSSED WITH SAC STAFF
THE IMPACT OF THIS REQUIREMENT, AND THE 1989 SAC REPORT,
QUOTED BELOW, CLARIFIES THE COMMITTEE'S EXPECTATIONS

WITH RESPECT TO INDIGENOUS PVOS (REFERRED TO HEREIN AS
LOCAL OR LPVOS). THIS CABLE OUTLINES PROCEDURES FOR
COMPLYING WITH THE REQUIREMENT DURING FY 1989 AND DRAWS
FROM REFS A AND B THOSE PORTIONS WHICH CONTINUE TO BE IN
EFFECT. UNTIL FURTHER NOTICE, THESE PROCEDURES
SUPPLEMENT THE GUIDANCE, REF D, CONCERNING THE
ELIGIBILITY OF NON-U.S. PRIVATE AND VOLUNTARY AGENCIES
FOR PARTICIPATION IN AID-SUPPORTED PROGRAMS, EXCEPT FOR
PARAGRAPH V OF REF D, WHICH IS SUPERSEDED. PERMANENT
REGISTRATION OF ALL FOREIGN PVOS, INCLUDING LOCAL, WILL
BE THE RESPONSIBILITY OF FYA/PVC. THIS IS EFFECTIVE
IMMEDIATELY, AND REDELEGATION OF AUTHORITY 134.1
REGARDING REGISTRATION OF FOREIGN PVOS HEREBY IS

REVOKED. FINALLY, THIS MESSAGE IDENTIFIES ONE REMAINING
PROBLEM, I.E., HOW TO PROVIDE ASSISTANCE TO A PVO TO
DEVELOP ITS CAPABILITY TO QUALIFY FOR REGISTRATION, AND
SUGGESTS POTENTIAL SOLUTIONS.

2. 1989 LEGISLATION AND SAC REPORT. THE RELEVANT
PORTION OF SECTION 541 OF THE 1989 APPROPRIATIONS ACT
PROVIDES: QUOTE: NOR SHALL ANY OF THE FUNDS
APPROPRIATED BY THIS ACT BE MADE AVAILABLE TO ANY
PRIVATE AND VOLUNTARY ORGANIZATION WHICH IS NOT
REGISTERED WITH THE AGENCY FOR INTERNATIONAL
DEVELOPMENT. UNQUOTE

A. THE SAC REPORT STATES AS FOLLOWS:

QUOTE PVO REGISTRATION

FOR SEVERAL YEARS, AID HAS REQUIRED THAT
UNITED STATES AND INDIGENOUS PRIVATE AND VOLUNTARY
ORGANIZATIONS (PVO'S) BE REGISTERED IN ORDER TO
BE ELIGIBLE RECIPIENTS OF DIRECT GRANTS FROM AID.

LAST YEAR, THIS COMMITTEE WAS TROUBLED BY
REPORTED AND POTENTIAL ABUSES IN THE REGISTRATION
PROCESS FOR INDIGENOUS PVO'S. THE COMMITTEE
SPONSORED A NEW STATUTORY PROVISION REGARDING
REGISTRATION TO ENSURE THAT AID ENFORCES ITS
LONGSTANDING POLICY AND INSISTED THAT AID APPLY
UNIFORM AND COMPARABLE REQUIREMENTS IN THE
REGISTRATION OF UNITED STATES AND INDIGENOUS
PVO'S. ALTHOUGH THE COMMITTEE REALIZES THAT SOME
DEGREE OF FLEXIBILITY IS NECESSARY IN APPLYING
REGISTRATION STANDARDS TO INDIGENOUS PVO'S BECAUSE
OF THE DIFFERENT LEGAL SYSTEMS, PROCEDURES, AND
CIRCUMSTANCES IN MOST COUNTRIES, REGISTRATION
REQUIREMENTS SHOULD BE APPLIED AS UNIFORMLY AS

POSSIBLE. VARIATIONS SHOULD BE WELL JUSTIFIED AND
LEFT TO A MINIMUM, AND REGISTRATION SHOULD BE
APPROVED BY AID IN WASHINGTON TO ENSURE UNIFORM
APPLICATION OF REQUIREMENTS.

THIS YEAR THE COMMITTEE WISHES TO CLARIFY TWO
POINTS. FIRST, IT IS NOT INTENDED TO REQUIRE
REGISTRATION OF PVO'S IN ORDER TO BE ELIGIBLE FOR
SUBGRANTS, BUT ONLY FOR DIRECT GRANTS FROM AID.
THE PVO SUBGRANT PROGRAM IS AN IMPORTANT MEANS OF
DEVELOPING THE CAPABILITY OF SMALL PVO'S IN ORDER
TO QUALIFY FOR REGISTRATION AND DIRECT ASSISTANCE
FROM AID. IT ALSO IS A USEFUL MECHANISM FOR
PROVIDING SUPPORT FOR LARGE NUMBERS OF SMALL
INDIGENOUS ORGANIZATIONS, ESPECIALLY THOSE
REPRESENTING WOMEN, TRIBAL PEOPLES, AND OTHER
MINORITIES.

SECOND, THE COMMITTEE REALIZES THAT THE
INITIAL JUDGMENT WHETHER AN INDIGENOUS PVO
QUALIFIES FOR REGISTRATION SHOULD BE MADE BY AID
MISSIONS. THE REGISTRATION PROCESS INVOLVES
EXTENSIVE DOCUMENTATION, OFTEN IN THE LANGUAGE OF
THE HOST COUNTRY, AND REQUIRES AN UNDERSTANDING OF
THE LOCAL LEGAL SYSTEM, CUSTOMS, AND PROCEDURES.
MOREOVER, REGISTRATION OF INDIGENOUS PVO'S IN
WASHINGTON WOULD LEAD TO LENGTHY DELAYS WHICH
INTERFERE WITH TIMELY OPERATION OF THE ASSISTANCE
PROGRAM IN A COUNTRY. ON THE OTHER HAND, THE
COMMITTEE PERSISTS IN ITS CONCERN THAT ABUSES
SHOULD BE PREVENTED AND THAT REGISTRATION STANDARDS
SHOULD BE APPLIED AS UNIFORMLY AS POSSIBLE. THE
COMMITTEE BELIEVES THESE INTERESTS CAN BE
ACCOMMODATED IF THE PROCESS OF REGISTERING
INDIGENOUS PVO'S IS IMPLEMENTED IN TWO PHASES.
FIRST, AID MISSIONS MAY REVIEW DOCUMENTATION

EXHIBIT B

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SUBMITTED BY A LOCAL APPLICANT AND, IF WARRANTED, REGISTER THE INDIGENOUS ORGANIZATION AS A PVO ON A PROVISIONAL BASIS. THE PVO WOULD BE ELIGIBLE FOR ASSISTANCE. THE MISSION WOULD THEN PROVIDE A DETAILED REPORT TO AID'S OFFICE OF PRIVATE AND VOLUNTARY COOPERATION (PVC) FOR PVC'S APPROVAL AND PERMANENT REGISTRATION. THIS WRITTEN REPORT SHOULD DESCRIBE HOW THE INDIGENOUS PVO SATISFIES THE STANDARDS FOR REGISTRATION AND PROVIDE A JUSTIFICATION FOR ANY VARIATIONS FROM THESE STANDARDS REQUIRED BY LOCAL LAWS, CUSTOMS, OR PRACTICES. WITH REGARD TO PVO'S IN SOUTH AFRICA, IF THE REGISTRATION PROCESS AS PRESENTLY STRUCTURED PROVES A DISINCENTIVE TO THE PARTICIPATION OF PVO'S

IN SOUTH AFRICA, THE COMMITTEE WOULD BE AGREEABLE TO DISCUSSING ALTERNATIVE PROCEDURES WHICH WOULD PROTECT ITS CONCERNS AND STILL ALLOW THE PROGRAM TO CONTINUE. THE COMMITTEE WOULD LIKE TO DISCUSS THESE ISSUES WITH AID AS SOON AS POSSIBLE SO THAT MUTUALLY ACCEPTABLE PROCEDURES CAN BE DEVELOPED FOR FISCAL YEAR 1989. UNQUOTE

3. APPLICABILITY OF THE REGISTRATION REQUIREMENT. THE CLARIFICATION PROVIDED IN THE SAC REPORT CONFIRMS THE GUIDANCE REGARDING APPLICABILITY OF THIS REQUIREMENT TO LOCAL PVOs AS SET FORTH IN REFS A AND B AND EXPANDS IT SOMEWHAT:

A. REGISTRATION IS REQUIRED FOR ASSISTANCE FUNDING PROVIDED BY AID DIRECTLY TO A PVO THROUGH A GRANT OR COOPERATIVE AGREEMENT. THIS INCLUDES FUNDS FROM ANY ACCOUNT OF THE 1989 APPROPRIATIONS ACT, EXCEPT THOSE FOR WHICH ASSISTANCE IS AUTHORIZED NOTWITHSTANDING ANY PROVISION OF THIS OR ANY OTHER ACT -- SUCH AS DISASTER RELIEF UNDER SECTION 491 OF THE FAA. THE REGISTRATION REQUIREMENT APPLIES TO INCREMENTAL OBLIGATIONS MADE TO EXISTING AGREEMENTS WITH FY 1989 FUNDS, BUT DOES NOT APPLY TO FUNDS OBLIGATED PRIOR TO FY 1989 WHEN THE REQUIREMENT WAS FIRST ENACTED.

B. PVOs MUST BE REGISTERED TO BE ELIGIBLE FOR DIRECT REPEAT DIRECT GRANTS OR COOPERATIVE AGREEMENTS FROM AID. THE REQUIREMENT DOES NOT APPLY TO SUBGRANTS FROM PVOs OR GOVERNMENTAL OR NONGOVERNMENTAL ORGANIZATIONS (NGOs) OR TO FUNDING PROVIDED TO PVOs THROUGH CONTRACTORS, SUCH AS IN SOME PVO UMBRELLA PROJECTS, IF FUNDING IS PROVIDED THROUGH THE CONTRACTOR WHICH SELECTS AND MONITORS THE PVO AND IS RESPONSIBLE TO AID FOR THE USE OF FUNDS BY THE PVO.

C. A PVO NEED NOT BE REGISTERED TO BE ELIGIBLE FOR ASSISTANCE IN THE FORM OF TECHNICAL CONSULTANT SERVICES OR TRAINING.

D. IT IS NOT NECESSARY FOR A PVO TO BE REGISTERED IN ORDER TO BE ELIGIBLE AS A CONTRACTOR OR SUBCONTRACTOR PROVIDING GOODS OR SERVICES TO AID, A HOST COUNTRY OR ANOTHER PVO.

4. DEFINITION OF AN NGO AND A PVO. THE REGISTRATION REQUIREMENT APPLIES ONLY TO THOSE NGOS WHICH ALSO ARE PVOs, I.E., SATISFIES EACH OF THE ELEMENTS IN THE

DEFINITION OF A PVO SET FORTH IN PARAGRAPH 0, BELOW.

A. AN NGO. THE TERM NGO IS A BROADER CATEGORY AND INCLUDES NOT ONLY PVOs BUT ALSO OTHER ORGANIZATIONS, SUCH AS EDUCATIONAL OR RESEARCH INSTITUTIONS AND PROFIT-MAKING FIRMS. AN NGO WHICH IS NOT A PVO REMAINS

ELIGIBLE FOR ASSISTANCE WITHOUT REGISTRATION, BUT IT CANNOT PARTICIPATE IN CERTAIN ACTIVITIES THAT ARE RESERVED BY POLICY OR LAW FOR PVOs SUCH AS AID'S PAYMENT FOR OCEAN FREIGHT SHIPPING COSTS UNDER SECTION 123 (B) OF THE FAA, PROCURING GOODS OR SERVICES FROM FEDERAL AGENCIES UNDER SECTION 607 (A) OF THE FAA, PARTICIPATING AS COOPERATING SPONSORS UNDER SECTION 202 (A) OF P.L. 480, OR PARTICIPATING IN THE PVO MATCHING GRANT, CHILD SURVIVAL, AND MISSION PVO PROGRAMS.

B. A PVO. ALTHOUGH NOT STATED AS A DEFINITION, THE CONDITIONS OF REGISTRATION (CONDITIONS 1 THROUGH 5 FOR USPVOs, REF C, AND TEXT OF PARAGRAPH 111 THROUGH SUBPARAGRAPH E FOR FOREIGN PVOs, REF D) DESCRIBE THE ESSENTIAL CHARACTERISTICS THAT HAVE BEEN USED TO IDENTIFY A PVO FOR MANY YEARS. (AN NGO MUST HAVE EACH OF THESE CHARACTERISTICS IN ORDER TO BE A PVO.) THUS, UNTIL NOTIFIED OTHERWISE A PVO IS DEFINED AS A PRIVATE NONGOVERNMENTAL ORGANIZATION (BUT NOT A UNIVERSITY, COLLEGE, ACCREDITED DEGREE-GRANTING INSTITUTION OF EDUCATION, PRIVATE FOUNDATION, INSTITUTION ENGAGED SOLELY IN RESEARCH OR SCIENTIFIC ACTIVITIES, A CHURCH OR OTHER ORGANIZATION ENGAGED EXCLUSIVELY IN RELIGIOUS ACTIVITY) WHICH

-- IS ORGANIZED UNDER THE LAWS OF A COUNTRY;

-- RECEIVES FUNDS FROM PRIVATE SOURCES;

-- IS NONPROFIT WITH APPROPRIATE TAX EXEMPT STATUS IF THE LAWS OF THE COUNTRY GRANT SUCH STATUS TO NONPROFIT ORGANIZATIONS;

-- IS VOLUNTARY IN THAT IT RECEIVES VOLUNTARY CONTRIBUTIONS OF MONEY, STAFF TIME, OR IN-KIND SUPPORT FROM THE PUBLIC; AND

-- IS ENGAGED IN VOLUNTARY CHARITABLE OR DEVELOPMENT ASSISTANCE ACTIVITIES, OTHER THAN RELIGIOUS, OR ANTICIPATES DOING SO.

5. UNIFORM CONDITIONS FOR REGISTRATION. WE HAVE FOUND

THAT THE EXISTING REQUIREMENTS OR CONDITIONS FOR REGISTRATION OF LOCAL PVOs SET FORTH IN REF D GENERALLY ARE UNIFORM AND COMPARABLE TO THOSE FOR USPVOs, REF C. BOTH ARE DESIGNED TO OBTAIN INFORMATION DEMONSTRATING THAT THE APPLICANT FOR REGISTRATION IS A RESPONSIBLE ORGANIZATION WHICH PROPERLY ACCOUNTS FOR THE FUNDS AVAILABLE TO IT. MANY OF THESE SAME FEATURES ARE EXAMINED, IN MORE DEPTH, AS PART OF THE PROCESS OF AWARDING A SPECIFIC SUPPORT GRANT DIRECTLY TO A USPVO OR LOCAL PVO. SEE HANDBOOK 13, CHAPTER 4, PARAGRAPHS 4E AND 4F. THE DIFFERENCES BETWEEN THE REQUIREMENTS AND CONDITIONS IN REF C AND REF D, TO A LARGE EXTENT, ARE CAUSED BY SEVERAL FACTS. FIRST, USPVOs SOMETIMES REFER TO THEIR REGISTRATION WITH AID AS PART OF THEIR PROMOTIONAL AND FUND-RAISING ACTIVITY IN THE UNITED STATES. AID ATTEMPTS TO ENSURE, THEREFORE, THAT CERTAIN SPECIFIC KINDS OF PRACTICES ARE OBSERVED BY THE USPVO AND INFORMATION IS AVAILABLE BOTH TO THE AGENCY AND THE UNITED STATES PUBLIC. SECOND, THERE HAS BEEN A REQUIREMENT THAT USPVOs OBTAIN AT LEAST 20 PERCENT OF THEIR FUNDS FOR OVERSEAS ACTIVITIES FROM SOURCES OTHER THAN THE GOVERNMENT. THE REGISTRATION PROCESS, INCLUDING ANNUAL REPORTS, MUST PROVIDE RELIABLE FINANCIAL INFORMATION WHICH IS USED BY AID TO DETERMINE WHETHER THE USPVO IS ELIGIBLE FOR SUPPORT UNDER THAT STATUTORY REQUIREMENT. THIRD, IN ESTABLISHING REGULATORY REQUIREMENTS FOR U.S. ORGANIZATIONS TO OBTAIN

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A CERTAIN STATUS WITH THE GOVERNMENT, I.E., REGISTRATION BY AID, IT IS NECESSARY FOR THE GOVERNMENT TO DESCRIBE ITS REQUIREMENTS IN DETAIL AND WITH SPECIFICITY, RATHER THAN USING VAGUE CHARACTERIZATIONS SUCH AS QUOTE ETHICAL STANDARDS UNQUOTE, IN ORDER TO AVOID ALLEGATIONS THAT AN EXERCISE OF JUDGMENT IS ARBITRARY AND CAPRICIOUS. FINALLY, THE SPECIFIC REQUIREMENTS IN REF C ARE BASED ON AN AGENCY JUDGMENT ABOUT WHAT IS APPROPRIATE UNDER CONCEPTS AND CIRCUMSTANCES PREVAILING IN THE UNITED STATES WHICH ARE NOT NECESSARILY APPROPRIATE AND MAY EVEN CONFLICT WITH THOSE PREVAILING IN DEVELOPING COUNTRIES WHERE AID FURNISHES ASSISTANCE TO INDIGENOUS PVOS.

6. PROVISIONAL REGISTRATION BY FIELD POSTS. IN RESPONSE TO THE ALTERNATIVES PROVIDED PARA 3 REF B, MOST FIELD POSTS CHOSE OPTION B, PROVISIONAL REGISTRATION AT POST SUBJECT TO CONCURRENCE BY FVA/PVC TO ENSURE UNIFORM APPLICATION OF REGISTRATION REQUIREMENTS. AS INDICATED IN THE SAC REPORT QUOTED PARA 2 ABOVE, THE COMMITTEE ALSO FOUND THIS ALTERNATIVE TO BE AN ACCEPTABLE

ACCOMMODATION BETWEEN THE PROBLEMS INVOLVED WITH REGISTRATION AND THE COMMITTEE'S INTEREST IN UNIFORM APPLICATION OF REGISTRATION STANDARDS. THUS, POSTS SHOULD PROCESS APPLICATIONS FOR REGISTRATION AS DESCRIBED IN REF D, EXCEPT PARAGRAPH V OF REF D. YOU ALSO MAY FIND HELPFUL IN THIS RESPECT THE BOOKLET, ENTITLED THE AID-PVC PARTNERSHIP, WHICH HAS BEEN PROVIDED TO ALL POSTS. FIELD POSTS WILL REVIEW DOCUMENTATION SUBMITTED BY A LOCAL APPLICANT AND, IF WARRANTED, REGISTER IT AS A PVO ON A PROVISIONAL BASIS.

7. REVIEW OF FIELD POST PROVISIONAL REGISTRATION AND PERMANENT REGISTRATION BY FVA/PVC. FINAL APPROVAL OF REGISTRATION OF PVOS, INCLUDING LOCAL AND OTHER FOREIGN PVOS, IS REDELEGATED TO DAA/FVA/PVC. THE FOLLOWING PROCESS WILL BE USED FOR LOCAL PVOS:

A. AFTER PROVISIONAL REGISTRATION OF A LOCAL PVO, THE FIELD POST WILL PROVIDE A DETAILED REPORT TO FVA/PVC FOR PVC'S APPROVAL AND PERMANENT REGISTRATION OF THE LOCAL PVO. THE REPORT WILL DESCRIBE HOW THE PVO SATISFIES THE CONDITIONS FOR REGISTRATION SET FORTH IN REF D AND PROVIDE A JUSTIFICATION FOR ANY VARIATIONS FROM THESE STANDARDS REQUIRED BY LOCAL LAW, CUSTOMS OR PRACTICES OR JUSTIFICATION FOR ANY DOCUMENTATION ACCEPTED BY THE FIELD POST IN LIEU OF THE DOCUMENTS DESCRIBED IN REF D.

B. THIS REPORT WILL BE PROVIDED IN A STANDARD FORMAT WHICH WILL BE SENT BY CABLE FROM PVC TO ALL POSTS. OFFICERS SHOULD NOTE THAT EACH DEPARTURE FROM A CONDITION OR ITS SUPPORTING DOCUMENTATION SHOULD BE EXPLAINED IN THE COMMENT SECTION OF THE REPORT. WHEN THIS REPORT IS COMPLETED AND SIGNED BY THE APPROPRIATE OFFICER AT POST, THE LOCAL PVO IS PROVISIONALLY REGISTERED AND IS ELIGIBLE TO RECEIVE ASSISTANCE DIRECTLY FROM AID.

C. TWO SIGNED COPIES OF THE REPORT SHOULD BE SENT TO FVA/PVC, ATTENTION REGISTRATION OFFICER, WHERE IT WILL BE REVIEWED. ONE ORIGINAL IS FOR FVA/PVC'S REGISTRATION FILES AND THE OTHER SIGNED ORIGINAL IS FOR THE POST'S REGISTRATION FILE. DO NOT REPEAT NOT SEND ANY SUPPORTING DOCUMENTATION SUBMITTED BY THE PVO TO THE FIELD POST, SUCH AS ARTICLES OF INCORPORATION, FINANCIAL STATEMENTS, ETC.

D. UPON REVIEW, PVC MAY APPROVE THE POST'S PROVISIONAL REGISTRATION, MAY REQUEST ADDITIONAL INFORMATION BEFORE

APPROVAL OR DISAPPROVAL, OR PVC MAY DISAPPROVE REGISTRATION.

E. AFTER PVC'S REVIEW IS COMPLETED, IT WILL RETURN ONE COPY OF THE FORM AS ORIGINALLY SUBMITTED OR AS REVISED BASED ON ADDITIONAL INFORMATION RECEIVED FROM FIELD POST WITH THE SIGNATURE OF DAA/FVA/PVC ON THE APPROVAL OR DISAPPROVAL LINE. THE SIGNED FORM WILL CONSTITUTE THE OFFICIAL AID DOCUMENTATION OF THE REGISTRATION ACTION. SIGNED COPIES SHOULD BE RETAINED BOTH BY PVC AND THE FIELD POST. FVA/PVC WILL ISSUE THREE ORIGINAL ONE-PAGE CERTIFICATES OF REGISTRATION SIGNED BY DAA/FVA/PVC WITH THE DESIGNATED REGISTRATION NUMBER FOR THE PVO. ONE ORIGINAL WILL BE RETAINED BY FVA/PVC, THE SECOND ORIGINAL BY FIELD POST AND THE THIRD BY THE PVO.

F. INDIGENOUS PVOS APPROVED BY PVC WILL BE PLACED ON THE PVO REGISTRY.

G. IF PVC DOES NOT APPROVE PERMANENT REGISTRATION OF THE LOCAL PVO, THE FIELD POST MAY COMPLETE DISBURSEMENT OF FUNDS GRANTED TO THE LOCAL PVO WHILE IT WAS REGISTERED PROVISIONALLY, BUT THE LOCAL PVO WILL CEASE TO BE ELIGIBLE FOR ANY FURTHER ASSISTANCE IN THE FORM OF GRANT FUNDING DIRECTLY FROM AID. PVC WILL PROVIDE THE FIELD POST WITH ITS SPECIFIC REASONS FOR NOT APPROVING THE PVO'S PERMANENT REGISTRATION. THE FIELD POST MAY LATER RESUBMIT ITS REQUEST FOR PERMANENT REGISTRATION TO PVC WHEN IT HAS OBTAINED ADDITIONAL INFORMATION WHICH THE FIELD POST BELIEVES ADDRESSES THE REASONS GIVEN BY PVC FOR NOT APPROVING ITS ORIGINAL RECOMMENDATION TO REGISTER THE PVO. THE FIELD POST SHOULD NOT PROVIDE ANY NEW ASSISTANCE TO THIS PVO, HOWEVER, UNTIL PVC CONSIDERS THE NEW INFORMATION AND APPROVES REGISTRATION.

7. ANNUAL REPORT. PVOS ARE REQUIRED TO SUBMIT ANNUAL REPORTS IN ORDER TO MAINTAIN THEIR REGISTRATION STATUS. SEE REF C, SECTION 203.3 REGARDING USPVOS AND REF D PARAGRAPH IV FOR LOCAL PVOS. AFTER REVIEWING A LOCAL PVO'S ANNUAL REPORT, THE FIELD POST SHOULD ADVISE FVA/PVC, BY CABLE, WHETHER THE PVO'S REGISTRATION SHOULD BE CONTINUED, OR WHETHER THERE ARE PROBLEMS THAT NEED TO BE ADDRESSED, OR WHETHER THE LOCAL PVO'S REGISTRATION SHOULD BE TERMINATED. FVA/PVC MAY AT ITS DISCRETION, ASK FIELD POSTS TO PROVIDE AN EXPLANATION OF THEIR DECISIONS TO CONTINUE REGISTRATION OF LOCAL PVOS.

B. POTENTIAL REMAINING PROBLEMS. THERE MAY BE

INSTANCES WHEN EITHER THE FIELD POST OR FVA/PVC MAY REFUSE TO REGISTER A LOCAL PVO, BECAUSE IT DOES NOT MEET THE REGISTRATION CONDITIONS, BUT IT WOULD BE IN THE INTERESTS OF THE U.S. TO DEVELOP THE LOCAL PVO'S INSTITUTIONAL CAPABILITY TO QUALIFY FOR REGISTRATION. SECTION 541 OF THE 1969 APPROPRIATIONS ACT PROHIBITS A GRANT OF FUNDS DIRECTLY BY AID TO THE PVO UNLESS IT IS REGISTERED. IF THIS OCCURS, THE PVO WILL REMAIN ELIGIBLE FOR SUBGRANTS, AS DISCUSSED ABOVE, AND ASSISTANCE MAY BE FURNISHED IN THIS WAY UNTIL IT DEVELOPS THE CAPABILITY TO QUALIFY FOR DIRECT FUNDING FROM AID. IF SUBGRANTS ARE NOT A REALISTIC POSSIBILITY, FIELD POSTS MAY PROVIDE TECHNICAL ASSISTANCE IN THE FORM OF CONSULTING SERVICES IN AN EFFORT TO DEVELOP THE PVO'S CAPABILITY IN ORDER TO QUALIFY FOR REGISTRATION; I.E. THE FIELD POST MAY HIRE A CONSULTANT TO WORK WITH THE PVO. PLEASE ADVISE IF NEITHER OF THESE ALTERNATIVES IS POSSIBLE, AND IT IS NECESSARY OR DESIRABLE TO PROVIDE FUNDING DIRECTLY TO THE UNREGISTERED LOCAL PVO TO IMPROVE ITS QUALIFICATIONS AND TO SUPPORT SOME

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OPERATIONAL ACTIVITY. IF THIS PROBLEM IS WIDESPREAD, AID/W MIGHT CONSIDER ADOPTING TWO LEVELS OF REGISTRATION: ONE FOR FULL OPERATIONAL ELIGIBILITY AND THE OTHER FOR INSTITUTIONAL DEVELOPMENT AND MINOR, INCIDENTAL OPERATIONAL ACTIVITY. FIELD POSTS ARE REQUESTED TO PROVIDE YOUR VIEWS ABOUT WHETHER THIS WOULD BE NECESSARY OR DESIRABLE AND ABOUT THE KINDS OF REGISTRATION REQUIREMENTS THAT SHOULD BE SATISFIED AND ACTIVITIES THAT SHOULD BE SUPPORTED BEFORE THE PVO SATISFIES THE REQUIREMENTS FOR FULL REGISTRATION AND DIRECT SUPPORT FROM AID.

9. FUTURE GUIDANCE. IT MAY BE NECESSARY TO REFINE FURTHER THE DEFINITION OF A PVO AND/OR THE CONDITIONS FOR REGISTRATION AND TO CONSIDER WHETHER TWO LEVELS OF REGISTRATION IS USEFUL OR NECESSARY. AID/W WOULD APPRECIATE YOUR VIEWS ON THESE AND ANY OTHER POINTS YOU BELIEVE ARE NOT CLEAR OR OPERATIONAL.

10. RE PARA 4D, REF A, LOCAL PVOs REGISTERED BY FIELD POSTS IN FY 1968 ARE APPROVED BY FVA/PPC, AND DOCUMENTS PROVIDED TO AID/W WILL BE RETURNED TO THE FIELD.

11. SOUTH AFRICA. COMMENTS ON YOUR VIEWS SET FORTH IN PRETORIA 10465 WILL BE SUBJECT OF SEPIEL. SHULTZ



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LPVO DOCUMENTATION REVIEW FORM (DRF)
(For Mission and Office Internal Use Only)

Instructions: Please check the documents you have reviewed to determine whether the applicant organization meets the conditions of registration. If a particular document is not submitted by the organization or is not applicable in the particular country, an explanation should be provided in the "Comments" section of the SRF. The documentation requirement for each condition is listed in the A.I.D. Handbook 3, Appendix 4C-A-4.

CONDITION 1: Legal Entity

Articles of Incorporation _____
By-laws _____
Statement of Original Purpose _____
Other: _____

Comments:

CONDITION 2: Private Sources

Statement of Revenue and Expenses _____
Sources of Funds Listed _____

Comments:

CONDITION 3: Voluntary Contributions

Annual Report (or similar document) _____
Financial Statements _____

Comments:

CONDITION 4: Tax Exempt

Statement of Tax-Exempt Status
(or other relevant condition) _____

Comments:

CONDITION 5: Charitable or Development Activities

Annual Report of Activities
(or other narrative explanation) _____

Comments:

CONDITION 6: Sound Financial Management and Viability

Financial Statements _____
Current Budget _____
Acceptable Accounting System (Y/N) _____

Comments:

CONDITION 7: Board

List of Board Member Names _____
Evidence that Board meetings have
been conducted (e.g. Board
minutes; other documentation,
etc.) _____

Comments:

CONDITION 8: Uses of Funds

Financial Statements (to verify
reasonable fund raising costs)
Statement Listing Top 5 Salaries

Comments:

Please Note: In the absence of these specific documents, the certifying officer should use his/her discretion in accepting substitutes which provide the same or equivalent information, provided there is an explanation in the "Comments" section.

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ANNEX 1 TO APPENDIX 4C - ELIGIBILITY OF NON-U.S. PVOS.

INFO RED-01 /001 A7 MC 29/00102

ORIGIN OFFICE PVC-02
INFO AFEA-03 AFSA-03 AFFW-04 AFCA-03 AFCA-03 AFCA-03 AFCA-03
AMSA-03 AARF-03 ANAA-01 LADP-04 LACC-01 LACA-02 LACA-03
PPR-01 IG-01 GC-01 FYA-01 ANHE-03 ANEG-02 ANTR-06 ES-01
PRE-06 AAPF-01 IGLC-01 SEOP-01 SETN-01 IGI1-04 IGA0-02
FPA-02 SERP-01 SECS-02 REIC-01 ANAD-01 TELE-01
/002 AB

INFO LOG-00 EUR-00 AF-00 IO-19 MEJ-04 ARJ-00 EAP-00
/023 B

DRAFTED BY: AID/FYA/PVC:ENDRBERGER:EK:1866P

APPROVED BY: AID/FYA/PVC:LTAMHER

AID/FYA/PVC:KPOE (DRAFT)

AID/AFR/DP:PPE:ADRABER (DRAFT)

AID/LAC/DP:SBENDLIEL (DRAFT)

AID/AME/TR:NR:SGRANT (DRAFT)

AID/GC/CP:STISA (DRAFT)

AID/ES:GJOE

-----017547 140222 /30

R 140714Z DEC 88 ZEK
FM SECSTATE WASHDC
TO AID WORLDWIDE

UNCLAS STATE 482756

NIDAC

E. O. 12356: N/A

TAGS:

SUBJECT: LOCAL PVO REGISTRATION PROCEDURE

REF.: W/ STATE 356010

1. AS STATED IN REF A PARA 7B, FYA/PVC HAS DEVELOPED A FORM USAIDS ARE TO COMPLETE IN ORDER TO REGISTER INDIGENOUS ORGANIZATIONS ON A PERMANENT BASIS. TWO SIGNED COPIES OF THE FORM ARE TO BE POUCHED TO FYA/PVC IN ORDER FOR A LPVO TO BE REVIEWED FOR PERMANENT REGISTRATION STATUS. AS STATED IN REF A, USAIDS MAY FUND THE ORGANIZATION WHILE RECOGNIZING THAT IF AID/W DOES NOT APPROVE THE REGISTRATION ACTION, FUTURE FUNDING OF NEW ACTIVITIES WILL NOT BE PERMITTED. CONTINUED FUNDING OF NEW ACTIVITIES WILL BE PERMITTED PROVIDED THAT THE INITIAL AUTHORIZATION LEVEL IS NOT EXCEEDED. FYA/PVC WILL REVIEW THIS PROVISIONAL REGISTRATION AND RETURN A SIGNED COPY WITH ITS FINAL DETERMINATION TO THE RESPECTIVE USAID. NO ADDITIONAL OR SUPPORTING DOCUMENTATION SHOULD BE MAILED TO FYA/PVC, UNLESS REQUESTED.

2. ALL LPVDS REGISTERED PRIOR TO THE RECEIPT OF REF A ARE CONSIDERED REGISTERED AND NEED NOT BE RE-REGISTERED UNDER CURRENT PROCEDURES (I.E., NO FURTHER DOCUMENTATION SHOULD BE SUBMITTED TO AID/W). PROCEDURES ESTABLISHED IN REF A FOR LPVO REGISTRATION APPLY TO REGISTRATION ACTION INITIATED AFTER RECEIPT OF REF A.

3. THE FOLLOWING EXPLANATIONS ARE PROVIDED REGARDING THE COMMENTS AND JUSTIFICATIONS SECTION APPLICABLE TO EACH CONDITION OF REGISTRATION OF THE STANDARD REGISTRATION FORM (SRF).

A. COMMENTS:
THE QUOTE COMMENTS UNQUOTE SECTION UNDER EACH CONDITION FOR REGISTRATION IS INTENDED TO PROVIDE FURTHER EXPLANATION OF HOW THE LPVO SATISFIES THE CONDITIONS FOR REGISTRATION AS STATED IN HANDBOOK 3,

B. JUSTIFICATION:
THE QUOTE JUSTIFICATION UNQUOTE SECTION UNDER EACH CONDITION FOR REGISTRATION IS INTENDED TO PROVIDE A JUSTIFICATION FOR ANY VARIATION FROM THE CONDITIONS REQUIRED BY LOCAL LAW, CUSTOMS OR PRACTICES. EACH DEPARTURE FROM A CONDITION OR ITS SUPPORTING DOCUMENTATION SHOULD BE EXPLAINED IN THIS SECTION.

4. THE FORMAT FOR THE LPVO STANDARD REGISTRATION FORM (SRF), REFERRED TO IN REF A PARA 7B AS THE QUOTE REPORT UNQUOTE, FOLLOWS:

(PAGE 1)

LOCAL PVO STANDARD REGISTRATION FORM (SRF)

OPENING STATEMENT:

USAID/----- HAS PROVISIONALLY REGISTERED A LOCAL, PRIVATE, AND VOLUNTARY ORGANIZATION AND INTENDS TO FUND THE ORGANIZATION IN THE NEAR FUTURE. WE RECOGNIZE THAT IF AID/W DOES NOT APPROVE THE REGISTRATION ACTION FUTURE FUNDING OF NEW ACTIVITIES WILL NOT BE PERMITTED. CONTINUED FUNDING OF ONGOING ACTIVITIES WILL BE PERMITTED PROVIDED THAT THE INITIAL AUTHORIZATION LEVEL IS NOT EXCEEDED. TWO COPIES OF THIS FORM WILL BE MAILED TO THE REGISTRATION OFFICER, FYA/PVC/IPS, ROOM 329 SA-8, WASHINGTON, D.C. 20523. FYA/PVC WILL REVIEW THIS PROVISIONAL APPLICATION AND RETURN A SIGNED COPY WITH ITS FINAL DETERMINATION TO THE RESPECTIVE MISSION.

REGISTRATION CERTIFICATION

NAME OF LPVO:

ADDRESS:

COUNTRY:

PRINCIPAL LPVO CONTACT OR CEO:

TITLE:

USAID PROVISIONAL REGISTRATION ACTION:

I HAVE REVIEWED ALL THE NECESSARY DOCUMENTS OF ----- AND HAVE DETERMINED THAT THE ORGANIZATION MEETS THE CONDITIONS OF REGISTRATION AS OUTLINED IN HANDBOOK 3, APPENDIX 4CA AND FURTHER DOCUMENTED HEREIN. THESE DOCUMENTS WILL BE RETAINED AT THE MISSION AND BE MADE AVAILABLE UPON REQUEST.

SIGNATURE OF CERTIFYING OFFICER

DATE

NAME PRINTED

MISSION DIRECTOR

TITLE

FYA/PVC DETERMINATION:

APPROVAL

DISAPPROVAL

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NAME OF OFFICIAL

DAI/FVA.PVC
 TITLE

DATE

PAGE 2 AND SUBSEQUENT PAGES

JUSTIFICATION: (SEE PARA 3B)

CONDITION 6:
 THE LPVO HAS AN ACCEPTABLE SYSTEM TO ACCOUNT FOR THE RECEIPT AND EXPENDITURE OF USG FUNDS AND PREPARES AN ANNUAL FINANCIAL STATEMENT THAT IS AN ACCURATE AND FAIR REPRESENTATION OF THE ORGANIZATION'S FINANCIAL POSITION INDICATING THAT IT HAS THE FINANCIAL RESOURCES TO ENABLE IT TO PERFORM ITS NORMAL FUNCTIONS IN THE ABSENCE OF AID SUPPORT.

COMMENTS: (SEE PARA 3A)
 (NOTE: COMMENTS SHOULD INCLUDE A BRIEF ANALYSIS OF RELEVANT FINANCIAL STATISTICS, SUCH AS ASSETS, LIABILITIES, REVENUES, CASH ON HAND, ETC., SUFFICIENT TO SUBSTANTIATE A DETERMINATION OF FINANCIAL VIABILITY.)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 7:
 THE LPVO IS CONTROLLED BY AN ACTIVE AND RESPONSIBLE GOVERNING BODY WHICH MAINTAINS EFFECTIVE POLICY AND ADMINISTRATIVE CONTROL, WHICH MEETS AT LEAST ANNUALLY AND WHOSE MEMBERS SERVE WITHOUT COMPENSATION; IF PAID OFFICERS SERVE ON THE GOVERNING BODY, THEY CANNOT CONSTITUTE A MAJORITY IN ANY DECISION.

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 8:
 THE LPVO, UNDER ITS OWN ESTABLISHED PRIORITIES AND PROGRAMS, OBTAINS, EXPENSES, AND DISTRIBUTES ITS FUNDS AND RESOURCES IN CONFORMITY WITH ACCEPTED ETHICAL STANDARDS, WITHOUT UNREASONABLE COST FOR PROMOTION, PUBLICITY, FUND RAISING AND ADMINISTRATION. FVA/PVC GENERALLY CONSIDERS SUCH COSTS IN EXCESS OF 25 PERCENT TO BE UNREASONABLE. JUSTIFICATION FOR SUCH COSTS EXCEEDING 25 PERCENT CAN BE SUBMITTED AND WILL BE CONSIDERED BY AID/W. HOWEVER, APPLICANTS WITH SUCH COSTS EXCEEDING 50 PERCENT WILL GENERALLY NOT BE CONSIDERED WITHOUT SUBMISSION OF A VERY STRONG JUSTIFICATION.

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

(END OF DOCUMENT)

5. THE LPVO DOCUMENTATION REVIEW FORM (DRF) WAS DEVELOPED TO HELP FACILITATE THE OBTAINING AND RETAINING OF SUPPORTING DOCUMENTATION AT THE MISSION AND COMPLIANCE WITH THE REGISTRATION REGULATIONS. THIS FORM NEED NOT BE SUBMITTED TO WASHINGTON. THE FORMAT FOR THE DRF FOLLOWS:

PAGE 1 AND SUBSEQUENT PAGES)

CHECKLIST:
 LPVO DOCUMENTATION REVIEW FORM
 (FOR MISSION INTERNAL USE ONLY)

INSTRUCTIONS: PLEASE CHECK THE DOCUMENTS YOU HAVE REVIEWED TO DETERMINE WHETHER THE APPLICANT ORGANIZATION MEETS THE CONDITIONS OF REGISTRATION. IF A PARTICULAR DOCUMENT IS NOT SUBMITTED BY THE ORGANIZATION OR IS NOT APPLICABLE IN THE PARTICULAR COUNTRY, AN EXPLANATION SHOULD BE PROVIDED IN THE QUOTE COMMENTS UNQUOTE SECTION OF THE DRF. THE DOCUMENTATION REQUIREMENT FOR EACH CONDITION IS LISTED IN THE AID HANDBOOK 3, APPENDIX 4A-4.

REGISTRATION CONDITIONS AND SUPPORTING DOCUMENTATION ANALYSIS:

CONDITION 1:
 THE LPVO IS A LEGAL ENTITY ORGANIZED UNDER THE LAWS OF THE HOST COUNTRY AND IS PHILANTHROPIC AND/OR PUBLIC SERVICE ORIENTED IN PURPOSE. IT IS NOT A RESEARCH ORGANIZATION, PRIVATE FOUNDATION, UNIVERSITY, COLLEGE, OR OTHER SIMILARLY STRUCTURED AND DEGREE-AWARDING, ACCREDITED INSTITUTION OF LEARNING, NOR IS IT A CHURCH OR ORGANIZATION ENGAGED IN EXCLUSIVELY RELIGIOUS ACTIVITIES.

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 2:
 THE LPVO IS A PRIVATE, NONGOVERNMENT ENTITY WHICH RECEIVES FUNDS FROM PRIVATE SOURCES (ALL NON-HOST COUNTRY GOVERNMENT FUNDS) IN THE AMOUNT OF US DOLLAR EQUIVALENT.

SOURCES OF FUNDS:		
PRIVATE CONTRIBUTIONS	-----	-----PERCENT
PRIVATE GRANTS	-----	-----PERCENT
REVENUE	-----	-----PERCENT
U. S. GOVERNMENT	-----	-----PERCENT
OTHER GOVERNMENT	-----	-----PERCENT
OTHER	-----	-----PERCENT
TOTAL REVENUE	-----	100 PERCENT

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 3:
 THE LPVO IS A VOLUNTARY ORGANIZATION, RECEIVING VOLUNTARY CONTRIBUTIONS OF MONEY, STAFF TIME OR IN-KIND SUPPORT FROM THE GENERAL PUBLIC.

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 4:

THE LPVO IS A NONPROFIT ORGANIZATION WITH TAX-EXEMPT STATUS UNDER ITS COUNTRY'S TAX LAWS, IF THEY EXIST AND ARE APPROPRIATE.

COMMENTS: (SEE PARA 3A)

JUSTIFICATION: (SEE PARA 3B)

CONDITION 5:
 THE LPVO IS ENGAGED IN VOLUNTARY CHARITABLE OR DEVELOPMENT ASSISTANCE OPERATIONS OF A TYPE CONSISTENT WITH ITS ARTICLES OF INCORPORATION, AND WITHIN THE BROAD PURPOSES OF THE FOREIGN ASSISTANCE ACT AND P.L. 480. INCLUDE A BRIEF DESCRIPTION OF PURPOSE AND ACTIVITIES BELOW ALONG WITH ANY FURTHER COMMENTS.

COMMENTS: (SEE PARA 3A)

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BELIEVES THAT THESE PROCEDURES SHOULD ULTIMATELY PROMOTE
A HEALTHY WORKING RELATIONSHIP WITH AID AND THE LOCAL
PVO COMMUNITY. SHULTZ

CONDITION 1: LEGAL ENTITY
ARTICLES OF INCORPORATION
BY-LAWS

STATEMENT OF ORIGINAL PURPOSE
OTHER:

COMMENTS:

CONDITION 2: PRIVATE SOURCES
STATEMENT OF REVENUES AND EXPENSES
SOURCES OF FUNDS LISTED

COMMENTS:

CONDITION 3: VOLUNTARY CONTRIBUTIONS
ANNUAL REPORT (OR SIMILAR DOCUMENT)
FINANCIAL STATEMENTS

COMMENTS:

CONDITION 4: TAX EXEMPT
STATEMENT OF TAX-EXEMPT STATUS (OR OTHER
RELEVANT CONDITION)

COMMENTS:

CONDITION 5: CHARITABLE OR DEVELOPMENT ACTIVITIES
ANNUAL REPORT OF ACTIVITIES (OR OTHER
NARRATIVE EXPLANATION)

COMMENTS:

CONDITION 6: SOUND FINANCIAL MANAGEMENT AND VIABILITY
FINANCIAL STATEMENTS
CURRENT BUDGET
ACCEPTABLE ACCOUNTING SYSTEM (I/M)

COMMENTS:

CONDITION 7: BOARD
LIST OF BOARD MEMBER NAMES
EVIDENCE THAT BOARD MEETINGS HAVE
BEEN CONDUCTED (E.G. BOARD
MINUTES; OTHER DOCUMENTATION,
ETC.)

COMMENTS:

CONDITION 8: USES OF FUNDS
FINANCIAL STATEMENTS (TO VERIFY REASONABLE
FUNDRAISING COSTS)
STATEMENT LISTING TOP 5 SALARIES

COMMENTS:

PLEASE NOTE: IN THE ABSENCE OF THESE SPECIFIC
DOCUMENTS, THE CERTIFYING OFFICER SHOULD USE HIS/HER
DISCRETION IN ACCEPTING SUBSTITUTES WHICH PROVIDE THE
SAME OR EQUIVALENT INFORMATION, PROVIDED THERE IS AN
EXPLANATION IN THE QUOTE COMMENTS UNQUOTE SECTION.

(END OF DOCUMENT)

6. FVA/PVC INTENDS TO POUCH A COPY OF THESE FORMS
WORLDWIDE, THIS CABLE SHOULD PROVIDE IMMEDIATE
ASSISTANCE IN COMPLYING WITH THE NEW REGISTRATION
PROCESS. FVA/PVC APPRECIATES YOUR COOPERATION IN THE
EFFORT TO IMPLEMENT THE INTENT OF THE SAC REPORT AND

UNCLASSIFIED

EXHIBIT D

23

LOCAL PVO STANDARD REGISTRATION FORM (SRF)

OPENING STATEMENT:

USAID/_____ has provisionally registered a local private voluntary organization and intends to fund the organization in the near future. We recognize that if USAID/W does not approve the registration action future funding of new activities will not be permitted. Continued funding of ongoing activities will be permitted provided that the initial authorization level is not exceeded. Two copies of this form will be mailed to the Registrar, BHR/PVC/IPS, 7th Floor, SA-8, Washington, DC 20523-0804. BHR/PVC will review this provisional application and return a signed copy with its final determination to the respective mission.

REGISTRATION CERTIFICATION:

Name of LPVO: _____

Address: _____

Country: _____

LPVO contact or CEO: _____

Title: _____

USAID PROVISIONAL REGISTRATION ACTION:

I have reviewed all the necessary documents of _____ and have determined that the organization meets the conditions of registration as outlined in A.I.D. Handbook 3, Appendix 4C-A as further documented herein. These documents will be retained at the Mission and made available upon request.

Signature of Certifying Officer

Date

Mission Director
Title

BHR/PVC DETERMINATION:

Name of Official

Approval Disapproval

Director, BHR/PVC
Title

Date

**REGISTRATION CONDITIONS
AND SUPPORTING DOCUMENTATION ANALYSIS***

CONDITION 1:

The LPVO is a legal entity organized under the laws of the host country and is philanthropic and/or public service oriented in purpose. It is not a research organization, private foundation, university, college, or other similarly structured and degree-awarding, accredited institution of learning, nor is it a church or organization engaged in exclusively religious activities.

Comments:

Justification:

CONDITION 2:

The LPVO is a private, nongovernment entity which receives funds from private sources (all non-host country government funds) in the amount of _____ (US \$ equivalent).

Sources of Funds:	<u>Local Currency</u>	<u>U.S. Equivalent</u>	<u>Percentage</u>
Private contributions	_____	_____	_____%
Private grants	_____	_____	_____%
Revenue	_____	_____	_____%
U.S. Government	_____	_____	_____%
Other Government	_____	_____	_____%
Other	_____	_____	_____%
 Total Revenue	 _____	 _____	 _____ <u>100%</u>

Comments:

Justification:

* This SRF is for formatting only; space provided can be enlarged to accommodate appropriate information.

CONDITION 3:

The LPVO is a voluntary organization, receiving voluntary contributions of money, staff time or in-kind support from the general public.

Comments:

Justification:

CONDITION 4:

The LPVO is a nonprofit organization with tax-exempt status under its country's tax laws, if they exist and are appropriate.

Comments:

Justification:

CONDITION 5:

The LPVO is engaged in voluntary charitable or development assistance operations of a type consistent with its Articles of Incorporation, and within the broad purposes of the Foreign Assistance Act and P.L. 480. Include a brief description of purpose and activities below with any further comments.

Comments:

Justification:

CONDITION 6:

The LPVO has an acceptable system to account for the receipt and expenditure of US funds and prepares an annual financial statement that is an accurate and fair representation of the organization's financial position indicating that it has the financial resources to enable it to perform its normal functions in the absence of USAID support.

Comments:

Note: Comments should include a brief analysis of relevant financial statistics, such as assets, liabilities, revenues, cash on hand, etc., sufficient to substantiate a determination of financial viability.

Justification:

Sources of Funds:	<u>Local Currency</u>	<u>U.S. Equivalent</u>
Cash on Hand	\$ _____	\$ _____
Total Assets	_____	_____
Total Liabilities	_____	_____
Total Fund Balance	_____	_____
Total Support & Revenue	_____	_____
Total Expenses	_____	_____
Excess <Deficiency>	_____	_____

CONDITION 7:

The LPVO is controlled by an active and responsible governing body which maintains effective policy and administrative control, which meets at least annually and whose members serve without compensation; if paid officers serve on the governing body, they cannot constitute a majority in any decision.

Comments:

Justification:

CONDITION 8:

The LPVO, under its own established priorities and programs, obtains, expends, and distributes its funds and resources in conformity with accepted ethical standards, without unreasonable cost for promotion, publicity, fund raising and administration. BHR/PVC generally considers such costs in excess of 25 percent to be unreasonable. Justification for such costs exceeding 25 percent can be submitted and will be considered by USAID/W. However, applicants with such costs exceeding 50 percent will generally not be considered without submission of a very strong justification.

Comments:

Justification:

<u>Expenses</u>	<u>Local Currency</u>	<u>U.S. Equivalent</u>	<u>Percentage</u>
Program Costs	\$ _____	\$ _____	_____ %
Supporting Services Costs	_____	_____	_____ %
Promotion	_____	_____	_____ %
Publicity	_____	_____	_____ %
Fund-raising	_____	_____	_____ %
Administration	_____	_____	_____ %
Total Expenses	_____	_____	100%

Supporting services as a percentage of total expenses _____ %

Note: This percentage is determined by adding promotion, publicity, fund-raising, and administration expenses and then dividing that total by the total expenses. The amounts for promotion, publicity, fund-raising, and administration should only pertain to the expenses reported in the annual financial statement. The same holds true for total expenses.

LPVO DATA FORM

PVC compiles its LPVO Registry with information from this form. Therefore, submit this form to PVC: (1) every time you submit a SRF for a new LPVO, (2) every time you receive changes for a registered LPVO, and (3) every time you remove a LPVO from the Registry. To include LPVO information in the annual Local PVO Executive Contact List, send these forms to PVC no later than **August 31st**.

Special Instructions: Be sure that the LPVO information conforms to the parameters set below. Reserve the third address line for City/Province/Country/Zip. Enter the country twice: once as part of the address and again as the Host Country. Verify that the first four lines could be used as a mailing label. Remove a LPVO from the Registry by completing lines 1, 11, 13 and by writing "Delete" on line 2.

1. _____
(LPVO Name - IN ENGLISH - 90 characters)
2. _____
(Address 1 - 60 characters)
3. _____
(Address 2 - 60 characters)
4. _____
(Address 3 - City/Province/Country/ZIP - 60 characters)
5. _____
(Host Country - 30 characters)
6. _____
(Local Point of Contact and Title - 50 characters)
7. _____
(Country Code/City Code/Telephone - include international long distance codes - 35 characters)
8. _____
(Country Code/City Code/Telefax - include international long distance codes - 35 characters)
9. _____
(Alias 1, i.e., foreign spelling, acronym, or former name - 70 characters)
10. _____
(Alias 2 - 70 characters)
11. **L** _____
(Decode - 5 characters - USAID/W will assign re: New LPVO)
12. / /19
(Registration Date - 8 characters - USAID/W will assign re: New LPVO)
13. / /19

ACTION MEMORANDUM FOR THE DIRECTOR, BHR/PVC

THRU: BHR/PVC/IPS, Chief

FROM: BHR/PVC/IPS, Registrar

SUBJECT: Local PVO Standard Registration Form Received from the
USAID Mission/(Country Name)

Problem: To approve and endorse the registration of (*Organization Name*), a local PVO (LPVO) submitted by the USAID Mission/(*Country Name*).

Discussion: Section 541 of the 1989 Appropriations Act states that USAID Missions may provisionally register LPVOs in accordance with the Conditions of Registration for non-U.S. PVOs. To do so, USAID Missions must submit two copies of the Standard Registration Form (SRF) to BHR/PVC for review and permanent approval. The SRF describes how the indigenous PVO satisfies the conditions for registration and provides a justification for any variations from these conditions required by local laws, customs, or practices.

We have examined the provisional registration of (*Organization Name*), a local PVO submitted by the USAID Mission/(*Country Name*), and have determined that the organization satisfies all eight conditions of registration for LPVOs. The LPVO is engaged in (*Brief description of LPVO's activities*).

Recommendation: That you approve the permanent registration of (*Organization Name*) and sign two copies of the LPVO Standard Registration Form, and sign three copies of the Certificate of Local PVO Registration.

APPROVED: _____

DISAPPROVED: _____

DATE: _____

Attachments: a/s

Certificate of Registration



THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
CERTIFICATE OF REGISTRATION
IS AWARDED TO

Which on this day, _____ became certified as a registered indigenous Private Voluntary Organization, having qualified for and accepted voluntary registration pursuant to Part 203, Registration of Agencies for Voluntary Foreign Aid of Title 22, Code of Federal Regulations.

Registration

No. _____

Director

Bureau for Humanitarian Response

Office of Private and Voluntary Cooperation

EXHIBIT H

35

MEMORANDUM

TO: (Name of Current Director), Director
 USAID Mission/(Country Name)

FROM: Registrar, BHR/PVC/IPS

SUBJECT: Local PVO Registration of (Organization Name)

BHR/PVC has received the provisional registration action for (Organization Name), a local PVO, submitted by the USAID Mission/(Country Name). Following a review of the Standard Registration Form (SRF), we have determined that (Organization Name) satisfies all the conditions of registration for non-U.S. PVOs set out in A.I.D. Handbook 3, Appendix 4C-A.

We are returning a signed copy of the SRF and two copies of the LPVO Certificate of Registration. Please retain the SRF and one copy of the Certificate for your files and deliver the other Certificate to the LPVO.

The information provided in the LPVO Data Form will be included in the registry of non-U.S. PVOs currently on file in this office.

Attachments: a/s

ANNUAL SUBMISSION

Procedures For Annual LPVO Submission

1. BHR/PVC DUTIES

- BHR/PVC notifies the USAID Mission of the legislation that requires annual submission by each LPVO.
- BHR/PVC sends the USAID Mission a package that includes at a minimum two publications: the Local PVO Executive Contact List printed in October and the Report of American Voluntary Agencies Engaged in Overseas Relief and Development Registered With the U.S. Agency for International Development (VolAg Report) printed in January.
- BHR/PVC assists the USAID Mission by including three documents which aid in the annual submission process: the Annual Submission Schematic (Exhibit J); the Annual Submission Checklist (Exhibit K); and the Annual Budget Format (Exhibit L). These documents may be reproduced and retained for future use. The Annual Submission Schematic outlines the dates that LPVO submissions are due. The Annual Submission Checklist and the Annual Budget Format assist the LPVOs with the submission process.

2. USAID MISSION DUTIES

- The USAID Mission uses the Annual Submission Schematic (Exhibit J) to determine the fiscal year of the materials due from a LPVO. LPVOs are given six months to prepare the annual submission. The six months allows them adequate time for an audit of their financial statements.
- The USAID Mission reminds the LPVOs of the annual submission requirements necessary to maintain their registered status with USAID (Exhibit A, page 10), within 30 days after the LPVO's fiscal year-end. The Annual Submission Checklist (Exhibit K), specifies the documents required for annual submission and should be forwarded to the LPVO.
- The USAID Mission supplies the LPVO an Annual Budget Format (Exhibit L), for inclusion in their annual submission.
- The USAID Mission reviews the annual submission of each LPVO registered with the USAID Mission and certifies that the LPVO continues to comply with the conditions of registration.

- If a LPVO fails to submit its annual submission materials, the USAID Mission must remove the LPVO, inform BHR/PVC by cable of the removal, and submit a LPVO Data Form (Exhibit F) that deletes the LPVO from the Registry.
- If a LPVO continues to comply with the conditions of registration, the USAID Mission notifies BHR/PVC by cable.
- Before August 31st, the USAID Mission submits LPVO Data Forms for each LPVO with address or telephone number changes, contact changes, or name changes.

NOTE: The LPVO Decode number must be included in all correspondence.

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ANNUAL SUBMISSION
SCHEMATIC

This schematic uses the LPVO's fiscal year end to determine:
(1) the LPVO's annual submission deadline and (2) the fiscal year for the supporting documents in the annual submission package.

LPVO Fiscal Year End	Annual Submission Deadline	Fiscal Year For Fin. Statements & Annual Report	Fiscal Year For Budget
12/31/93	6/30/94	1/01/93 - 12/31/93	1/01/94 - 12/31/94
1/31/94	7/31/94	2/01/93 - 1/31/94	2/01/94 - 1/31/95
2/28/94	8/31/94	3/01/93 - 2/28/94	3/01/94 - 2/28/95
3/31/94	9/30/94	4/01/93 - 3/31/94	4/01/94 - 3/31/95
4/30/94	10/31/94	5/01/93 - 4/30/94	5/01/94 - 4/30/95
5/31/94	11/30/94	6/01/93 - 5/31/94	6/01/94 - 5/31/95
6/30/94	12/31/94	7/01/93 - 6/30/94	7/01/94 - 6/30/95
7/31/94	1/31/95	8/01/93 - 7/31/94	8/01/94 - 7/31/95
8/31/94	2/28/95	9/01/93 - 8/31/94	9/01/94 - 8/31/95
9/30/94	3/31/95	10/01/93 - 9/30/94	10/01/94 - 9/30/95
10/31/94	4/30/95	11/01/93 - 10/31/94	11/01/94 - 10/31/95
11/30/94	5/31/95	12/01/93 - 11/30/94	12/01/94 - 11/30/95
12/31/94	6/30/95	1/01/94 - 12/31/94	1/01/95 - 12/31/95

**ANNUAL SUBMISSION CHECKLIST
FOR LPVOS**

To maintain annual registration with USAID, LPVOs must submit the following materials within 180 days after the close of their fiscal year.

- _____ 1. Annual financial statements, preferable audited, including a statement of income and expenditures. The statements must be written in English, and the figures must be converted to U.S. dollars.
- _____ 2. Annual budget (on USAID's Annual Budget Format) detailing sources of income, administrative expenses, and overseas program costs. The statements must be written in English, and the figures must be converted to U.S. dollars. This budget is for the year subsequent to the one covered by the audit.
- _____ 3. Most recent annual report or similar document written in English. A typewritten narrative report containing information regarding program activities during the previous year will suffice.

**ANNUAL BUDGET
FOR PERIOD FOLLOWING THE FISCAL YEAR OF AUDIT
(REQUIRED USAID FORMAT FOR NON-U.S. PVOS)**

Organization Name: _____ Period From: _____ To: _____

SUPPORT & REVENUE

PRIVATE

(U.S. Dollars)

Private Contributions, Grants & Contracts
(Individuals, Corporations, Foundations) \$ _____

Donated Services _____

Donated Goods, Supplies, Equipment _____

Private Revenue (Interest, Dividends, Fees, etc.) _____

International Organizations Support (i.e. World Bank, UNDP, UNICEF, EEC) _____

Other _____
(please describe)

Total Private _____

NON-U.S. GOVERNMENT

Funds received from your government _____

U.S. GOVERNMENT (USAID)

USAID Grants _____

USAID Contracts _____

USAID Donated Goods/Services, _____

USAID Other _____
(please describe)

Total U.S. Government - USAID _____

U.S. GOVERNMENT (NON USAID)

U.S. Government Grants _____
(specify U.S. agency)

U.S. Government Contracts _____
(specify U.S. agency)

U.S. Government Donated Goods/Services _____
(specify U.S. agency)

Other _____
(specify U.S. agency)

Total U.S. Government - NON USAID _____

OTHER GOVERNMENT

Funds received from other governments for which you provide in-country programs _____
(specify government or attach separate sheet if funds received from more than one government)

TOTAL SUPPORT & REVENUE \$ _____

ANNUAL BUDGET
(page 2)

EXPENDITURES

PROGRAM EXPENDITURES

Domestic Programs
(Programs conducted within your country) \$ _____

International Programs
(Programs conducted outside your country or costs that benefited international programs) _____

Total Program Expenditures _____

SUPPORTING SERVICES

Administrative and Management _____

Publicity and Fund-raising _____

Total Supporting Services _____

TOTAL EXPENDITURES _____

EXCESS <DEFICIENCY> OF SUPPORT AND REVENUE OVER EXPENDITURES \$ _____

Signature of Preparer

Title

Telephone

Telefax

**TERMINATION OF
REGISTRATION**

Procedures For Termination of LPVO Registration

1. USAID MISSION DUTIES

- The USAID Mission should remove a LPVO from the Registry if, at any point, the LPVO fails to meet the submission requirements by not meeting one or more of the conditions or by not submitting the annual submission package. The USAID Mission should inform the LPVO of its removal from the Registry.
- The USAID Mission should notify BHR/PVC by cable immediately upon the termination of a LPVO. This notification must include the LPVO's decode number. The LPVO has the opportunity to reapply for admission to the Registry 90 days after it has been removed. However, the LPVO must resubmit all of the documentation required for initial registration.
- The USAID Mission should also submit to BHR/PVC a LPVO Data Form to update the Registry with the LPVOs removed from the system.

2. BHR/PVC DUTIES

- BHR/PVC receives the LPVO Data Form and updates the PVO/MIS (database) as each form is submitted.