

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
REGIONAL MISSION FOR CENTRAL ASIA



MAY 10 2000

Arlene Lear
Senior Vice President for Programs
Counterpart International
1200 Eighteenth Street, NW, Suite 1100
Washington, DC 20036-2561
Tel. (202) 296-9676, Fax: (202) 296-9679

Subject: Cooperative Agreement Number: 122-A-00-00-00010-00

Dear Ms. Lear:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby intends to grant to Counterpart International (herein after referred to as CI or "Recipient"), the sum of \$10,820,182 to assist in the implementation of the proposal entitled "Program of Civil Society and NGO Development in the Central Asia Region" and dated April 12, 2000 and cost proposal (SF 424) dated April 27, 2000 and submitted May 3, 2000, as described in the Schedule of this award and the Attachment 2, entitled "Program Description."

This agreement is effective and an obligation is made as of April 01, 2000 and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning the effective date and ending March 31, 2003. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This award is made to CI, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program Description"; and Attachment 3 entitled "Standard Provisions."

U.S. EMBASSY, 97A FURMANOV STREET, ALMATY, 480091 REPUBLIC OF KAZAKHSTAN

Please sign the original and each copy of this letter to acknowledge your receipt of this award, and return the original and all but one copy to the Agreement Officer.

Sincerely,



Marcus A. Johnson, Jr.
Agreement Officer
USAID/CAR Regional Mission

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions
4. Standards for USAID-Funded Communications Projects

ACKNOWLEDGED: Counterpart International

By: _____

Title: _____

Date: _____

MODIFICATION OF COOPERATIVE AGREEMENT

1. MODIFICATION NUMBER: 01	2. EFFECTIVE DATE OF MODIFICATION: See Block 15	3. COOPERATIVE AGREEMENT NUMBER: 122-A-00-00-00010	4. EFFECTIVE DATE OF COOPERATIVE AGREEMENT: April 1, 2000
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5. RECIPIENT: Counterpart International, Inc. 1200 18th St., N.W., Suite 1100 Washington, D. C. 20006 LOC: HHS-66A6P (formerly 72-00-1470) CEC No.: 80 622 233H TIN No.: 136 13 3605	6. ADMINISTERED BY: Office of the Director USAID/Almaty (ID) Department of State 7030, Almaty Place Washington, D.C. 20521-7030
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7. FISCAL DATA: MAARD No. 115-0007.15-00029-01	8. TECHNICAL/PROJECT OFFICE: USAID/CAR, Office of Democratic Transition
	9. PAYMENT OFFICE: USAID/Washington, M/FM/CMP by LOC

10. FUNDING SUMMARY:	<u>Obligated Amount</u>	<u>Total Est. Amt.</u>
Amount Prior to this Modification:	\$ 50,000.00	\$10,820,182.00
Change Made by this Modification:	\$ 3,104,000.00	0
New/Current Total:	\$ 3,154,000.00	\$10,820,182.00

11. DESCRIPTION OF MODIFICATION:

The purpose of this Amendment is to incrementally fund the Cooperative Agreement. Additional \$3,104,000 is hereby obligated.

Following is the replacement pages.

12. THIS AMENDMENT IS ENTERED INTO PURSUANT TO THE AUTHORITY OF THE FAA OF 1961, AS AMENDED, AND THE FG&CAA OF 1977. EXCEPT AS SPECIFICALLY HEREIN AMENDED, ALL TERMS AND CONDITIONS OF THE GRANT REFERENCED IN BLOCK #3 ABOVE, AS IT MAY HAVE HERETOFORE BEEN AMENDED, REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT.

13. GRANTEE IS NOT REQUIRED TO SIGN THIS DOCUMENT TO RECONFIRM ITS AGREEMENT WITH THE CHANGES EFFECTED HEREIN.

14. RECIPIENT: COUNTERPART INTERNATIONAL BY: <u>UNILATERAL</u> _____ (Name Typed or Printed) TITLE: _____ DATE: _____	15. THE UNITED STATES OF AMERICA U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  BY: _____ Marcus A. Johnson, Jr. (Name Typed or Printed) TITLE: <u>Agreement Officer</u> DATE: <u>MAY 11 2000</u>
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ACCOUNTING AND APPROPRIATION DATA

A. GENERAL

1. Total Estimated Amount: \$10,820,182
 2. Total Obligated Amount: \$3,154,000
 3. Total Program Amount: \$12,443,209
 4. Cost-Sharing Percentage (Non-Federal): 15%
 5. Activity Title: Program of Civil Society and NGO Development in the Central Asia Region
 6. USAID Technical Office: Office of Democratic Transitions
 USAID/CAR/ODT
 Department of State
 7030, Almaty Place
 Washington, D.C. 20521-7030
 7. Tax I.D. Number: 136 13 3605
 8. CEC No.: 80 622 233H
 9. LOC Number: HHS-66A6P (formerly 72-00-1470)

B. SPECIFIC:

Country:	KAZAKHSTAN	KAZAKHSTAN	KYRGYZSTAN
MAARD:	115-0007.15-00029	115-0007.15-00029-01	115-0007.15-00029-01
Appopr.:	72901093	72011093	72011093
BPC:	WNI9-00-22115-KG13	WNI0-00-22115-KG13	WNI0-00-22116-KG13
R/C:	P-115-029	P-115-029	P-116-013
EOCC:	52507	52507	52507
Amount:	\$50,000.00	\$574,000	\$830,000

Country:	TAJKIKISTAN	TURKMENISTAN	UZBEKISTAN
MAARD:	115-0007.15-00029-01	115-0007.15-00029-01	115-0007.15-00029-01
Appopr.:	72011093	72011093	72011093
BPC:	WNI0-00-22119-KG13	WNI0-00-22120-KG13	WNI0-00-22122-KG13
R/C:	P-119-008	P-120-008	P-122-011
EOCC:	52507	52507	52507
Amount:	\$650,000	\$350,000	\$700,000

ATTACHMENT 1 - SCHEDULE

1.1 PURPOSE OF AGREEMENT

The purpose of this Agreement is to provide support for the program described in Attachment 2 of this Agreement entitled "Program Description."

1.2 PERIOD OF AGREEMENT

The effective date of this Agreement is 04/01/2000 and the estimated completion date is 03/31/2003.

Funds obligated hereunder are available for program expenditures for the estimated period beginning the effective date of this Agreement through o/a 03/31/2001.

1.3 AMOUNT OF AWARD AND PAYMENT

(a) The total estimated amount of this Award is \$10,820,182.

(b) USAID hereby obligates the amount of \$3,154,000 for program expenditures during the period set forth in 1.2 above and as shown in the Budget below.

(c) Payment shall be made to the Recipient by Payment - Letter of Credit in accordance with procedures set forth in 22 CFR 226.22.

(d) Additional funds up to the total estimated amount may be obligated by USAID subject to the availability of funds, and 22 CFR 226.25.

1.4 BUDGET

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

Budget Line Item Summary

Personnel	\$ 1,590,321
Fringe Benefits	\$ 679,758
Travel	\$ 117,000
Equipment/Supplies	\$ 66,800
Contractual/Subgrants	\$ 1,390,000
Small Grants	\$ 2,237,150
Other	\$ 943,950
Total Direct Cost	\$ 7,024,979
Indirect Costs	\$ 3,795,203
TOTAL USAID Contribution	\$10,820,182
Cost Sharing (15%)	\$ 1,623,027
TOTAL Program Amount	\$12,443,209

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Attachment 1

1.5 REPORTING AND EVALUATION

1.5.1 FINANCIAL REPORTING

In keeping with the requirements established in 22 CFR 226.52, the Recipient is required to:

(a) Prepare a "Financial Status Report", SF 269a, on an accrual basis and submitted quarterly in an original and two copies to USAID/M/FM/CMP and one copy to the USAID/CAR CTO.

NOTE: Recipients shall list each country included in the program and the total amount expended for each country under the award for the reporting period in the "Remarks" block on the "Financial Status Report" SF-269 or SF-269A, or on a separate sheet of paper with the "Request for Advance or Reimbursement" SF-270.

1.5.2 MONITORING AND REPORTING PROGRAM PERFORMANCE

(a) Requirements. The Recipient shall submit an original and one copy of a brief quarterly program report to the address listed in the Cover Letter. In addition, one copy shall be submitted to USAID/CDIE/DI, Washington, DC 20523-1802. A final performance report is also required.

(b) Contents. The Program report shall briefly present the information contained in 22 CFR 226.51(d).

1.6 SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

(a) USAID approval of annual workplans

(b) USAID designation of key positions and approval of key personnel

(c) USAID approval of monitoring and evaluation plans, and USAID involvement in monitoring progress toward the achievement of program objectives during the course of the cooperative agreement.

1.7 TITLE TO AND CARE OF PROPERTY

Title to all property financed under this award shall vest in the Recipient subject to the requirements of 22 CFR 226.30 through 37.

1.8 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is 000 & 935.

1.9 INDIRECT COSTS (DEC 1997)

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

Description	Rate	Base	Type	Period
Indirect Cost Rate	24.54%	1/	Provisional	10/01/1999 – Until Amended

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Attachment 1

1/ Base of Application: Program costs excluding equipment, in-kind contributions (i.e. donated services, equipment and supplies), and subgrants of \$25,000 or less.

1.10 RESOLUTION OF CONFLICTS

Conflicts between any of the Attachments of this Agreement shall be resolved by applying the following descending order of precedence:

Attachment 1 - Schedule
22 CFR 226
Attachment 3 - Standard Provisions
Attachment 2 - Program Description

1.11 COMMUNICATIONS PRODUCTS (OCT 1994)

(a) Definition - Communications products are any printed materials (other than non-color photocopy material), photographic services or video production services.

(b) Standards - USAID has established standards for communications products. These standards must be followed unless otherwise specifically provided in the agreement or approved in writing by the agreement officer. A copy of the standards for USAID financed publications and video productions is attached.

(c) Communications products which meet any of the following criteria are not eligible for USAID financing under this agreement unless specifically authorized in the agreement schedule or in writing by the agreement officer:

(1) Any communication product costing over \$25,000, including the costs of both preparation and execution. For example, in the case of a publication, the costs will include research, writing and other editorial services (including any associated overhead), design, layout and production costs.

(2) Any communication products that will be sent directly to, or likely to be seen by, a Member of Congress or Congressional staff; and

(3) Any publication that will have more than 50 percent of its copies distributed in the United States (excluding copies provided to CDIE and other USAID/W offices for internal use.

1.12 PAYMENT OFFICE

US Agency for International Development
M/FM/CMPD/DCB
RRB, 7th floor
1300 Pennsylvania Avenue, NW
Washington, D.C., 20523-0209

ATTACHMENT 2

PROGRAM DESCRIPTION

The Recipient's proposal entitled "Program of Civil Society and NGO Development in the Central Asia Region" and dated 04/12/00 is attached hereto as the Program Description (Attachment 2) and is made a part of this Award.

I. EXECUTIVE SUMMARY

Counterpart International is requesting a three-year extension to the Counterpart Consortium NGO Support Initiative to expand, strengthen and localize support to civil society in Central Asia. This extension represents a major paradigm shift in Counterpart's activities in the region, evolving from direct service provision to the NGO community to intensive capacity building for a network of Civil Society Support Centers (CSSCs). This approach will expand Counterpart's support activities beyond NGOs to include a far broader constituency of other community stakeholders. Moreover, this shift will also redirect the program's focus to organizations that are active on a community level, where there is greater potential for high impact advocacy activities.

Counterpart's network hubs (located in the capital cities) will shift from direct NGO service delivery to support for the CSSCs. These network hubs will evolve into umbrella associations of Support Centers with boards of directors in each country. These umbrella associations will serve as intermediate support organizations (ISOs) and will be able to contract directly with USAID and other donors. Network hubs will identify NGOs or establish new Centers in the vicinity of the hub to take over the responsibility of working with NGOs on a day-to-day basis in that city or region.

Building the network of Civil Society Support Centers and strengthening their community outreach will be the centerpiece of the program and will absorb the bulk of the program's resources.¹ The Civil Society Support Centers will play an increasingly vital role in the community life of their oblasts—bringing together a broader range of NGO, CBO, media, private sector, local government and international donor stakeholders and making information available to them—to discuss and act on local issues. Alongside of the expansion and localization of the NGO support network itself, there will be a simultaneous expansion in the breadth and depth of services offered. The services will ensure that the following elements of the strategic framework are met:

- **Advocacy:** CSSCs will provide communities with the skills to advocate for change, including educating the public, facilitating dialogue and channeling action into change.
- **Social Partnership:** CSSCs will institutionalize the legislative, attitudinal and organizational framework for long-term cooperation among NGOs, media, government and business.
- **Community Mobilization:** Through the CSSCs, NGOs will be given the tools to activate communities to take charge of their own problems and start working on solutions.
- **Volunteerism:** CSSCs will use volunteerism as a strategy for mobilizing local resources to address community problems and create public "space" for citizen participation and influence.

By the end of the cooperative agreement, Civil Society Support Centers will be equipped to provide an integrated package of services to client NGOs and other community stakeholders that are mutually reinforcing and targeted to their specific needs, including training, technical assistance and grant support. To support the new program emphases, two new regional specialists will be added to the expatriate staff: Regional Organizational Development Specialist (based in Almaty) and a local-hire Regional Community Mobilization Specialist (based in Tashkent).

The International Center for Not-for-Profit Law will continue its role of working with local NGOs to develop a legislative environment that is supportive of the long-term growth of the NGO sector in the region. Moreover, it will also focus its efforts on developing local capacity to continue this work after the end of the program.

¹ This will be somewhat less so in Turkmenistan, where the centers are still in an initial stage of development.

The structure of this proposal first outlines Counterpart's general approach to reach the defined program objectives (Section IV) and then outlines country-specific innovations and approaches to meet the needs of individual country programs (Section V).

II. RATIONALE FOR EXTENDING THE PROGRAM

Counterpart is like a member of our team. They always support us with training, information and encouragement. They have been with us since our beginning and we attribute a large part of our success to their efforts.

—Flora Pirmazarova, Executive Director, NGO Mehri, Tashkent, Uzbekistan

The Counterpart Consortium NGO Support Initiative for Central Asia—supported by USAID since 1994—provides a comprehensive, integrated package of training, technical assistance, small grant and communication services support to the NGO sector. The sector's progress is summarized throughout this paper. The bottom line is that many NGO successes are directly tied to the Consortium NGO support services. As these services have strengthened NGO development, the Consortium has grown with the Central Asian NGO community. The efforts, impacts and needs have become increasingly more sophisticated. This long-term relationship with the Central Asian NGO community has built an unprecedented level of trust between NGOs and the Counterpart Consortium.

While much has been accomplished, the needs continue. With an infrastructure already in place, Counterpart can apply its institutional and country experience, network and relationships with targeted NGOs to further foster the development of this sector.

Phase I. The initial phase of this program (1994-1996) focused on establishing operational and program implementation capacity in a broad range of NGOs. Regional training and networking activities solidified a common identity for NGOs and developed consensus regarding the need to engage government in dialogue about the enabling environment, including NGO legislation. Creation of a regional database containing accurate, well-documented information about NGOs throughout the region facilitated national, regional and international linkages. Consortium partners—Goodwill Industries International, Aid to Artisans and Citizens Network for Foreign Affairs—reinforced this broad institutional development with sector-specific technical assistance. Partnership linkages were established through NGO participation in USAID-funded stateside training, organized by Counterpart through the Academy for Educational Development, NIS Exchanges and Training, and Global Training for Development Programs.

Phase II. In the current phase (1997-1999), a network of 20 Civil Society Support Centers provide direct access to the entire package of Counterpart Consortium support services and to those of other donors. There are five hub Civil Society Support Centers in the capitals and 15 satellites in more remote urban and rural areas. Sixteen training modules are offered by more than 100 contract trainers from all five Central Asian Republics. Most are NGO staff who are beginning to apply their skills to the programs of their own organizations. They are also beginning to share them with others by replicating Counterpart's training-of-trainers approach.

Target NGOs—selected for their demonstrated potential to deliver democracy impacts and affect democratic change through advocacy and citizen engagement in public policy dialogue—receive a tailored training and technical assistance plan (TTAP) based upon Counterpart's facilitated self assessment tool. CANGONet, Counterpart's interactive Central Asian NGO web site, provides broad access to the regional NGO database and facilitates information sharing among CAR NGOs. Partnerships, facilitated and funded with grant support by Counterpart, also foster international linkages and strengthen NGO credibility and technical skills. Counterpart included ICNL as a new member of the Consortium, resulting in passage of improved NGO legislation. Goodwill, Aid to Artisans and Citizens Network have completed their mandated role in the

Consortium programs, leaving behind strengthened NGOs that offer innovative models for sustainability, advocacy and service delivery.

Phase III. The proposed next phase (2000-2003) incorporates documented lessons learned from: Counterpart Consortium; other Counterpart NGO capacity building programs worldwide; and USAID-funded programs in the Philippines and CEE/NIS (DemNet).

Over the past five years, Counterpart International has been able to achieve tremendous impacts marking the growth of civil society in Central Asia. The rationale for proposing a multi-year extension is to address the current need for a sustainable, localized civil society support infrastructure which can respond to the differing paths for democratization and level of development of the five Central Asian Republics. To this end, it will be necessary to: a) expand the geographic outreach as well as breadth of services of the existing regional network of NGO Support Centers, b) broaden the mandate of the centers to serve not only NGOs but their interaction and partnership with business, government, the media, as well as community-based organizations (CBOs), c) ensure democratic governance structures for the centers and a formal linkage among them, d) ensure that a core group of NGOs in each country has the institutional capacity to sustain themselves programmatically and financially over the longer term and act as models for civil society and community development as well as mentors of those less strong, and d) ensure that the Service Centers and their clients provide needs-based assistance to their communities in the more remote rural areas as well as the capital cities.

Through focus group interviews and direct observation of NGO clients, Counterpart has identified several key constraints to NGO sustainability, which need to be addressed for NGOs to be reliable players in building civil society in Central Asia. These constraints focus on the following areas: advocacy, constituency development, community mobilization, social partnership and volunteerism.

Advocacy - NGOs serving women and other vulnerable populations have demonstrated success at sector-specific advocacy throughout the region. These successes have resulted from the forming of coalitions as well as from efforts undertaken by associations and individual organizations with a broad and well-defined constituency. What needs to be done now is to strengthen communities to advocate for change to build a constituency for reform at both the local and national levels.

Constituency Development -- With the rapid growth of the NGO movement throughout the region, a number of organizations have developed which are effectively just a handful of staff, with a computer, a grant, and some good intentions. Some have become NGIs (non-governmental individuals) rather than NGOs. Unless such NGOs are able to develop ties to the people they are seeking to serve and a corresponding governance structure, they ultimately offer the region little in the way of long-term empowerment and development of civil society. Once an NGO has secured its place in the community, it is well positioned for long-term sustainability and effectiveness, regardless of problems with funding or other roadblocks that may develop. Conversely, an NGO that does not develop a membership base or another anchor into the communities it is serving tends to become disconnected from them and driven by donor priorities. Groups with weak constituency ties will be given the tools and resources to strengthen them.

Community Mobilization -- One of the greatest challenges to democracy in Central Asia is that the great mass of people, particularly those outside of the capitals and large cities, believe themselves to be powerless over the issues that affect their lives, even on a local level. This belief becomes a self-fulfilling prophecy. NGOs have a role to play in bringing people together to identify and prioritize problems in the community and then to develop concrete action plans for problem resolution, including identification of available community resources and affordable external resources.

Volunteerism - In Central Asia volunteerism is most often confused with “unpaid labor” rather than as a cost effective strategy for building a constituency for NGOs, as well as for mobilizing communities to action - enhancing citizen participation and influence.

Social Partnership - NGOs repeatedly told USAID’s Lessons in Transition team that there is a critical need to educate government officials, particularly in rural areas. Once officials were able to understand the activities of NGOs in proper perspective, they frequently changed from skeptics to supporters. Once NGOs have sufficient credibility with government a logical next step in their relationship is contracting with government-e.g. social contracting which is one of the key mechanisms by which many NGOs gain long-term sustainability in the United States and in many other countries. It is currently little used in Central Asia. However, there has been rapid growth in social contracting elsewhere in the region, including Russia, Poland and Hungary facilitated by Counterpart’s Consortium partner, ICNL.

During Phases I and II, the Corporate Challenge Grant program helped to mobilize both international and local corporate support for NGOs. It also catalyzed the concept of NGO/corporate partnership.

What is now critical for NGO sustainability is the development of community-level collaboration and partnerships among NGOs, government and business to ensure a holistic and sustainable approach to community development within a civil society.

The enabling environment -- It has become increasingly evident that the quality of the enabling environment and the availability of support services are critical factors in the development of the sector. One can look throughout the region and note that in places where the enabling environment is supportive (Kyrgyzstan, for example), NGOs flourish. In places where it is less so (Turkmenistan, for example), NGOs develop much more slowly. ICNL needs to continue to support the drafting and adoption of NGO laws in those countries that do not yet have them. As Kazakhstan appears likely to pass new laws before the end of Phase II-and both Uzbekistan, Kyrgyzstan and Tajikistan have recently adopted new laws-this category may include only Turkmenistan. For countries that have recently adopted new laws, ICNL will need to assist in the critical and labor-intensive task of ensuring that they are effectively implemented. See the ICNL section for detailed discussion of these activities.

Counterpart now requests USAID/CAR support its efforts to localize its general infrastructure of resources for civil society organizations and to offer the NGOs of the region the skills they need to move towards sustainability. At the same time, through this strategy of localization of the support infrastructure, Counterpart intends to focus its efforts on establishing, by the end of this new agreement, a sustainable environment for the development of local community advocacy and activism at the grassroots.

III. PROGRAM GOAL AND OBJECTIVES²

Program Goal: Increase informed citizen participation in political and economic decision making.

Objective 1: Expand, strengthen and localize a sustainable network of Civil Society Support Centers that provide NGOs and other stakeholders throughout the region with access to a comprehensive range of support services.

² These are the regional goals and objectives. Each country has its own set of objectives based on these but taking the specifics of the country situation into account. Country specific objectives are listed in the country sections.

Objective 2: Engage communities in solving local problems through facilitation of social partnerships, issue-based coalitions, media support to NGOs and resource assistance to community-based organizations (CBOs) in their attempts to advocate on local issues.

Objective 3: Expand and localize training and technical assistance capacity to help the NGO sector become more sustainable and better able to advocate their interests at the community and national levels.

Objective 4: Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures

Objective 5: Assist in the development of a comprehensive legal and fiscal framework that will support and strengthen the NGO sector.

IV. GENERAL PROGRAM ACTIVITY

This section of the proposal provides an outline of general program needs and interventions for overall program implementation, highlighting regional training and support activities that will apply to all Civil Society Support Centers region-wide and their constituencies. Section V includes country-specific strategies and approaches designed to better address the unique situation in each country of the Central Asia Region. As a result of cross-border sharing of lessons learned, country-specific strategies may be modified accordingly.

The proposed strategic framework of Phase III will focus on building the capacity of the Centers to support NGOs and other civil society actors in advocacy, social partnership, community mobilization and volunteerism.

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

The nurturing and development of NGO sectors is a staged, sequential, long-term process. Policymakers should not see the cultivation of NGO sectors in CEE/NIS countries as short-term, single-stage, restorative intervention. The maturation process for the independent sectors in these countries requires a long-term approach and forms of assistance that change with evolving needs. -- Lessons in Implementation: The NGO Story³

Objective

Expand, strengthen and localize a sustainable network of Civil Society Support Centers that provide NGOs and other stakeholders throughout the region with access to a comprehensive range of support services.

The Need

As a direct result of support provided through the Consortium's NGO Support Centers, effective grassroots NGOs are leading community development in smaller cities and rural areas in all five republics. Some of the most effective of these NGOs have already become Consortium implementing partners and members of the network of Support Centers through small grant assistance.

The process for building the network of Centers began in 1996 in Kyrgyzstan and that example has led to additional Centers supported by Counterpart in other countries of Central Asia. The Centers have been instrumental in identifying NGOs working in outlying regions and were conceived as mechanisms for

³ USAID's ENI Bureau conducted the Lessons in Implementation exercise in spring 1999 to identify lessons learned and best practices for NGO development throughout the ENI region. As part of the development of the report, Counterpart conducted an extensive series of focus groups with NGOs and other stakeholders in Kazakhstan, Kyrgyzstan and Uzbekistan.

delivering the support that Counterpart and USAID were providing. The Centers have proven to be valuable community assets providing support to not only the NGOs but to local government as well as other donors without representation in these regions. They are, moreover, valuable institutions with the potential to deliver services to a number of constituents with advocacy to the grassroots as one specific benefit. Their value is as a sustainable, long-term element of support for the nascent, democratic structures that are emerging in regions outside of capital cities throughout Central Asia.

Counterpart has documented that in communities served by Support Centers there is an exponential development of NGOs accompanied by significant democracy impacts. However, NGOs barely exist, civil society concepts are unfamiliar and support services are still unavailable in many remote communities throughout the region, where natural geographic barriers are exacerbated by inadequate roads, public transportation and communication links. Given these constraints and lessons learned, continued expansion of the Consortium network of NGO support infrastructure is the only approach proven effective to ensure the development of sustainable NGOs and civil society in Central Asia.

Counterpart has assessed the need for building the capacity of Support Centers to be able to address the challenges of *localization and sustainability*, which are the two cornerstones of the extension strategy.

To be fully localized and sustainable, these Centers will need a governance structure inclusive of local stakeholders, leadership, management, fundraising, and financial management capacity among local staff. They will also need business plans that take into account the market for services and other strategies for cost-recovery.

The networking of Support Centers requires both strong locally managed Support Centers whose staffs are devoted to the development of civil society and a strong association structure that can be accountable to donors both financially and programmatically. At both the levels of each Support Center and in the association that joins them, an accountable system of governance will be a key issue to the success of this project.

Approach and Interventions

A. 1. The Civil Society Support Centers (CSSCs)

The current network of NGO Support Centers will be expanded into Civil Society Support Centers during Phase III—providing services to a wide range of community stakeholders, including NGOs, CBOs, media, community activists, local government, the private sector, international donors and others. Their impact will reach well beyond the capitals and major cities for a broad geographic outreach of services to communities throughout the region. In some instances, new Centers will be established. However, the preferred and more sustainable approach will be to bring existing NGOs into the network in places where NGOs sharing this mission currently exist. New Support Centers will be particularly focused on regions where USAID/CAR is running local initiatives.

Support Centers will be the conduit through which all Counterpart Consortium support services are delivered, often providing the only local source of information in the communities they serve—acting as *de facto* community centers, used and supported by a range of community stakeholders.

Building upon their current role, the CSSCs will play an increasingly vital role in the community life of their oblasts — bringing together a broader range of NGO, business, and local government stakeholders—to discuss and act on local issues. They will provide an integrated package of services to client NGOs and other community stakeholders that are mutually reinforcing and targeted to their specific needs. Alongside of the expansion of the NGO support network itself, there will be a simultaneous expansion in the number and

depth of services offered. The services will ensure that four elements of the strategic framework are met: (1) Advocacy, (2) Social Partnership, (3) Community Mobilization, and (4) Volunteerism.

Services: The precise functions and services of the Civil Society Support Centers will vary by country, depending upon specific needs of client NGOs and the country context. In general, they will bring together a range of community stakeholders to address local problems. Typically, each Center will provide:

- **Training:** Counterpart has developed 16 training modules for NGOs, with some adapted for work with community groups and government officials. The Centers will provide these and the new advanced training modules through the expanded cadre of contract trainers skilled in participatory methods. The Centers will also be proficient at using Counterpart's self-assessment tool to determine training and technical assistance needs of client NGOs and community organizations.
- **Consultation:** As the skills of Center staff develop they will be able to consult individuals, NGOs, government representatives, and others about the NGO community, grassroots organizing, partnership and coalition development, and project development among other important areas.
- **Information:** The Center staff will identify the resources in the community that can provide appropriate support or information for specific needs therefore providing a referral service not available from another source. The information will be stored at each office relating to that particular region in a computer database. Internet access, database, email, and other means for providing information will be managed by the Centers.
- **Representation:** The Centers can serve a representational function for international donors without an on-the-ground local presence. They can provide information about grant programs, offer technical assistance and training to grantees and conduct M&E of grants awarded. Counterpart will work with Centers offering this function to establish an appropriate fee-for-service schedule for donors.
- **Community Outreach:** A participatory community appraisal (PCA) and community planning process will be used in working with communities to help them identify their specific problems and priorities and develop strategies for solving them. This is a skill that the Centers will hone, making them a valued community resource. Outreach to local government will also be an important part of the activity of the Centers. (See page 15 for a full discussion of PCA methodology.)
- **Volunteerism:** Volunteers will be recruited to work in a variety of community projects and institutions. The Centers will play a needed role in providing information to the community about the importance of volunteering as well as the individual benefits gained from volunteering. The Centers will work with corporate and other private sponsors to conduct community events designed to encourage volunteers and will manage a volunteer clearinghouse for local NGOs.
- **Advocacy:** Advocacy will be encouraged in a number of ways through the Centers. A high priority will be given to advocacy-focused community projects. The Centers will work closely with NGOs and/or community based organizations working with issues of advocacy. (See page 11 for a full discussion of activities that support advocacy.)
- **M&E:** Monitoring and evaluation of projects, grants and activities funded by Counterpart will be an important part of the work of the Centers. The Centers will have the potential to work with other donors in the future as part of their financial sustainability plan.
- **Partnership Facilitation** Partnership facilitation will be done through the network hubs and member CSSCs. CSSC staff will be trained by already skilled hub staff in Counterpart's partnership development guidelines and the use of the TTAP to assess the local partner's training and technical assistance needs. Developing local NGOs will be given access to more established NGOs in Central Asia plus potential partners in CEE and elsewhere in Eurasia.

Organizational Development: Civil Society Support Centers and targeted NGOs will be provided with on-going technical assistance in organizational development during Phase III. This is a critical element in the package of services they will receive through the program. Technical assistance in organizational

development will be designed to help organizations work through the specific problems that are restraining their movement to a higher level of development. More often than not, such issues are ultimately related to the vision, distribution of power and governance authority within an organization. Such issues are not easily solved and will require highly skilled specialists working with an organization over an extended period of time. Regular technical assistance to all targeted organizations will also help to ensure maximum benefit from other program services.

The organizational development specialists, two in each of the national network hubs, will implement the OD strategy. Typically, these will be staffers who are already serving as Program Coordinators, so they will not add any additional salary burden to the program. This team of specialists will be developed through an intensive program of training in organizational development. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Central Asia; and (3) improve the sustainability of the networks by creating a valuable and salable staff capacity.

Training the cadre of organizational development specialists will be an element in the scope of work of the Almaty-based expatriate Organizational Development Consultant. The ten will be carefully selected for background and personal characteristics that suggest maximum effectiveness. They will undergo intensive two-week training during the third and fourth quarters, with one-week training sessions each quarter over the life of the project. Much of the training will involve simulating OD consulting methodology and conducting actual consultation on NGOs jointly with the Organizational Development Specialist, for observation and modeling of techniques.

Each of the Civil Society Support Centers will be assigned to one of the organizational development specialists, to work with them on a regular basis over the life of the project. By developing long-term relationships, the specialists will be able to establish trust with their consultee organizations, making them more credible and effective as consultants. Once the specialists have built up their skills, they will seek out additional clients on a paid basis, either through international donors, business or government.

Building the organizational capacity of the Civil Society Support Centers will be a major focus of the program throughout the region. Capacity building for the Centers will consist of four inter-related elements:

- Development of Technical Assistance and Training Plans (TTAPs) for each Center
- Staff training and development
- Development of a Strategic/Business Plan in each Center
- Creation of governance structures for each Center

Under Counterpart's *fast launch strategy*, the Organizational Development (OD) Team will coordinate and oversee all four elements. The team will be comprised of the regional OD specialist, the local-hire regional training coordinator and one experienced program coordinator from each network hub, along with expert training consultants in various topics as needed.

TTAPs: As a first step in capacity building, the team will assist each Center to apply Counterpart's organizational self-assessment tool and develop a training and technical assistance plan (TTAP). The resulting TTAP will identify areas of organizational weakness and a phased needs-based plan (typically these are 12-18 months) of needed training and technical assistance to address identified weaknesses. Needs will vary from Center to Center, as the staff of new Centers may have little experience while others already have several years of experience behind them.

Staff training and development: Intensive staff training and development for the Support Centers will be conducted very early in the project covering a broad range of areas that will help them to work effectively as well as to make them sustainable in the future. The training will be conducted on a country level with some sharing of experiences and expertise among Centers. Staff training and development will include a comprehensive range of skills to ensure that the Support Centers can sustain themselves, provide program services to civil society stakeholders and act as catalysts for community development. Specific interventions may include:

- Training in Counterpart workshop modules
- Exchanges and mini internships to build the network and share experience
- Visits to Centers in Russia, Eastern Europe or appropriate regions to establish ties and observe activity
- Training in general computer use including database and Internet search
- Hands-on training in monitoring and evaluation
- Practice and training in participatory community appraisal
- Development of volunteer management experience
- Training in advocacy
- Participation in roundtables and regional conferences for Centers (such as the Governance Conference)
- Training in advanced governance (including establishment of local stakeholder advisory boards and governance structures)
- Development of local fund-raising capacity, including cost-recovery through fee-for-service and membership dues structures

Strategic/Business Plans: On-going technical assistance to the Centers will include development and implementation a comprehensive strategic plan for long-term sustainability and funding diversification. The planning process will help Center staff to develop a long-range vision of their mission, constituency and strategies for sustainable revenue generation in support of their mission. —

In support of this process, regional staff will conduct Counterpart's Strategic Planning and Fundraising training modules for the Centers and provide regular support and TOTs for skills upgrading to the OD specialists.

Governance: To ensure that the Civil Society Support Centers effectively reflect local concerns, each will establish an advisory board including NGOs, local government and other key stakeholders. During the process of localization, these will ultimately become the governance structures for the Civil Society Support Centers.

Developing so many advisory boards will be a major task for the program, but will result in organizations that are genuinely sustainable and based in their communities. Members of each governance structure will undergo Counterpart's financial management, strategic planning and advanced governance training modules and will receive one-on-one follow-up technical assistance from the program coordinators and the expatriate OD consultant.

A. 2. The Network Hubs (e.g. Umbrella Associations)

Counterpart will give top priority to a plan for devolving its existing infrastructure in Central Asia into a formalized network of sustainable Civil Society Support Centers, linked to a network hub or association that can successfully contract with USAID and other donors to provide general NGO support and help to facilitate community advocacy.

The process of building a network of sustainable Centers represents a paradigm shift in Counterpart's activities in the region. During the first year of Phase III, the function of Counterpart's current hub Centers (which also currently serve as Counterpart's administrative offices) will shift from direct NGO service delivery to Civil

Society Support Center support. These network hubs will evolve into locally registered umbrella associations of Support Centers with boards of directors in each country. These umbrella associations will serve as intermediate support organizations (ISOs) and will be able to contract directly with USAID and other donors. Network hubs will identify NGOs or establish new Centers in the vicinity of the hub to take over the responsibility of working with NGOs on a day-to-day basis in that city or region. This will reduce their workload and allow them to focus attention on the development of the Support Centers.

Counterpart has already implemented similar models of localization in numerous countries outside Central Asia. While each country will be encouraged to develop a unique and culturally appropriate structure, the model that Counterpart envisions is based on the Foundation for People of the South Pacific International (FSPI) network. FSPI is the result of Counterpart's localization of its infrastructure in the South Pacific.⁴

In each country, standards will be set for levels of membership in the association, based on TTAP stages of development (see TTAP on page 20). Additional benefits of membership in the network will also include:

- Access to foreign donors in Europe, Asia, the United States and Canada⁵
- Political cover in countries (such as Turkmenistan or Uzbekistan) where local NGOs may come under undue political pressure.
- National level fundraising assistance
- Advanced training and technical assistance
- Participation in Counterpart International's affiliate network to access international resources, including metropolitan affiliate access (Russia, West NIS, Philippines, South Pacific, UK and Western Europe)
- Brand image (option to use Counterpart name)
- Access to communications network (i.e. Internet, CANGONet)

Additional functions of the association may include:

- Coordination
- Organizational linkages and partnership facilitation
- Resource identification and exchange facilitation
- Standards of Conduct/Code of ethics
- Seal of approval/Accreditation
- Certification of financial accountability/transparency of member Centers
- Grant making/management capacity
- USAID pre-award audit compliance services
- Public Education/Outreach about the network
- Coordination of national level advocacy for sector reform
- Capacity building services to CSSCs (TTAP, advanced training and TA, etc.)

Based on lessons learned in localization, the network hubs will be provided with the following capacity-building interventions:

- Staff leadership and management development
- Development of a strategic/business plan

⁴ In this model, local centers are members of a regional association (FSPI) and each has one vote on the FSPI board of directors. The regional association contracts with donors for regional projects, though individual centers may also have direct relationships with donors as appropriate. Through the LOP, Counterpart will assess the feasibility of creating a regional association with non-USAID resources.

⁵ In cases where the centers receive property from USAID/CAR or other donors as a function of their being members of the network, that property would be returned to the network if a center withdraws.

- Development of local fundraising capacity, including cost-recovery through fee-for-service structures and membership dues structures
- Registration as a local NGO, with local authorities and with USAID (to allow potential future program implementation through direct contracting with USAID)
- Establishment of a local stakeholder advisory board (which will ultimately become the board of directors)

Given the importance this program places on governance of the network hubs and CSSCs, Counterpart will stimulate thinking and provoke action through a regional conference on governance, to be conducted by Counterpart and the National Center for Non-Profit Boards (NCNB). Staff from all existing Support Centers and Focus NGOs will come together for training in governance (including training recently developed and field-tested by Counterpart's own affiliate, The Partner Foundation, in Russia) and be presented with various models of governance structures worldwide. Standards of governance necessary for contracting directly with USAID and other donors will be presented and discussed. Participants will then break out into country-specific groups and work out the basics of the governance structure they propose for their national-level network structure. It is assumed that these structures will be culturally and politically appropriate for the conditions in each country as well as meeting standards of good governance. These models will then be used in the development of governance structures for each of the Civil Society Support Centers in each country.

B. COMMUNITY OUTREACH

Objective

Engage communities in solving local problems through facilitation of social partnerships, issue-based coalitions, media support to NGOs, and resource assistance to community-based organizations (CBOs) in their attempts to advocate on local issues.

The Need

Enhancing opportunities for citizen participation in the social, economic and political decision-making process is one of the central roles for the NGO sector in a civil society. Social partnership, constituency development, and legal reform all contribute to an NGO's ability to channel citizen involvement into tangible societal change. Because all Consortium interventions are designed to be mutually reinforcing, all of the activities outlined in this proposal also strengthen an NGO's ability to influence public policy.

For example, the relationships and mutual trust developed with government and the private sector through social partnership activities are a strong foundation for advocacy efforts. Social service delivery skills enhanced through social contracting⁶ build credibility and member support that strengthen the power of advocacy efforts.

Moreover, NGOs need to have a clear understanding that they should be very active in their efforts to work with media, to get information to the public about their activity for the purpose of building constituencies and support of their NGO and its mission.

Approach and Interventions

In conjunction with the work going into the localization of the Support Centers, Counterpart will create a community outreach program that can serve to facilitate local advocacy, social partnership, community mobilization, and volunteerism. This program will attempt to make NGOs more accountable to the

⁶ Counterpart recognizes that social contracting is more effective for certain sectors than for others. For example, it has tremendous potential for organizations involved in employment training or social service delivery, but has less relevance for human rights groups.

communities in which they work while also generating interest in local communities for self-organizing around local problems.

B. 1. Advocacy

The Need

Counterpart and its Consortium partners in Central Asia are helping NGOs advocate effectively for change in issues ranging from election reform and political party platforms to public access for the disabled and utility rate concessions for pensioners. The cumulative result of these efforts is documented in Consortium democracy impacts and lessons learned, which also reinforce a significant lesson: NGOs more effectively foster public policy dialogue and advocate for change at the community level where Civil Society Support Centers provide support services and local government is more open to citizen participation.

Throughout Central Asia, Counterpart's training and networking events have helped NGOs establish regional, national and sectoral and issue-based coalitions. Partnerships, facilitated and funded with small grants by the Consortium, have strengthened regional linkages by bringing together NGOs to access training and sector-specific expertise. NGOs and NGO coalitions targeted by Counterpart throughout the region are achieving increasingly significant impacts as a result of Counterpart Consortium NGO support programs. However, coalitions and a broader range of NGOs need additional assistance to develop stronger skills in advocacy and mobilizing direct citizen involvement in advocacy and public policy dialogue.

NGOs' fundamental role in civil society is that of enhancing opportunities for citizens' participation in governance, enabling them to become agents of change. In order to play this role, however, NGOs must have the skills to lead three components of the process that creates change. These components include the need to:

- a. *educate the public* about priority issues
- b. *facilitate dialogue* about them among a broad range of community stakeholders
- c. *channel action into change* via effective advocacy strategies

Approach and Interventions

Counterpart Consortium's current approach builds NGOs' ability to lead in all three of the above components. It reinforces and is reinforcing of strategic approaches to social partnership, constituency building and legal reform. This integrated strategy is delivering results and Counterpart will continue to employ it throughout the region. Innovations and adaptations proposed in other sections of the proposal will also improve the effectiveness of Consortium activities in fostering public policy dialogue and influence.

Following is a summary of both on-going and innovative activities proposed by Counterpart to enable NGOs to serve as affective change agents in Central Asia:

B. 1. a. Educate the Public

The Support Centers will provide training on public outreach through the media and one-on-one technical assistance to NGOs clients. In addition, media coordinators in each Support Center will launch media campaigns to promote all elements of the community outreach initiative—community mobilization, volunteerism, social partnership, corporate philanthropy and corporate good citizenship.

The regional Community Mobilization specialist will work to ensure that all program interventions that have an impact on community outreach are mutually reinforcing and institutionalized within the Civil Society Support Centers.

Media outreach will include:

- *Provide media support to NGOs.* The Centers will supply journalists with information about the regional and national NGO movement, NGO legal information, and the activities of individual NGOs. The Centers will also seek to engage journalists in social partnership workshops and participation in social partnerships. The Centers will also be used as a base for NGOs to conduct press events. With the help of the Centers, the groundwork will be laid for further developing the associations of Journalists for Social Partnership.
- *Strengthen media message quality.* Regional and country staff will work to strengthen the quality of information and messages about the NGO movement through the development of fact sheets on programs, projects and specific NGOs. These fact sheets will be translated into local languages and put into press kits for specific events as well as handed to press on other occasions.
- *Help build a commitment among journalists to communicate about NGOs and their role in society.* NGOs will be encouraged to work with journalists to help convey a deeper understanding of the role of NGOs in society so journalists will integrate this into their reporting. As in Phase II, journalists will be invited to workshops on Social Partnership and Public Outreach through the Media.
- *Provide media support to targeted NGOs.* Staff from each Civil Society Support Center will be trained to assist NGOs to work more closely with media and in such related skills as publishing press releases. Targeted NGOs in each country will include public outreach as an important element of their programs.

B. 1. b. Facilitate Dialogue

- Training in Managing Group Discussions (facilitation, focus group and interviewing skills)
- Civil Society Support Center facilitation of public forums and roundtables
- Regional networking events, such as the planned Regional Governance Conference (see page 10)
- CANGONet interactive web site and access to electronic communications

Counterpart's CANGONet website enables NGOs to collaborate, share information among themselves and to learn about developments in the sector throughout the world. The database has been redesigned and decentralized so that individual Civil Society Support Centers can directly access it via CANGONet and easily add information on local NGOs that can then be accessed world-wide. This will greatly increase the amount of information that is available about civil society development in isolated parts of the region. The website includes links to other organizations operating in the region, including Civicus, INTRAC, Eurasia Foundation, Open Society Institute and the World Bank.

B. 1. c. Channel Action into Change

At the community level, official structures are more accessible. This is where we work with activists on local issues with strong constituencies. Activities include:

- Advanced Coalition Building Training Workshop
- Advocacy training workshop and follow-on technical assistance
- Partnership facilitation to access sector and country-specific advocacy strategies

- Grant solicitations for local advocacy campaigns (to the extent that funds are available)

B. 2. Social Partnership

The Need

Throughout Central Asia, social partnership—the collaboration among NGOs, the private sector and government to solve community problems in a sustainable way—is slowly gaining broad societal acceptance among government officials, corporate leaders and citizens as they learn about NGOs and their role in a civil society. Counterpart has documented a direct correlation between participation in Consortium training and technical assistance programs and an increase in social partnership activities.

Social partnership engages NGOs, government and the private sector in collaborative problem solving. Moreover, it helps NGOs to gain credibility with government, business and the community. Educating government and the private sector through training, media coverage and public forums has proven effective in overcoming these misconceptions. NGOs repeatedly told the recent USAID Lessons in Implementation team that there is a critical need for continued education of government officials, the private sector and other community stakeholders, particularly in rural areas.

Successful NGO activities that deliver tangible benefits to communities have also proven effective in building NGO credibility and catalyzing collaborative linkages between sectors. Social partnership enables NGOs to access government resources that can provide long-term financial support for projects. Moreover, it creates a participatory framework that builds collaborative relationships through the delivery of needs based services. These same relationships also enable NGOs to more effectively advocate for broader institutional change.

Because government can no longer be the sole provider of community services throughout the region, social contracting of these services to NGOs is a particularly relevant social partnership mechanism in Central Asia. Although the legal framework must be strengthened to institutionalize this practice, some NGOs are already gaining public recognition for providing high quality, cost-effective services through government contracts.

Approach and Interventions

. . . An understanding of the need for social partnership, as well as a strengthening of the mutual trust between NGOs, the government, business and the media. . . is now being examined on a regional level. . . All of Central Asia's sovereign countries are striving to build democratic states. There is no doubt that the participation of NGOs in the building of civil society is a significant factor

—Janabai Sadykov, Chairman, Legislative Committee
Parliament of the Autonomous Republic of Karakalpakstan, Uzbekistan

During Phase III, Counterpart aims to institutionalize the legislative, attitudinal and organizational framework for long-term cooperation among NGOs, media, government and business. Counterpart will expand on current social partnership activities in a number of areas, with a strong focus on educating government officials, creating forums and opportunities for NGOs and government to work together to resolve issues of common concern and promote a culture of corporate philanthropy and good corporate citizenship. Counterpart will introduce innovative strategies that build upon current strategies to promote and strengthen social partnerships.

There have been many cases of cooperation between NGOs and local government agencies, which attest to the strong environment for social partnership. In some cases, local governments have contracted with NGOs for social service delivery, but the mechanism for negotiating and regulating such contracts is non-existent.

B. 2. a. Stakeholder Roundtables

Counterpart has found that community roundtables on specific topics are a very effective means of engaging NGOs, the private sector, government, and media in dialogue. Each Support Center will conduct regular roundtables on key topics of local concern. Through Facilitation Training (see Advocacy on page 11), Support Centers will work to develop concrete results from roundtables, including action plans that outline agreement on approaches to community problems, assignment of tasks and follow-through. Coalitions and social partnerships will be encouraged through this process to address community problems.

B. 2. b. Social Partnership Training

Social Partnership training brings together NGOs, the media, business and government officials and has been identified by many NGOs as among the most valuable for their success. Counterpart will continue to offer this training extensively, particularly in rural areas. Phase III will also develop and apply an adaptation of this training module for both government officials and community stakeholders.

B. 2. c. Corporate Philanthropy and Citizenship Awards

Counterpart will initiate and seek to institutionalize annual awards to recognize good corporate citizenship in those countries with a strong corporate sector. Such awards have become an important element in many CEE NGO support programs. Awards, to be highly publicized through the media program, will seek to highlight businesses that assist NGOs or take other steps to address important social problems in their countries.

B. 2. d. Social Contracting

ICNL will help to build the legal and procedural basis for NGO contracting with government for the purpose of ensuring that both NGOs and government are knowledgeable about the practicalities of contracting (as was done in WESTNIS and CEE). (See Legal Environment on Page 27)

B. 3. Community Mobilization

The Need

Community-based constituency ties enable NGOs to reflect and address citizen's interests and become vehicles for increased participation in governance. When an NGO has secured its place in the community, it is then well positioned for sustainability, despite on-going constraints, including lack of diversified funding sources or other roadblocks. Conversely, an NGO that does not develop a membership base or other strong community ties is disconnected from community needs and often driven by donor priorities. Unless NGOs develop concrete connections to the people they seek to serve, they ultimately are of limited long-term impact for citizen empowerment and civil society development. Moreover, Counterpart believes that it is at the community level where NGOs have the best opportunity to connect with their constituencies.

Approach and Interventions

Counterpart's approach to community mobilization — Participatory Community Appraisals (PCAs) culminating in Community Action Plans (CAPs), coupled with access to Community Action Grants (CAGs) — will lead to: a) an increased constituency base and community empowerment approaches and skills for participating NGOs; b) a strengthened capacity of existing CBOs⁷ and/or the creation of new CBOs; and c) the

⁷ Community Based Organizations (CBOs) typically work in a single community and work on a range of issues relevant to the development of that community. Some, such as housing committees or water users associations, are focused on more specific concerns. Makhallas are a kind of hybrid CBO because of their quasi-governmental status. NGOs, by contrast, tend to work in a

establishment of confidence, skills and strategies within communities for solving community needs during and well beyond the life of this program.

NGOs, with support from Counterpart, will play a crucial role in facilitating this process. Depending on the country-specific context, NGOs either will be selected according to a predetermined set of criteria to work with communities, or the NGO community will be made aware of the program and encouraged to participate as it sees fit. Participating NGOs will conduct a PCA together with the community culminating in the development of a CAP—which is the community’s long term plan or strategy for addressing multiple community needs.

This PCA and CAP process will ensure community participation in: identifying and prioritizing the community needs, determining the resource base of the community, and articulating and planning possible solutions to the community needs. In developing the CAP, proposed solutions will be categorized with respect to those that can be implemented solely through community resources and those that will need additional external assistance from NGOs, government, the business community, donors or others. The proposed solutions will be further sorted according to their solvability in the short, medium or long term. This information will be used to define the order in which solutions are to be implemented. Additionally, for each proposed solution the CAP will define who will be involved, what will need to be done, how it will need to be done, and what resources will be needed. Part of this planning process will require the identification of a “management” structure from within the community. This structure may be an already existing CBO or a newly formed group that may emerge into an effective CBO.

The community can begin work immediately on those solutions that rely entirely on resources from within the community. For those that require additional external resources, the NGO will assist the community in developing an appropriate proposal for one (or more) solutions that require external resources. The CSSCs will assist the NGO and the community to identify possible funding sources for their proposal, one of which will be the Community Action Grant program administered by the umbrella association in each country.⁸

Counterpart will strengthen the CSSC network staff capacity in providing technical assistance to NGO clients and the communities they serve through the Regional Community Mobilization Specialist. In addition, the number of contract trainers with Participatory Community Appraisal (PCA) training capacity will be expanded, and a new training-of-trainers and training module on community mobilization will be introduced to ensure regional capacity in community participation methods for action plan implementation and evaluation.

B. 4. Volunteerism

The Need

number of communities, but are bound by a particular mission. While these are standard definitions, organizations exist which do not fit cleanly into either category.

⁸ It is expected that communities will provide a very substantial portion of the necessary resources for implementation of the action plans, in the form of labor, in-kind contributions, and local government support. As required, the implementing NGO may seek modest funding from Counterpart through the Community Action Grant Program to support implementation of community action plans.

Volunteerism is a strategy to mobilize local resources to address community problems and create public "space" for citizen participation and influence. Volunteering has proven effective in projects around the world as a means of solidifying social partnership linkages at the individual level. With the help of corporate and government volunteer programs, the result has been the development of stronger NGO constituencies within corporate and government structures. To integrate volunteerism into civil society, cultural traditions and biases must be addressed.

Approach and Interventions

- Develop a training module on Volunteerism and Volunteer Management, combining Counterpart's proven training-of-trainers approach, the best of U.S. volunteer management practices and Central Asian best practices (see below). As appropriate, the Open Society Foundation Volunteer Centers in Kazakhstan and Kyrgyzstan will be engaged in this effort. Complementary local-language resource materials will also be developed.
- Identify best practices in volunteer management currently in use by NGOs in Central Asia, elsewhere in the NIS and CEE. This will either be done in-house or by inviting an American graduate student in non-profit management to use this as a research/internship opportunity.
- Establish volunteer clearinghouses as a new low-cost service provided by the Civil Society Support Centers to link NGOs with prospective volunteers. Volunteer clearinghouses provide capacity building services to NGOs and volunteers tailored to the specific needs of the communities they serve. NGOs are provided with assistance in designing projects that effectively utilize volunteers. Volunteers gain marketable new skills and confidence in their ability to affect change.
- Encourage individual NGO and community stakeholder participation in the United Nations International Volunteer Day on December 5, 2000. Through Support Center volunteer clearinghouses and public awareness campaigns in local media, special volunteer activities, pilot projects and community activities will be encouraged to occur simultaneously on December 5, 2000.
- Develop programs targeting a number of core strategies, including youth outreach, corporate volunteering, or volunteer training.
- Organize Community NGO Fairs through which local NGOs will inform the public about their programs and seek to recruit members and volunteers. Such fairs will be funded through private or local government sponsors at no cost to USAID. The fairs will be highly publicized. They will feature music, entertainment, and local celebrities and children's activities to attract the public. These can easily be tied into festivals that are already held in the region to celebrate various holidays.

C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM

Counterpart's interactive training methodology, curriculum and the quality of trainers received high praise from participants . . . While there are a number of grant-making organizations in Central Asia, no one else provides the capacity-building training and follow-up assistance delivered by Counterpart's cadre of trainers. This training was cited as an important form of assistance by organizations who were implementing grants from other donors. Thus, it is an important benefit for other grant-makers in the region.

—Lessons in Implementation Report

Objective

Expand and localize training and technical assistance capacity to help the NGO sector become more sustainable and better able to advocate their interests at the community and national levels.

The Need

Training should increasingly focus on individual organizational needs. As NGOs mature, training is more effective if it evolves from a seminar approach embodying a core curriculum that builds basic skills, to an onsite, closely tailored approach that addresses the unique needs of the organization. – Lessons in Implementation

A great number of NGOs in Central Asia have received basic training in organizational capacity from Counterpart. While this training is still important in Central Asia, Counterpart believes that it should now be coordinated through the local Support Centers where it can reach more people for less cost.

Based on TTAPs conducted with more advanced NGOs in the region, Counterpart has identified the following areas of continued weakness in the NGO sector: financial accountability, fundraising, governance, membership, coalition building, advanced advocacy strategies, volunteer management, and facilitation skills.

Counterpart's cadre of contract trainers has great potential for providing a sustainable source of training to serve a range of NGO and client needs. However, the lack of adequate numbers of trainers able to conduct training in local languages is a remaining barrier to full local sustainability of this valuable resource accessed through the Support Centers.

A Counterpart training workshop in Participatory Community Appraisal has proven successful in providing NGOs with the skills they need to mobilize community action to address self-identified priority needs. This methodology has also been adapted to provide additional technical assistance to target NGOs. A broader range of NGOs and the communities they serve still need additional training and technical assistance to strengthen their community mobilization skills.

Approach and Interventions

In Central Asia, Counterpart International, Inc. has developed a cadre of more than 100 indigenous contract trainers. The trainers, who also are members and leaders of NGOs, work with Counterpart, other donors, and NGOs to provide the NGO community with training services on demand. Some businesses have expressed interest in receiving training as well – on a paid basis. This process has greatly increased the local capacity for training. – Lessons in Implementation

Currently implementation of Counterpart's basic training modules is almost wholly localized through Counterpart's cadre of more than 100 contract trainers (the majority of whom are local NGO leaders), reinforced by one-on-one consultations with in-house Program Coordinators. Phase III will take this a step further. Support Centers will be encouraged to include the basic training modules in their menu of services. As they identify training needs among local NGOs, they will contract with locally based trainers from among Counterpart's training network. This will be very low-cost as it will involve no travel—only the trainer's fee and training supplies

C. 1. Advanced Training Modules

A substantial portion of advanced training in Phase III will be devoted to building the staff capacity of the Civil Society Support Centers. Counterpart will coordinate the development of advanced training modules through TOT with Support Center staff and contract trainers to ensure their optimal availability.

The training modules that will be developed for this program include:

- **Advanced financial accountability** Counterpart will develop and deliver an advanced financial accountability training module for use with mature NGOs and ISOs which are beginning to develop direct relationships with international organizations.
- **Advanced fundraising** Counterpart will assess its current Fundraising training module and modify content if necessary to focus on diversifying sources of income and financing. In particular, it will focus on five important paths for NGOs to seek financial sustainability, including: social contracting with government; corporate sponsorships and donations; social enterprise development⁹; paid consulting on projects for international organizations; and other paid services
- **Advanced governance** Counterpart and NCNB will develop an advanced governance training program that will be the centerpiece of the Regional Conference on Governance to be held during year one of the cooperative agreement. (See page 10.)
- **Membership development** Counterpart will develop and deliver a membership development training module for NGOs, ISOs and associations that have an interest in constituency development.
- **Advanced advocacy strategies** Counterpart will develop and deliver an advanced advocacy training workshop to focus on further developing specific strategies for advocacy, such as letter-writing campaigns, building a constituency for advocacy campaigns, organizing local town meetings, coalition-building and community organizing. This advanced module reflects the growing strength of advocacy NGOs and their increasingly sophisticated needs and builds upon strategies already proven effective by fledgling coalitions in the region.
- **PCA** (See Community Mobilization on page 15.)
- **Volunteerism and volunteer management** (See Volunteerism on page 16.)
- **Facilitation skills** (See Advocacy on page 13.)
- **Social partnership** Counterpart will modify its Social Partnership training module for use with government officials and business.¹⁰

Counterpart will ensure the ongoing availability and use of advanced training modules, as well as all other Counterpart modules, through mutually beneficial relationships between CSSCs and contract trainers which will help secure the reputation of the centers as a reliable provider of training services and ensure trainers of a reliable source of employment. The CSCC country networks, supported by their respective network hubs, will maintain a database of trainers in the region including those skilled in Counterpart's training modules. The staff of the network hubs will also be trained in the advanced modules and as trainers of these modules. Training certification, described in the following section, will be part of the institutionalization of training throughout the region. The advanced training modules will be further supported by the CSSCs through the development of a volunteer coaching system -- as part of the volunteer activity managed by the CSSCs -- whereby advanced NGOs or community leaders will coach those less advanced in the more advanced modules. The development of cost recovery strategies, such as fee for service, and CSSC/trainer relationship modalities, will be an integral part of each CSSC's strategic/business plan.

C. 2. Trainer Registration and Certification

Counterpart will establish a system of trainer registration and certification to provide quality assurance to government, business, private voluntary organizations and other organizations requiring contract trainers. Competent trainers will be registered with Counterpart and certified to teach specific training modules. This

⁹ Social Enterprise is a term coined by Counterpart to convey the idea that business activities operated by NGOs serve a social benefit by supporting the organization's not-for-profit services to the community. This is distinct from business activities pursued for profit alone. Counterpart is currently implementing a training module on Social Enterprise in Central Asia. This module has recently been substantially revised and refined through the CAP (Counterpart Alliance for Partnership) program in the Ukraine. These modifications will be reflected in the module in Central Asia in Phase III. Moreover, ICNL is currently working on reforms to tax legislation, making it easier for NGOs conduct micro-enterprise activities.

¹⁰ This will be done by the existing Program Coordinators and will not require bringing in consultants.

system of certification will also be a service to government, business, private voluntary organizations, and other organizations seeking competent training services. The system can assure them that the trainers they are contracting meet Counterpart standards for methodology and curriculum. While Counterpart-trained trainers constitute the majority of trainers in the region, other trainers and training organizations will also be eligible for certification through Counterpart. Once national-level associations are functioning, they will be trained to manage the certification program. The registration and certification program will create an additional incentive for contract trainers to remain affiliated with the CSSC network.

C. 3. TTAP

Currently Counterpart is assisting each targeted NGO in Central Asia in the use of Counterpart's self-assessment tool (the TTAP) to analyze organizational strengths and weaknesses in eight functional areas of institutional capacity. Counterpart will continue to employ the TTAP assessment tool for NGOs who are progressing towards more sophistication as well as being built into the capacity of the local Support Centers so that they can offer this service to NGOs locally.

During Phase III, the TTAP will be modified to allow for classification of Support Centers and NGOs according to their level of development (see Attachment 3 for a similar approach used in Russia for Business Support Organizations). For each institutional development area addressed in the TTAP, a set of performance benchmarks will be identified against which progress can be measured. In general, organizations will fall into the following categories based on self-assessment:

- *Stage 1* Basic or low level of development
- *Stage 2* Beginning intermediate level
- *Stage 3* Advanced intermediate level
- *Stage 4* Advanced

Counterpart program coordinators will then design a training and technical assistance plan for them, built around Counterpart's menu of 16 training modules reinforced by one-on-one technical assistance and identification of in-country and external sources of additional technical assistance. Technical Assistance services provided by the OD specialists and the Regional Community Mobilization Specialist will strengthen the TA provided through the Support Centers and the network hubs.

Access to external sources of technical assistance through partnership facilitation will serve multiple purposes in Phase III: It will give NGOs enhanced sector-specific skills to complement generic capacity building; enhance their credibility with the community as an advocate and service provider, and with government as a potential partner or contractor for provision of community services; and lastly, it will give them the opportunity to be exposed to models and approaches which have had success in similar contexts.

Counterpart has in-house staff technical expertise in a number of sectors that are important for development of civil society in Central Asia—health, environment, disaster preparedness, micro-enterprise and social enterprise development—among others. As appropriate, these staff will be available as consultants to targeted NGOs at only the cost of their travel and per diem.

D. GRANT PROGRAM

NGOs spoke very highly about Counterpart's approach to grant-making. . . NGOs commented that when an NGO receives a Counterpart grant, it is not just a transfer of money. Rather, the recipient comes to feel that it has become a member of a large family.

The Counterpart office becomes a place where the doors are always open for the NGO to seek advice and moral support in the implementation of its program.

—From Lessons in Implementation Report

Objective

Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures

The Need

Counterpart continues to view the availability of grants to NGOs as an important part of capacity building in the region. Connecting grants with lessons learned and capacity developed during training and through partnership provides more tangible impact than generic grant giving. Targeting support helps ensure that grants are supporting USAID objectives. During Phase III Counterpart will closely network with donor organizations and continue to keep the CANGONET database and website up to date on the activities of donors working in each country, developing a system to provide NGOs with updated information especially through the CSSCs in their role as information centers.

Approach and Interventions

Training and technical assistance for local NGOs should be closely integrated with small grants in a coordinated, activity-based approach. Connecting grants with lessons learned and capacities developed in training provides more tangible impact than generic grant giving. Further, the process of application review and award must be transparent and accommodate significant local input. –

Lessons in Implementation

Phase III will focus on the development and support of a network of CSSCs in the Central Asian Republics. The network of at least 25 Centers will be targeted to build the skills, capacity and understanding of the staff, volunteers, board members and stakeholders providing these organizations the tools necessary to continue to support their communities for the long term. The CSSCs will be the focal points for the implementation of the community action grant activity. In addition to focused support to the Centers, an additional group of NGOs (3-5 per country except in Tajikistan and Turkmenistan) will be chosen through an objective selection process for targeted support with Focus Grants. The Focus Grant NGOs will need to demonstrate a commitment to build their organizations into viable, sustainable models with plans for long-term democratic structures for governance. The network of CSSCs will work closely with the focus NGOs to develop activities in their home regions with the potential of supporting branch offices of the focus NGOs to implement projects targeting democratic reforms. The focus NGOs along with the CSSCs will participate in the development of advanced training modules through the guidance and expertise of outside specialists. The modules will be used to build the skills of not only the staff members of the NGOs but in many cases board members and volunteers. The relationships and cooperation between the CSSCs and the focus NGOs will be an important element of Phase III.

In Turkmenistan and Tajikistan, the previous system of NGO Support Grants will continue. The NGO communities in these countries are still in the process of development and it would be premature to narrow our focus. In order to encourage the continued development of new and fledgling groups in these countries, Counterpart will offer NGO Support Grants, as previously. They will generally be for smaller sums of money and will reach a larger number of organizations than Focus Grants. They will also be made available to groups that are still in an early stage of development.

During Phases I and II of the Counterpart Consortium, partnership facilitation services, reinforced by the Partnership Grant Program, have proven the value of partnership as a capacity building tool – producing positive impacts in institutional strengthening, coalition building and competitiveness; services to NGO

members and clients; civic participation and policy reform, and problem solving at the institutional and community levels. Within the highly fractionalized societies of Central Asia, partnership is also a tool for fostering mutual trust, respect and investment in civil society development. In Phase III, Counterpart will encourage partnerships between the focus NGOs and the CSSCs as well as partnerships with NGOs throughout Central Asia, the FSU and Eastern Europe. There are ongoing partnerships that exist as a result of previous Counterpart programming which may be supported in a number of ways although grant funding will be limited. Counterpart will continue to encourage partnership as a component of all grant activities – to further strengthen the technical and collaborative skills of NGOs in advocacy, social partnership, community mobilization and volunteerism. The Global Training Project will be a potential source of support for partnerships as well as other donors and in some cases the partners themselves.

One of Counterpart's lessons learned is that flexibility is required in order to meet a range of program objectives. For example, in order to ensure that community action plans have the resources necessary for implementation, Community Action Grants will be introduced.

D. 1. Community Action Grants

Community Action Grants are small-scale grants that are awarded to NGOs and the communities they represent for initiatives that enable communities to address a priority need. To this end, in order to qualify for a grant the NGO and the community must have conducted a PCA and developed a Community Action Plan. While the PCA process itself often contributes to an increased sense of ownership over the proposed solution or resulting project, communities will be expected to make a further cash or in-kind contribution towards the implementation of the project to be funded. This contribution will further enhance a sense of ownership and hence sustainability of the project.

CSSCs will be a part of the grant process in their regions working closely with the NGOs that are based in the communities and serving community needs. In some cases community based organizations (CBOs) may develop projects as a result of PCA conducted in their community. In these cases the CSSC will take more responsibility for the activity guiding and training the community to manage their project. Counterpart program staff from hub offices and centers with more experience will work closely with the newly established centers (in many cases existing NGOs) to coach them in the grant process. The most relevant learning will be the hands-on experience gained from working with the NGOs and the communities to implement projects.

All proposals emerging from the community mobilization process that meet the established criteria will be considered for funding under the Community Action Grant program. Many of the criteria will be the same as those already used by Counterpart, but a few new ones will be added. These include: the NGO and the community it represents must have conducted a PCA and developed a CAP; a community contribution (cash or in-kind) made towards the cost of the project; and evidence of community management of the project. It will be important to discuss with USAID the areas for grant making felt to be useful and in line with strategic objectives since participatory needs assessments may not identify projects with specific results related to democratic transition. For example, a community may identify the need to build a bridge to allow access to their neighborhood or village, which has obvious results. Considering democratic transition, this type of project can be judged by the following:

- community involvement both in labor and other in-kind contributions
- democratic processes used to accomplish the tasks
- cooperation or partnership with local government
- organizational capacity developed by the organizations involved
- media attention presenting a model for other communities
- feeling of accomplishment

- attitude toward the participatory processes used.

The elements listed above are hard to measure due to the inherent subjective nature. It is important to remember that the true value of democracy programs is not the specific effects on institutions but the potential profound influence on individuals, changing their outlook and perceptions. How is trust measured that is built between members of communities? Democracy includes more than specific areas of focus, so a wide range of projects can be tools to reach the broad populations. Additionally, Counterpart will develop narratives of the impacts to be included in Counterpart's documentation of successes, which is updated on a regular basis.

The size of grant will be determined according to the stage of development of the NGO (see TTAP on page 20) leading the effort and the resource needs identified in the community planning process. For those with a proven track record (stage 3 or 4) grants up to \$5,000 will be awarded. For those with no previous experience (stage 1 or 2) awards will not exceed \$1,000. The smaller grants, while giving new NGOs an opportunity to gain valuable experience, will also help Counterpart and the Support Centers assess the sincerity and potential of these new organizations, and to identify their training needs.

D. 2. Focus Grants and NGO Support Grants

Three to five NGOs will be selected from each country except Tajikistan and Turkmenistan as focus NGOs to receive funding for operational expenses as well as for programmatic needs as appropriate for 2 years during Phase III. The selection process will focus on NGOs that have a record of contribution to democratic reforms, such as civic education groups, legal organizations, journalism associations, women's and human rights groups, professional associations, and advocacy organizations. The focus NGOs will be carefully selected through a process that will include several rounds of competition including descriptions and letters of interest to develop a short list. Following the selection of NGOs to a short list in each country they will need to submit a proposal including a strategic plan to ensure Counterpart that the organizations are committed to being leaders in the transition to democracy as well as evidence of their future sustainability.

Several elements of the Women's Grant Program in Kazakhstan will be incorporated into the Focus Grant selection and management process such as: 1) a formal system of scoring on such criteria as organizational capacity, program design, institutional track record and relevance to the solicitation; and 2) award workshops which will bring grantees to the CSSC or CSSC network hub to learn grant management and reporting procedures, meet with donor representatives, and clarify problems or concerns.

NGO Support Grants will continue to be made available in Tajikistan and Turkmenistan to encourage the growth of a broad range of NGOs at various levels of development. These grants will be distinguished from Focus Grants in that they will typically be smaller (\$5,000-6,000) and for a shorter time frame, typically no more than a single year. Counterpart considers this appropriate in these countries because of the significantly lower level of development of the sector.

D. 3. Grant Solicitations

Grant solicitations will be conducted in order to attract proposals that address specific local and program objectives. Counterpart will solicit grants only when the need arises and as funds are available, for example in Kyrgyzstan with election grant programming. If funds are available and specific needs arise, Counterpart may solicit grants in some of the countries besides Kyrgyzstan. Following are some examples of possible solicitations:

- Encourage NGOs throughout a country or the CAR region to coalesce to implement an advocacy campaign in support of a public issue;
- Strengthen cross-border collaboration in Fergana Valley or Aral Sea region, following Counterpart training or other events involving NGOs in these regions;

- Mobilize NGOs to increase citizen participation in national elections;
- Foster coalitions of NGOs working in similar sectoral or geographic areas (e.g. women's issues or Western Kazakhstan)

D. 4. Technical Assistance to Grantees

Regular technical assistance and consultation has always been a part of Counterpart's grant program. During Phase III, it will be institutionalized through the Support Centers, with regular quarterly consultations as a required element of grant implementation. In this way, Counterpart and Support Center staff can identify implementation problems early and help to head them off. The CSSCs will be trained and coached throughout the project in monitoring and evaluation of projects, developing the skills to advise the local organizations in the implementation of their projects. Technical assistance to grantees is both programmatic and financial and serves both a monitoring and educational function. The Counterpart hub offices are staffed with experienced personnel who will focus on the CSSC network throughout the project providing technical assistance.

Focus Grantees will get specialized technical assistance per their TTAPs through the Network Hubs, and outside resources as needed. Technical Assistance to the CSSC grantees (see D.7 below) is articulated under Section A of this proposal.

D. 5. Grant Review

External peer panel review systems are preferable to internal systems provided a core group of experts can be identified. External review cultivates a broader constituency, has valuable public relations value and gives credibility to the whole process. —From Lessons in Implementation Report

During Phase II, in-country review committees composed of local Counterpart staff largely did an increasing portion of the hard work of proposal review. In Phase III, the committees will be expanded to include at least 50 percent outside reviewers, including technical experts, local leaders, representatives of NGOs, and other donors. All of the reviews will be conducted in each country joined by a regional staff person and an observer from the USAID/CAR country office. In the early stages of the project, the staff from the CSSCs will meet at the hub offices in capital cities as members of the committees. At a later point in the project, grant reviews may be held in some regions where CSSCs reside allowing the committee members to look more closely at the projects under consideration.

D. 6. Grant Selection Criteria

Focus Grants, NGO Support Grants and Community Action Grants will have specific guidelines for selection that will be discussed with the USAID project officer to ensure that the grants are in line with the strategic interest of USAID. To jump-start the grant program, Counterpart will begin refining current grant selection criteria to meet the revised program objectives upon official notification of project extension. Priorities will be identified for all three types of grants including some of the following elements:

- Relevance to overall program objectives (advocacy, social partnership, community mobilization, and volunteerism)
- Percentage of funding requested for operations and the grant program activities
- History and experience of the organization
- Governance structure of the organization
- Accounting system and experience with donor funds
- Level of voluntarism involved in the project
- A partnership component

- Social contracting with government for the purpose of an advocacy campaign
- Corporate involvement in community development
- Level of funding from other donors

D.7. CSSC Institutional Support Grants

During Phase III, CSSCs will be selected on the basis of Counterpart's currently established criteria and will be funded through the grant program to foster the guiding principle of partnership underlying the relationship. However, given the fledgling state of some CSSCs and the need to maintain control over the quality of management and client services, as well as the process of developing a governance structure, it will be necessary to create a grant instrument which is more like a "cooperative agreement" in which there will be a substantive involvement clause – giving Counterpart concurrence authority in such areas as key staff selection, workplans, performance indicators, budget and budget modifications, governance, and other areas deemed appropriate for the level of development of the CSSC. The degree of Counterpart's substantial involvement will diminish in direct correlation to the degree that the organization has demonstrated capacity for independent management and self-governance.

CSSC Institutional Support Grants will be made on an annual basis, renewable each year for the LOP. These grants will not exceed \$25K per year, thereby reducing the overhead burden on the project per Counterpart's NICRA formula.

Equipment for the CSSCs will remain the possession of the network of centers managed by the network hub. This will prevent an NGO from using equipment in ways not appropriate to the original intention of the grant.

D. 8. Localization of Grant-Making Programs

The application of professional grant-making systems and procedures has set a good example for indigenous NGOs. A current refrain among discussion group members who participated in this study – a view supported by other independent evaluations – was that professional peer review and transparent grant-making based on clear, objective criteria had a beneficial effect. – Lessons in Implementation

Per USAID practice, Counterpart will determine grant-making capacity of the network associations and member CSSCs through one or more of the following interventions:

- Pre-award survey to assess the financial management and internal accounting standards capacity to account for USG funds, and
- Audits by a local auditing firm or the USAID Mission.

In addition, each potential grant-making network association or member CSSC must demonstrate:

- A democratic governance structure and by-laws
- Certification of a drug-free workplace and non-discrimination of hiring practices regarding race, religion and gender.

Counterpart will also ensure compliance with USAID's Automated Directive System (ADS), Chapter 301 – Grants and Cooperative Agreements since the same rules that apply to U.S. grant-making PVOs apply to local NGOs, unless the policy is amended in the future.

E. LEGAL ENVIRONMENT

*Creating and sustaining a positive, enabling legal environment is immensely important and will pay off generously . . . Investing in a supportive legal and regulatory environment by providing technical assistance, advice and regional networking opportunities yields a significant payoff. --
Lessons in Implementation*

Objective

To assist in the development of a comprehensive legal and fiscal framework that will support and strengthen the NGO sector.

The Need

Led by ICNL, Counterpart Consortium has successfully fostered the establishment of national NGO coalitions that are collaborating with government policy makers to pass improved NGO legislation in all five Central Asian Republics. In the past two years, ICNL has demonstrated effectiveness in harnessing the legislative process for adoption of appropriate laws governing the sector, even in the adverse Central Asian political climate.

Nonetheless, further work needs to be done. New legislation, such as specific laws governing organizational legal forms, needs to be introduced and new laws need to be implemented properly and fairly (see below). The absence of synergy between new NGO legislation and relevant tax laws affecting NGOs is another significant remaining constraint. The need for additional reform to tax legislation hinders both NGO financial sustainability and the institutionalization of current progress in the NGO legal framework. Lastly, the issue of backsliding is a constant threat to existing reform.

A final constraint is the lack of infrastructure to ensure the wide availability of knowledge about NGO legal issues at both the practitioner and academic levels. There is not a core of lawyers to support practitioners with training and expertise in NGO law to contribute to the development of implementation policy and government and NGO understanding of how it effects them. At the academic level, law school courses do not include adequate training in NGO law for future lawyers or continuing education for current legal professionals.

ICNL intends to address the issues listed above and create a conducive legislative environment for NGOs. Furthermore, ICNL will institutionalize its expertise in the local legal community and NGOs in order to prevent backsliding.

Approach and Interventions

E. 1. Structure of the ICNL Program

Current ICNL Program in Central Asia

ICNL has been working on adoption of the basic legal framework in Central Asia for two years. During this time, significant improvements in laws affecting NGOs have taken place. However, the process of introducing and implementing NGO legislation is time consuming. In CEE countries, up to 7 years has been required for enactment of basic NGO legislation and appropriate implementation. Central Asia is no different and will necessarily need continued work to promote on-going reform and prevent backsliding. The time frame given to ICNL allows for development in two stages. Currently most of Central Asia is entering Stage II. To graduate, ICNL will attempt to finish Stage II by March 31, 2003. Thus, this proposal seeks an extension beyond the year 2000 to sustain ICNL activity from April 1, 2000 until March 31, 2003.

The End of Stage I of the Program

In the past two years, ICNL has been assisting with more than 15 legal initiatives in Central Asia, which have resulted in draft laws submitted to Parliaments. It is expected that at least 6 new laws directly

regulating NGOs will be adopted by early 2000 as a direct result of ICNL activity. The end of the first stage will be marked by (i) NGO involvement in NGO law reforms throughout the region; (ii) enactment of statutory laws regulating NGOs. The basic statutory laws include some general laws important to NGOs, such as modern civil code provisions that address NGO rights, a base law that defines charities, and a base law that sets forth contemporary organizational legal forms of NGOs and their registration.

By ICNL's assessment, Kyrgyzstan, Kazakhstan, and Uzbekistan have already effectively graduated from Stage I to Stage II. Tajikistan is currently in Transition from Stage I to Stage II with potential to make great strides in legislative terms. But even though these countries are making demonstrable progress in adopting the base laws, the basic legal framework is not accomplished without elaboration and uniform application. During Stage II, ICNL will continue to assist with drafting advanced NGO legislation as well as with implementation of newly adopted laws. Advanced legislation may include, for instance, detailed laws on foundations and institutions, preferential tax treatment for NGOs and follow-up regulations on registration of NGOs. Unfortunately, ICNL remains in Stage I of its program strategy for Turkmenistan and as such, ICNL will continue to work on the adoption of base laws in Turkmenistan.

Stage II of the Program

Work remains before a sound legal framework for the NGO sector will be in place in all CA countries. The proposed project will help consolidate gains in the area of NGO law reforms. Without this project, backsliding will undoubtedly occur, and bad practices will be institutionalized.

- *First*, the passage of new laws is meaningless unless it is appropriately implemented, and both NGOs and government authorities understand the effect of the new law upon activities of NGOs. As George Ingram, Deputy Assistant Administrator, USAID, stated, "when a law is enacted, it is necessary to turn to training and implementation projects."¹¹ Inadequate implementation policy associated with new NGO legislation remains a major constraint to development of a comprehensive NGO enabling environment. Both NGOs and government authorities lack a thorough understanding the new legislation's effect on NGO activities.
- *Second*, it is still necessary to assist with tax laws and advanced statutory legislation, such as laws on foundations and institutions, affecting NGOs.

While helping to develop a legal environment for NGOs that meets international standards, ICNL will be focusing on building in-country capacity for local lawyers and NGOs to insure support of these legislative changes as they are established.

First, it is necessary to expand the base of lawyers interested in NGO law and to create dialogue between and among the NGO community, judiciary, government, and private bar on issues of NGO law (See E. 7 below On Legal Education.)

Second, ICNL will focus on building indigenous local structures effectively addressing NGO law issues with the government and the public. Using the ICNL project in CEE as a model, ICNL will work with local and regional partners to develop an indigenous organization(s) that advocates for good NGO legislation. The concept is that there will be sustainable local NGOs operating effectively in every one of the five republics. Depending on the country ICNL will either be assisting with the establishment of a new NGO or building capacity of an existing NGO. In any event, ICNL will seek to maximally strengthen the capacity of indigenous NGOs, new or existing, to become active and proficient in this field, within the context of the varied social and legal environments in the region.

¹¹ Presentation at the reception organized by the Uzbek Embassy in Washington, DC, on the adoption of the new NGO law in Uzbekistan, June 28, 1999

To better monitor the program, at the end of the second year of the extension, ICNL will conduct a mid-term assessment to evaluate whether progress has been made in each country and under each of the program objectives. ICNL will use this assessment to increase the effectiveness of its work through focusing more on the areas where breakthroughs are more likely to take place. Reduced resources will be devoted to areas where there is no commitment and the environment is unreceptive.

In addition, during year two of the Agreement, USAID/CAR will assess progress per country to decide whether or not to continue funding per country for year three of the agreement.

The Exit Strategy

ICNL will work to establish these indigenous organizations by March 31st, 2002. After that date, ICNL activity will be carried out jointly with the indigenous organizations. ICNL will actively assist each local organization with (i) extensive training of lawyers; (ii) building their data bases, other resources on NGO laws and establishing connections with similar NGOs in other countries; (iii) with the assistance of Counterpart, training the members to insure the structural sustainability and effectiveness in management of these organizations; (iv) obtaining programmatic funding from outside sources. These partnerships and the overall network will operate from 2002 until March 31st, 2003.

These local organizations have a high probability of becoming truly self-sustainable. *First*, the organization can provide a variety of low cost non-profit services to law firms, international donor organizations, international representations and domestic NGOs. From continuing legal education courses for practitioners to registration issues for local NGOs, the independent organization should have the means to survive after the end of USAID funding.

Second, during Stage I, ICNL was able to deliver additional funding for related activities in Central Asia in an amount exceeding \$100,000. This includes funds from various sources, as well as activities, events and projects that were specifically fashioned to assist legislative initiatives supported by ICNL. ICNL is frequently approached by outside organizations for funding opportunities. Organizations such as Soros, Eurasia, Asian Development Bank, the Charity Know How Fund and Aga Khan Foundation have all specifically inquired about potential ICNL projects in Central Asia. Because ICNL in CA is currently fully funded by USAID and has received consistent support from Global Training for Development, the full potential of matching funds has not yet been realized. In this regard, ICNL plans to devote additional time to securing outside funding for the newly formed organizations.

E. 2. ICNL As *Honest Broker*

During Phase I, ICNL achieved notable success operating as a partner within the Counterpart Consortium. However, based on analyses of its performance under USAID-funded programs in Central and Eastern Europe and Central Asia, it has become clear that ICNL is most effective carrying out its prime role of an *honest broker* between NGOs and governments—even among competing NGOs.

In *Evaluation of Performance and Potential—Final Report* (March 15, 1998) evaluating ICNL programs in CEE, USAID highlighted ICNL's "ability to play the role of intermediary or honest broker in situations where others play the advocacy role." In the same document USAID warned ICNL against being too closely associated with the NGO sector and left it to ICNL to judge "whether and to what degree ICNL should engage in this type of advisory support of NGOs." However, Counterpart Consortium has a uniquely effective NGO development program and offers a contact point where ICNL can reach a broad spectrum of NGOs regionally. ICNL will continue to cooperate closely with Counterpart and local NGOs, but carefully structuring these relations so that they do not damage its *honest broker* image.

E. 3. Monitoring of Implementation of New Laws

As stated above, ICNL will monitor the implementation of new laws and training of government officials and NGOs on good practices for NGO regulation and fair implementation of laws affecting NGOs. ICNL will specifically focus on the issues of implementation in countries where new laws have been recently adopted and potential problems with applying these laws exist, in particular in Uzbekistan and Kyrgyzstan. To accomplish this goal, ICNL will work with its governmental and NGO partners and international organizations such as the UN, OSCE and other USAID grantees to encourage governments to properly and fairly implement new legislation. ICNL will also assist government bodies in charge of implementation of laws affecting NGOs with preparation of the follow-up regulation (forms, instructions, and regulations) and amendments to other laws and regulations to insure that they comply with new laws.

E. 4. Social Contracting

In 2000 ICNL will accomplish the study of the current legislation affecting social contracting in each country. By assisting government officials and NGOs with drafting and implementing legislation enhancing social partnerships and contracting, introducing them to experience in social contracting existing in other countries, as well as assistance with drafting model social contracts ICNL will promote government/NGO social contracting and partnership relationships. ICNL will also rely extensively on its successful experience in supporting social contracting in Central and Eastern Europe. ICNL will focus on the issues of social contracting in particular in Kyrgyzstan and Kazakhstan.

E. 5. Self-Regulation in the NGO Sector

ICNL will train NGO leaders on different practices of self-regulation in the sector in different countries, such as NGO codes of conduct.

E. 6. Technical Assistance to Legal NGOs

ICNL will provide technical assistance to legal associations and legal NGOs in each country to enable them to protect against legislative backsliding and to monitor implementation of NGO-related laws. This assistance will include in-person training and provision of materials so that they better understand international principles of NGO regulation and the application of these principles in their country. These selected NGOs will provide support to NGOs and Civil Society Support Centers as necessary on a retainer. ICNL will also provide other required technical assistance to assure local legal capacity to support the NGO sector.

E. 7. Legal Education

ICNL will be a resource to local law schools by sharing its legal materials on NGO laws. Through close coordination with other USAID grantees, in particular ABA-CEELI and the National Democracy Institute, ICNL will assist and encourage local law schools to include NGO legal topics in their curricula.

Other areas of activity include educating government officials on the role and purposes of the NGO sector in democratic society, reasons why a strong NGO sector is helpful to the government and approaches to establishing trustworthy relations between NGOs and government. This is essential in countries where the ground should be prepared before NGO law reform can happen, like Turkmenistan, as well as to countries where there are potential problems with implementing new laws, such as Uzbekistan.

The *legislative* and *attitudinal environments* are two key elements to creating an enabling environment that is

conducive to the long-term health of civil society. The International Center for Not-for-Profit Law will seek to develop a *legislative environment* that is supportive of the long-term growth of the NGO sector.

V. COUNTRY-SPECIFIC INITIATIVES

Flexible approaches to NGO support – tailored to local conditions – have worked in the past and will continue to work in the future. – Lessons in Implementation

Given the significant differences among the contexts of the various Central Asia republics, it is important to tailor strategies to each country. This section outlines country-specific strategies and approaches, based on Counterpart's extensive experience in each country of Central Asia.

Kazakhstan

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

Objective

Expand, strengthen and localize a sustainable and geographically dispersed network of at least eight Civil Society Support Centers in key cities around Kazakhstan that provide NGOs and other stakeholders with access to a comprehensive range of support services.

The Need

The greatest challenge to building civil society in Kazakhstan is the vast expanse of the country¹². For this reason, strong NGOs—and NGO support services—tend to be concentrated in a handful of cities, primarily Almaty, leaving a number of larger cities in outlying areas under-served by NGOs.

In 1997 the capital of Kazakhstan was moved from Almaty to Astana, a provincial city located in the north. Astana is more centrally located—more than half the population can take a short train ride to reach Astana. However, the strongest NGO community—more than 300 strong—remains concentrated in Almaty. The NGOs that exist in Astana are still in the early development stages and not equipped with the skills required to advocate and effectively work with the national government. There have been efforts to increase government oversight of NGO activities through the oblast departments of the Ministry of Culture, Information, and Public Accord, but the ministry concentrates its oversight activity on political parties and directly political organizations, which excludes most NGOs. Moreover, conditions for independent mass media have recently worsened. A large number of independent television stations and newspapers have been closed or come under government control.

A key challenge in Phase III in Kazakhstan will be to expand and upgrade the Civil Society Support Centers institutionally. Currently in Kazakhstan, only the Almaty Support Center is quite well developed. New Centers have been established in Astana, Shimkent, Pavlodar, Karaganda and Ust-Kaminogorsk, but their capacity is still relatively untested. Transferring skills and techniques from Almaty to these and other Support Centers yet to be established will be a major task.

Approach and Interventions

¹² According to Consortium monitoring reports, some NGOs in Kazakhstan must travel more than three days on a train and spend more than a month's salary to reach the nearest Support Center.

The centerpiece of Phase III in Kazakhstan will be to expand the existing informal network of NGO Support Centers into a network of at least seven Civil Society Support Centers throughout Kazakhstan with a focus on under-served cities in the north and west.

In light of the importance of the new capitol in Astana, this support center will be particularly well developed and will focus on government and its interaction with NGOs. The Astana center will collaborate with ICMA and ABA/CEELI on public hearings, as opportunities arise. The Almaty Support Center will focus on the relationship between business and the NGO community.

To address the peculiar geographic demands of Kazakhstan, the localization strategy will place strong emphasis on creating a network of collaborating NGOs that will work to provide support services across the country.

To this end, three planning meetings of potential network partners have been held over the past six months. They have included such long standing Counterpart partners as CASDIN (Almaty and Pavlodar), ZUBR (Ust-Kaminigorsk), Kiwanis and Dibaet (Taraz), South Kazakhstan Association of Lawyers (Shimkent), Eco-Center (Karaganda) and HELP (Kostanai). It is anticipated that these groups will constitute the nucleus of an NGO support network in Kazakhstan. Counterpart is also considering several other NGOs that may wish to also join the network.

In addition, Counterpart anticipates working closely with the USAID-funded ISAR project in Atyrau to assist in building a strong and sustainable NGO support capacity in the West of the country. This collaboration will serve as the base from which Counterpart reaches out to other western communities such as Aktau, Uralsk and Aktyubinsk. To further this agenda, ISAR has participated in the network planning meetings.

Zhalgas Center, the former USAID/Global alumni association, has been subsumed by Counterpart in the last few months. Reconstituted with a wider mandate, embracing not only Global alumni, but the entire community, Zhalgas will be the home of Counterpart's CSSC in Almaty and may also serve as a fee-for-services arm that over time evolves as a model for sustainability for the entire network by offering training, consulting and similar services to business and development organizations.

In addition to capacity building interventions outlined in the regional section, preliminary assessments of the Kazakhstani Support Centers indicate the need for institutional strengthening in Kazakh language, financial and grant management, marketing, corporate fund raising, team building, volunteer management, presentation/representation, and OD/TA/TTAP.

Strategic plans will develop fundraising strategies for each Support Center and for the national network. Some fundraising strategies that are being considered by the Kazakhstan Support Centers include:

- providing training for NGOs, CBOs, government and business
- fee for service
- serving as intermediaries for donors

The evolving network has identified the following potential sources of income:

- donor grants
- donor consultations, assessments and logistics
- training
- grants administration

- consultations
- corporate contributions

Counterpart will develop at least two organizational development specialists for Kazakhstan – one in Almaty and one in Astana -- through an intensive program of training in OD. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Central Asia; and (3) improve the sustainability of the Counterpart affiliate network by creating a valuable and salable staff capacity. Training the cadre of organizational development specialists will be an element in the scope of work of the expatriate organizational development specialist.

In Phase III, Counterpart will continue its on-going strategy of localizing Civil Society Support Centers. Each Support Center in Kazakhstan will have a strategic plan for sustainability and a local advisory board by the end of the first year of the cooperative agreement. By the end of the second year, local advisory boards will develop appropriate governance structures for each Center and contribute to the national-level governance structure. Thus, by the end of the second year of the agreement, a network of support centers with an accountable system of governance (including a uniting association structure with a countrywide board of directors) and accountable financial management will be in place in Kazakhstan.

B. COMMUNITY OUTREACH

Objective

Engage communities in solving local problems through facilitation of social partnerships, issue-based coalitions, media support to NGOs and resource assistance to community-based organizations in their attempts to advocate on local issues.

Approach and Interventions

B. 1. Advocacy

The thrust of the Phase III program shifts the focus of advocacy to communities. It is anticipated that in Kazakhstan advocacy, for the most part, will arise from outreach activities carried out in communities. The primary geographic loci of these activities will be those cities in which one of the CSSCs is located.

Advocacy topics will differ according to the overriding problems identified through the PCA process. It is likely, for instance, that environmental issues will play a larger role in advocacy activities in eastern Kazakhstan, while in Karaganda and environs employment will a larger issue. In the South, particularly Shymkent, public services are a particular problem and seem likely to generate a fair amount of public interest.

In Atyrau, where environmental issues are also important, Counterpart anticipates working closely with the USAID Local Government program in order to involve NGOs fully in that program's efforts to increase transparency of public deliberations on a variety of topics decided by local government entities. It is likely that housing will be an advocacy issue common to communities throughout Kazakhstan since localization of the country's housing stock still leaves unsolved problems and unanswered questions in its wake.

National level advocacy issues will derive from the concerns of focus NGOs. Their commitment to the principle of advocacy, the relevance of the issues that concern them and their potential effectiveness at advocacy will be among the criteria used for their selection.

B. 2. Community Mobilization

While Kazakhstan does not have an indigenous tradition of community-based organizations such as the makhallas found in Uzbekistan and Tajikistan, it does have another mechanism that can be used to promote community participation. In Kazakhstan, all housing has been privatized and all housing owners must, by law, belong to local housing associations. Thus local housing associations are a unique institution that provide outreach to nearly every household in the country.

In Phase III, Counterpart will use local housing associations to involve communities in NGO activities, using the community mobilization methodology described under the regional section. A special focus will be made on developing paid services that housing associations can offer to their members that also bring in revenue. These could include such services as joint purchasing, building maintenance, cleaning, childcare, retail food sales, sharing of resources, employment services and other areas. Housing associations can also be used to facilitate the involvement of their members with the resource centers and in local NGO initiatives.

Counterpart's election strategy for Kazakhstan will focus on providing information and education to NGOs so that they can effectively conduct voter service activities and actively participate in local elections, building on the work already conducted with the League of Women Voters. Civil Society Support Centers will provide NGOs with information about the rights of voters and procedures for voting. Counterpart will work with NGOs to facilitate voter service activities in municipalities that are holding elections and to collaborate with NDI and IFES.

B. 3. Volunteerism

Network staff will seek to involve the Open Society Foundation Volunteer Center in Almaty in the volunteer development activities described in the regional section.

C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM

Objective

Expand and localize training and technical assistance capacity in Kazakhstan to help the NGO sector become more sustainable and better able to advocate their interests at the local and national levels.

Approach and Interventions

C. 1. Technical Assistance Services

Counterpart Consortium will continue to leverage technical expertise already available in the region to further develop the advanced training program while basic training modules will be taken on by the Support Centers. This strategy has proven to be a cost-effective approach that builds on synergies and avoids duplication of effort. For example, NGO involvement in the election process in Kazakhstan and Kyrgyzstan was enhanced by Consortium collaboration with IFES. ICMA efforts to support the legal and policy environment for housing associations in Kazakhstan are the foundation for Counterpart efforts to strengthen the sustainability of housing associations. Additional sources of external expertise will include the more advanced local NGOs, NGOs served under the USAID-DemNet program for CEE, and Counterpart and its affiliates in Russia and Ukraine.

D. GRANTS PROGRAM

Objective

Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures.

Approach and Interventions

Grants in Kazakhstan will target issues identified by local communities. These issues are anticipated to include housing, consumer protection, education, health, basic services and human rights (including women and soldiers' mothers in addition to the more obvious human rights issues).

D. 1. Solicitations

In addition to Focus Grants and Community Action Grants, Counterpart may offer grant solicitations in Kazakhstan, to the extent that funding is available. Illustrative examples of possible solicitations include:

- Catalyze NGO activity in Atyrau to support USAID's Atyrau Initiative following a Counterpart Social Partnership training and follow-on activities
- Encourage NGOs to lead advocacy efforts related to specific legislation coming before parliament with very short lead time

In order to make the grant program more accessible to communities in outlying regions, grant proposals will be accepted in any of the country's major languages, including Kazakh and Russian.

E. LEGAL ENVIRONMENT

Objective

Develop a legislative environment that is supportive of the long-term growth of the NGO sector in Kazakhstan.

The Need

Kazakhstan is attempting to remove the stigma of past events and move towards democratic reform. ICNL will continue to encourage this trend and ride the momentum of the government's willingness to address legislative reform. The push for reform has developed into two new laws: a draft law governing the status of NGOs and a charity law. ICNL provided assistance to both these initiatives. Throughout the drafting process ICNL provided the drafters of both laws in-person advice and legal materials.

The NGO law was drafted under the auspices of the Senate Legislative Committee. It governs the registration and regulation of several forms of NGOs. Another official drafting group prepared a law on charities, under the auspices of the Institute of Legislation, the Ministry of Justice. The charity law differentiates between mutual and public benefit organizations and designates public benefit organizations for preferential tax treatment.

In cooperation with other local and international organizations, ICNL facilitated a broad discussion of both drafts with NGOs throughout Kazakhstan. For example, ICNL and its partner NGO, Association of Non-Governmental, Non-Commercial Organizations of Kazakhstan (ANNOK), held a series of formal discussions with NGO leaders in different regions of Kazakhstan. ICNL also contributed to a public hearing held by the Kazakhstan Senate and American Bar Association on the draft law on NGOs. Participants included Kazakhstani NGOs, international organizations, and government officials. Important issues/problems in NGO regulation in Kazakhstan were discussed at the hearing. This is the

intentionally inclusive consultative process that ICNL includes to insure that many current NGO concerns will be addressed and resolved. ICNL will continue to use this method in approaching the next stage -- registration, implementation and taxation issues.

Approach and Interventions

- ICNL will continue providing assistance with on-going and new legal initiatives. Once the basic law framework governing the sector is in place, ICNL will focus on tax laws and other specialized laws. This includes laws on micro-credits, on water-user associations, procurement laws, laws on social services, licensing laws, as well as laws governing special forms of NGOs, such as laws on foundations and institutions.
- In addition, ICNL will focus on developing social partnerships by educating the government and business communities on benefits of supporting the NGO sector and promote corporate and private donations through improved tax benefits. This will have a direct impact on NGO sustainability. The effect from these trainings and roundtables will be insured by the public information campaign provided by Counterpart media program.
- Assisting local partner NGO or helping local lawyers to develop such an NGO that can effectively assist the NGO community in Kazakhstan to ensure continuation of the NGO law reform, sustainable implementation of improved NGO legislation, and to advocate against legislative backsliding. It is assumed that this NGO will be a part of Counterpart's localized network of Support Centers if deemed appropriate.

Expected Results and Timeline
1. January 2001 – Law(s) regulating contemporary organizational legal forms of NGOs will be adopted.
2. September 2001 – NGOs will be aware of their new rights and obligations under the new legislative changes. ICNL will establish/identify a local NGO in advocacy of good NGO laws.
3. January 2002 -- It is expected that provisions in tax law with preferential treatment of public benefit organizations and/or a separate law on public benefit organizations will be in place by this time.
4. April 2002 – ICNL will accomplish training of the identified local NGO on good practices of NGO regulation in international laws and laws of other countries.
5. July 2002 –With ICNL assistance government agencies will develop follow up regulations to fairly implement the above outlined laws. Both government officials and NGO leaders will better understand and apply good practices of NGO regulation resulting from training and information provided by ICNL.
6. September 2002 – The local NGO will establish a data of NGO laws and materials and serves as a resource center to other NGOs and interested parties.
7. December 2002 –The local NGO will establish mechanisms to be self-sustainable and demonstrated capacity to promote good NGO laws. New laws may include laws on social partnership and special types of NGOs.
8. April 1, 2003- An NGO with local legal capacity in non-profit law will be working by the end of the agreement and will demonstrate its sustainability and ability to advocate in favor of the non-profit sector and to consult NGOs and government on legal issues.

Kyrgyzstan

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

Objective

Expand, strengthen and localize a sustainable network of autonomous Civil Society Support Centers that provide NGOs and other stakeholders with access to a comprehensive range of support services.

The Need

Kyrgyzstan is a lesson in contrasts, combining the most open democracy in the region with wide-scale poverty and unemployment. This contrast is especially acute in rural areas, where the low level of public involvement in decision-making exacerbates poverty and inhibits community-level progress. According to the Counterpart database, there is a relatively large NGO community numbering more than 1,500 throughout the country, concentrated predominantly in urban areas.

A number of groups in Kyrgyzstan are leading rural community development, including *Alga* and *ACT* in Chui valley, *Tolerance International* in Batken, and *Leader* in Karakol. Some of these are Civil Business Organizations, carrying out activities in their own villages. Others are urban-based NGOs, which have developed a network of villages where they conduct community participation activities. While a few urban NGOs have excellent resources and strong rural ties, most demonstrate limited community outreach and, consequently, lack strong constituencies.

In collaboration with USAID, UNHCR and other international donor agencies, Counterpart Consortium has developed an effective network of Civil Society Support Centers in three rural areas (Kara-Balta, Jalal-Abad and Naryn). Affiliated centers are operating in Osh and Karakol. However, NGOs in other rural areas of the country still lack adequate localized access to information, training and technical assistance. The lack of support infrastructure remains a constraint to civil society development in remote and isolated areas.

Counterpart Civil Society Support Centers in Jalal-Abad and Kara-Balta are successfully managing \$40,000 in UNHCR small grant funding for a national poverty alleviation program. Despite these efforts, there are still not enough community-based organizations with adequate capacity to facilitate proactive decision-making at the community level. Existing NGOs in rural areas lack skill in participatory problem identification, project design and implementation. The recent USAID Lessons in Transition Report for Kyrgyzstan confirms this analysis and documents *a broad consensus among both donors and NGOs that NGO support in Kyrgyzstan should focus more intensively on NGOs working in rural areas.*

Approach and Interventions

The current network of NGO Support Centers in Kyrgyzstan will be expanded during Phase III—providing for a broad geographic outreach of services to NGOs and the communities they serve outside of the capital cities. It is anticipated that in addition to existing Support Centers in Bishkek, Jalal-Abad, Naryn, Karakol, and Kara-Balta, Counterpart will work to include Centers in Batken, Osh, and Talas. In some instances, new Centers will be established; in others, existing NGOs filling this role as Consortium grantees will be brought into the network.

Because of the small size of the country, it may be found that additional Support Centers are not needed, given the network already in place. In this case, mini rural Support Centers will be added to the existing network of NGO support infrastructure in order to maximize service to rural areas at moderate cost. Mini Support Centers are feasible in Kyrgyzstan because of the relatively short distances involved in reaching many rural areas. Counterpart will also consider the option of collaborating with other resource and business support centers in

Kyrgyzstan funded by USAID. Counterpart will also continue to actively involve Peace Corps Volunteers in its programs in order to further expand rural outreach into under-served areas.

Through this approach, Counterpart will offer existing NGOs the opportunity to function informally as Mini Support Centers and will be provided with basic office communications to offer nearby NGOs access to information and services provided through the support network. To facilitate this role, a circuit rider from the nearest Civil Society Support Center will visit them to hold office hours weekly or biweekly.

In addition to the Civil Society Support Centers, Counterpart will target 10-12 national level support and advocacy organizations whose advocacy potential is of particular relevance to NGOs and community-based groups. They will include groups such as Center Interbilim, Aikyn (consumer rights) and Alga.

In addition to capacity building interventions outlined in the regional section, preliminary assessments of the Kyrgyzstani Support Centers indicate the need for institutional strengthening in monitoring and evaluation, negotiation skills, reporting, marketing, fund raising, consulting, and OD/TA/TTAP.

Strategic plans will include fundraising strategies for each Support Center and for the national network. Some fundraising strategies that are being considered by the Kyrgyzstan Support Centers include:

- subcontracts from the network for specific activities
- fee for service
- training
- donor grants
- corporate sponsorship
- grant making and technical assistance

The evolving network has identified the following potential sources of income:

- donor grants
- OD facilitation
- training
- grants administration
- fee for service
- consultations
- corporate contributions

Counterpart will develop two organizational development specialists in the Bishkek network hub, through an intensive program of training in OD. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Central Asia; and (3) improve the sustainability of the Counterpart affiliate network by creating a valuable and salable staff capacity. Training the cadre of organizational development specialists will be an element in the scope of work of the expatriate organizational development specialist.

In Phase III, Counterpart will continue its on-going strategy of localizing Support Centers, four of which are already localized. Each new Support Center in Kyrgyzstan will have a strategic plan for sustainability and a local advisory board by the end of the first year of the cooperative agreement. By the end of the second year, local advisory boards will develop governance structures for each Center and contribute to the national-level board of directors. Thus, by the end of the second year of the agreement, a network of Support Centers with an accountable system of governance (including a uniting association structure with a countrywide board of directors) and accountable financial management will be in place in Kyrgyzstan.

The Civil Society Support Centers will be encouraged to join together with other NGO support and advocacy organizations, such as Center Interbilim and form an Association. Counterpart will provide the Association

with necessary initial support. The Association will conduct a variety of activities with the goal of building the capacity in Kyrgyzstan to provide support services for the NGO sector and to promote community mobilization. The Association will foster regular contacts among its members and assist them in maintaining contacts with donors.

B. COMMUNITY OUTREACH

Objectives

Develop empowered communities that can partner to address community issues, advocate for their interests, and are recognized and valued by local authorities as effective partners in development. Provide targeted support to NGOs in advocating and promoting grassroots community development.

Approach and Interventions

B. 1. Advocacy

In Kyrgyzstan, the size of the country allows for interventions throughout the country. Thus, in addition to local community initiatives, there may be opportunities for local interventions aligned throughout the country on a particular issue. For example, many rural NGOs are keenly interested in land issues arising out of privatization. This can be coordinated with the Swiss Development Council, as they have been very active on this issue.

Because of limited public understanding of the sector, public outreach through the media will focus specifically on reinforcing public acceptance of social partnership and volunteerism concepts. It is anticipated that the Corporate Citizenship Awards outlined in the regional section will be effective in Kyrgyzstan and will therefore also be widely publicized through the media. Counterpart will explore media collaboration with existing resources such as AUK's media center funded by the Eurasia Foundation.

B. 2. Community Mobilization

During Year 1, Counterpart will continue to actively prepare NGOs in Kyrgyzstan for participation in the upcoming elections by sharing and applying best practices. Additionally, Counterpart will continue, using the same structure and guidelines, to administer a special USAID small grant election fund.¹³ In cases where NGOs are awarded election grants for workshops, trainings, seminars and similar events, Counterpart will determine whether the NGO grantees have adequate competence in-house in facilitation and training methodology. When lacking, staff training in these areas will be a required element in grant activities.

A particular focus will be the involvement of women and youth. Planned examples include:

- Development of a partnership between "Rock the Vote" in the U.S. and several Kyrgyz NGOs.¹⁴
- Supporting a follow-on partnership with the League of Women Voters of Colorado on the basis of experience gained through training during Phase II.
- Facilitating an exchange of election experience between with Slovak and Kyrgyz NGOs through a training request to the Global Training for Development Program.
- Assisting teachers' association working with first-time voters.

¹³ \$125,000 of the grant fund in Year 1 will be set aside for EGC grants. The remaining \$25,000 of the election grant funds will be used for administration of the program and training and technical assistance to NGOs. All grant awards will be done in coordination with USAID/Bishkek and the U.S. Embassy.

¹⁴ Counterpart will seek funding from GTD and other donors for the partnership activities described in this section with Rock the Vote, League of Women Voters and Slovak NGOs.

- Exploring the potential for collaborating with the Urban Institute on public hearings.

In some areas of southern Kyrgyzstan, the potential exists for conducting community mobilization activities through the makhallas, as is currently being done in the Uzbekistan program. This will be fully examined and implemented where appropriate.

B. 3. Volunteerism

Network staff will seek to involve the Open Society Foundation Volunteer Center in Bishkek in the volunteer development activities described in the regional section.

B. 4. Cross-border Programming

The Need

Important regional linkages have been established. Where there has been an attempt to bring NGOs together to solve common problems and learn from one another's experiences, creating cross-border linkages has proven extremely valuable and cost effective. -- Lessons in Implementation

The Fergana Valley region requires special cross-border programming. Sliced by international borders, this strategically important region has suffered some of the most severe economic, political and environmental problems in Central Asia. This region also illustrates the need for additional emphasis on local languages in training, printed materials and other communication mechanisms supporting all Consortium programs, as documented by Civil Society Support Centers already providing access to support infrastructure in Kyrgyzstan.

Approach and Interventions

Counterpart will address problems in the Fergana Valley region by conducting programs on a cross-border basis to the extent that the political realities and border regulations permit. Joint training will be conducted with NGOs from both sides of local borders. Roundtables on issues such as health or job creation will include NGOs and local officials from multiple countries. Networking among Civil Society Support Centers will be encouraged and facilitated and community mobilization activities will be held with cross-border observers. Counterpart will collaborate with other organizations (such as Eurasia Foundation) that are currently conducting similar activities. In addition, in light of security issues, Counterpart will coordinate with USAID/CAR in Almaty and Bishkek.

~~C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM~~

Objective

Expand and localize training and technical assistance capacity in Kyrgyzstan to help the NGO sector become more sustainable and better able to advocate their interests at the local and national levels.

The Need

A Counterpart training workshop in Participatory Community Appraisal has proven successful in providing NGOs with the skills they need to mobilize community action to address self-identified priority needs. This methodology has also been adapted to provide additional technical assistance to target NGOs, including rural CBOs in Kyrgyzstan. A broader range of NGOs and the communities they serve still need additional training and technical assistance to strengthen their community mobilization skills.

Approach and Interventions

C. 1. Advanced Training Modules

In order to reach rural and isolated communities, all training materials will be translated into local languages and the language used in trainings will be reflective of the dominant language spoken by the trainees. The approach will require additional TOTs to increase the number of contract trainers with language proficiency in Kyrgyz and Uzbek. As described in the regional section, Counterpart will primarily focus on the advanced training modules, with basic modules being spun off for implementation by the Support Centers.

C. 2. Technical Assistance Services

Counterpart Consortium will continue to leverage technical expertise already available in the region. This strategy has proven to be a cost-effective approach that builds on synergies and avoids duplication of effort. For example, NGO involvement in the election process in Kazakhstan and Kyrgyzstan was enhanced by Consortium collaboration with IFES. Additional sources of external expertise will include the more advanced local NGOs, NGOs served under the USAID-DemNet program for CEE, and Counterpart and its affiliates in Russia and Ukraine.

D. GRANTS PROGRAM

Objective

Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures.

Approach and Interventions

Given the current level of development of Support Centers in Kyrgyzstan, those which are local NGOs will be eligible to receive grants as members of the network to cover their operating expenses and community support activities. Awards will be made in several installments and each installment will be disbursed based on quality of performance. Each installment will require a separate proposal, which will reflect lessons learned and increasing leverage of additional resources. Support Centers will be aware of these procedures, which will serve as an incentive for better performance and increasing autonomy. This will facilitate Counterpart's withdrawal in three years, leaving behind graduated, skilled and experienced Support Centers, which will become reliable members of the Association.

D. 1. Solicitations

In addition to Focus Grants and Community Action Grants, Counterpart may offer grant solicitations in Kyrgyzstan, to the extent that funding is available. Illustrative examples of possible solicitations include:

- Mobilize NGOs to target youth involvement in upcoming presidential elections, including voter education, media campaigns based on the Rock the Vote model in the US and issue-focused youth advocacy
- Encourage NGO activity in Southern Kyrgyzstan, including cross-border collaboration in the Fergana Valley and sharing experience with the Uzbekistan Makhalla Initiative Project
- Support joint programming between rural NGOs and national NGOs in Bishkek to strengthen ties between urban and rural areas

D. 2. Election Grants Committee

Counterpart will also implement an Election Grants Committee during the first year of the grant to coincide with the presidential elections. This activity will follow the model that was established for local elections in 1999 and parliamentary elections in early 2000. Counterpart's role, as before, will be to facilitate the grant-making and monitoring processes, and the committee will involve all of USAID/CAR's democracy partners. Election Grant recipients will be eligible for training in the advanced modules noted under section C.1 above.

D. 3. Grant Review

In order to make the grant program more accessible to communities in outlying regions, grant proposals will be accepted in any of the country's major languages, including Kyrgyz, Uzbek and Russian.

D. 4. Localization of Grant-Making Programs

Grant making in Kyrgyzstan will continue to rely on the extensive grant-management capacity of the Support Centers. By the end of the second year, all proposals will be reviewed in country, with sign-off by the Chief of Party. It is anticipated that funding for small grants to communities will continue to be available through UNHCR. The government of Kyrgyzstan Employment Fund, World Bank, and Asian Development Bank and UNDP all have poverty alleviation programs that could also be made available for community grants through the Support Centers. Thus, building the capacity of CSSCs to manage such community grant programs is an important step for sustainability. Moreover, it is a first step toward a possible future establishment of community foundations.

E. LEGAL ENVIRONMENT

Objective

Develop a legislative environment that is supportive of the long-term growth of the NGO sector in Kyrgyzstan

The Need

The legal and political environment for NGOs in Kyrgyzstan is comparatively supportive, and the opportunity to address legislative issues optimal. In 1998, ICNL facilitated the creation of a drafting group in Kyrgyzstan that was consistently active throughout the year. This multi-representational group consisted of deputies and NGO representatives and continues to be active. With the technical assistance of ICNL, the working group drafted an NGO draft law through a series of drafting sessions in spring 1998. This draft was discussed, analyzed and redrafted through numerous meetings and round tables held throughout Kyrgyzstan.

In October 1999 Kyrgyz president Askar Akaev signed this long-awaited bill on non-governmental activities, the product of two years of intensive collaboration between NGO lawmakers, government officials and international organizations. In this sense, the draft is a real example of government/NGO cooperation and exhibits the international standards of NGO legislation. Moreover, the new law establishes more concrete criteria for the creation of non-profit organizations, and distinguished them clearly from commercial organizations. It also provides a clear definition of the organizational-legal forms open to NGOs (including associations, foundations and institutions). The new law is one of the most progressive of its kind in the FSU, though its effectiveness will largely depend on its implementation. The Republic has also passed a new law 'On Patronage and Charitable Activities', which attempts to define charitable activities for preferential fiscal treatment under the laws. However, as yet the Tax Code lacks corresponding benefits – undoubtedly the next issue to be addressed if charitable organizations are to benefit from the new charity law as they were intended to. Yet, the Law on Patronage

and Charitable Activities will require revisions in order to comply with international good practices and respond to the needs of the NGO sector.

Approach and Interventions

ICNL's prime focus will be on implementation of new laws and further development of the legal framework for NGOs through assistance with amending current laws and with drafting laws regulating special organizational forms of NGOs, such as foundations and institutions.

Also, given the more favorable political and legal environment for NGOs and maturity of the NGO sector in Kyrgyzstan, ICNL expects that establishing an indigenous organization capable of providing assistance to local NGOs and pursuing NGO law reforms will take less time than in other Central Asian countries. It is expected that such an organization will be set up and operating with ICNL assistance by April 2001.

Expected Results and Timeline
1. September 2000 – ICNL will conduct a seminar series on implementation of new laws with local NGO partner and matching funds from other international organization to assist in implementation practices of government. New regulation of registration of legal entities adopted by the Ministry of Justice will reflect provisions of the 1999 NGO law and will improve registration procedure for NGOs.
2. March 2001 – ICNL will establish/identify a local NGO in advocacy of good NGO laws.
3. October 2001 – A legislative environment for non-profit organizations that meets international standards will be in place in Kyrgyzstan. It is expected that the tax code and the 1999 Law on Patronage and Charitable Activity will be amended to be consistent with each other and to comply with international good practices.
4. July 2001 – ICNL will accomplish training of a local NGO in advocacy of good NGO laws.
5. February 2002 -- Both government officials and NGO leaders will better understand and apply good practices of NGO regulation resulting from training and information provided by ICNL and the local NGO with a legal capacity. The local NGO will establish a data of NGO laws and materials and will serve as a resource center to other NGOs and interested parties.
6. October 2002 – The local NGO will establish mechanisms to be self-sustainable and demonstrate capacity to promote good NGO laws. Newly adopted laws may include, laws on social partnership, special contemporary forms and types of NGOs.
7. April 2003 – An organization with local legal capacity in non-profit law will be working by the end of the agreement and will demonstrated its ability to advocate in favor of the non-profit sector and to consult NGOs and government on legal issues.

Uzbekistan

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

Objective

Expand, strengthen and localize a sustainable network of Civil Society Support Centers that provide NGOs and other stakeholders with access to a comprehensive range of support services.

The Need

Uzbekistan is the most populous country in the region and encompasses diverse natural resources, levels of economic development and ethnic and regional identities. Progress in the transition to a market-based economy and democratic civil society continues to be slow. Despite frequent official pronouncements by the highest levels of government in support of the development of a free and democratic civil society,

recent bombings in Tashkent have exacerbated the authoritarian and centrally controlled nature of almost all facets of socio-political life.

Given the sensitive political situation in Uzbekistan, it is anticipated that localization in that country will require more time than in Kazakhstan and Kyrgyzstan. In addition, it will require different strategies and interventions. For these reasons, Counterpart will consider moving its regional office to Tashkent by the third year of the cooperative agreement, if feasible, to develop localization in that country while also monitoring the independent activities of the networks of Support Centers in Kazakhstan in Kyrgyzstan. By the end of the agreement, however, a network of Support Centers with an accountable system of governance (including an association structure with a countrywide board of directors) and accountable financial management should be in place in Uzbekistan.

Approach and Interventions

The current network of NGO Support Centers in Uzbekistan will be expanded during Phase III—providing for a broad geographic outreach of services to NGOs and the communities they serve outside of the capital cities. It is anticipated that in addition to existing Support Centers in Tashkent, Nukus, Bukhara and Kokand, Counterpart will work to include Centers in another area near the Fergana Valley, and perhaps in Kashadaria, Urgench and Samarkand. UNHCR has requested a proposal for FY2000 programs that increased the total dollar amount to \$50K for continued support to this network. In some instances, new Centers will be established; in others, existing NGOs filling this role as Consortium grantees will be brought into the network.

All program activities will be implemented through the network of Civil Society Support Centers to ensure the broadest geographic coverage. A target group of NGOs will be selected with the potential for broad impact on the sector. (This will include but go beyond the focus NGOs discussed in the regional section.) These will primarily come from the sectors of women, youth, civic education, media, environment and community development. These organizations will be not merely recipients of Counterpart assistance, but also essential partners in achieving the program's goals and objectives in Uzbekistan. Because of the significant new directions of program activities, some of these may be organizations that were previously targeted, while others will be new.

In addition to capacity building interventions outlined in the regional section, preliminary assessments of the Uzbekistan Support Centers indicate the need for institutional strengthening in networking with the international community, marketing, program design, fundraising, monitoring and evaluation, negotiation skills, and reporting.

Strategic plans will develop fundraising strategies for each Support Center and for the national network. Some fundraising strategies that are being considered by the Uzbekistan Support Centers include:

- Implementation of Makhalla projects
- Other donors such as Eurasia, Soros and UNHCR
- Serving as intermediaries for donors lacking a local on-the-ground presence¹⁵

The evolving network has identified the following potential sources of income:

- donor grants (USAID, OSCE, UNHCR, UNDP, TACIS, etc.)
- training
- consultations

¹⁵ For example, on a fee-for-service basis a CSSC could solicit proposals for a donor's grant-making programs and then provide M&E of grants, along with training and technical assistance for the grantees.

Counterpart will develop two organizational development specialists in the Tashkent network hub, through an intensive program of training in OD. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Central Asia; and (3) improve the sustainability of the Counterpart affiliate network by creating a valuable and salable staff capacity.

In Phase III, Counterpart will continue its on-going strategy of localizing Civil Society Support Centers. Each Support Center in Uzbekistan will have a strategic plan for sustainability and a local advisory board by the end of the second year of the cooperative agreement. By the end of the third year, local advisory boards will develop governance structures for each Center and contribute to the national-level governance structure. Thus, by the end of the agreement, a network of support Centers with an accountable system of governance (including a uniting association structure with a countrywide board of directors) and accountable financial management will be in place in Uzbekistan.

In order to ensure some degree of autonomy, the network will require continued “cover” of an international organization. Therefore, membership in the network will allow the use of Counterpart’s name during and beyond the cooperative agreement. Counterpart is also currently moving forward on efforts to register the Tashkent CSSC as a local entity.

B. COMMUNITY OUTREACH

Objectives

Engage communities in solving local problems through facilitation of social partnerships, issue-based coalitions, media support to NGOs and resource assistance to community-based organizations in their attempts to advocate on local issues.

Encourage NGO/community collaboration with makhallas as the vehicle.

The Need

Civil Society Support Centers in four diverse population centers throughout the country—Bukhara, Tashkent, Kokand (Fergana Valley) and Nukus (Karakalpakistan) are fostering increased community awareness of NGO activities and tangible collaboration through social partnership activities. For example, Bukhara city officials have initiated “the Bukhara initiative” to involve youth and other community stakeholders in economic and social service programs and have requested Counterpart assistance to implement the ambitious strategy. In Uzbekistan’s highly controlled society, government support is especially critical for the success of NGOs as conduits for citizen participation.

Moreover, despite continued progress led by participants in the Counterpart Regional Social Partnership Conference, the lack of knowledge about social partnership in rural communities continues to be a significant limiting factor for sustainable rural and community development.

Approach and Interventions

In conjunction with the work going into the localization of a network of Support Centers, and given the work already initiated in the “Makhalla initiative,” Counterpart will initiate interventions that are particularly related to constructive Makhalla-NGO relationships that can empower communities and solve local problems. In general, the Support Centers will become capable of facilitating community advocacy and community development and in helping local NGOs to do the same. They will be able to facilitate local social partnerships, especially within the Makhalla committees, issue-based coalitions, and offer PCA and resource assistance to local community based organizations (CBOs) in their attempts to grapple with local problems.

Building upon progress achieved in Phase II, all Counterpart Consortium activities in Uzbekistan will emphasize rural outreach and decentralized community mobilization through NGOs and Civil Society Support Centers.

B. 1. Advocacy

In general, advocacy in Uzbekistan should focus on low controversy issues to avoid antagonizing the government.

Public awareness of civil society must be elevated for a program of social partnership to succeed in Uzbekistan. Counterpart will place greater emphasis on publicizing NGO activities, as well as their successes and impacts to as broad an audience as possible. This will include the following activities:

- Publication of NGO success stories in Uzbek and Karakalpak, for distribution to local/national media, as well as through the Counterpart Uzbekistan network ¹⁶
- Effectively using existing videos on Counterpart/Uzbekistan and NGO activities for Uzbek, Karakalpak and Russian language audiences
- Open video screening rooms in each CSSC, for Media Program materials, as well as those produced by NGOs and community based organizations.
- Translation of selected texts on Third Sector issues into Uzbek and Karakalpak
- Publication of Counterpart Uzbekistan newsletter "Initsiativa" in Uzbek, Russian, English and Karakalpak¹⁷
- Counterpart's Uzbek monthly NGO newsletter *Initsiativa* (funded by UNHCR) has proven to be an overwhelming success, with the 500-copy print run exhausted almost instantly. In addition, to an increased demand from NGOs across the region and outside (including Russia, Poland and Mongolia,) we face a demand to provide this information in English to other international organizations (including embassies) operating in Uzbekistan. By translating the newsletter in three new languages, Counterpart Uzbekistan will do much to increase its information-sharing and networking capacity, as well as to provide Uzbekistani NGOs with access to a broader international and local audience.

B. 2. Social Partnership

Social Partnership training, roundtables and other services bring together NGOs and government officials and have been identified by many NGOs as among the most valuable for their success. Counterpart will continue to offer these services extensively, particularly in rural areas. Phase III will also develop and apply an adaptation of the Social Partnership training module for both government officials and community stakeholders. Makhalla committee leadership will also be targeted for inclusion in social partnership training.

B. 3. Community Mobilization

¹⁶ Phase III will not have a media program as a separate project component as in Phase II. Therefore, the scaled down media activities in Phase III will be conducted by Program Coordinators as part of the range of services to support NGOs and while building CSSC capacity and sustainability.

¹⁷ During Phase III, Counterpart will review ways to make *Initsiativa* sustainable, including other donor support and subscription fees from international subscribers.

Because of the wide-reaching nature of government in Uzbekistan, strengthening NGO acceptance by and collaboration with government is critical to the development of the sector. Fostering NGO linkages to accepted local power structures, including Makhalla committees is a significant component of that strategy. As Makhallas present such a unique opportunity for community development in Uzbekistan, a range of efforts to strengthen NGO collaboration with them are already underway with existing funding. Community mobilization activities will be conducted exclusively through the Makhallas, building upon these current efforts. In southern Kyrgyzstan, there are opportunities to use the lessons learned in the Uzbekistan “Makhalla initiative” to reproduce such a program as a means for community mobilization.

C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM

Objective

Expand and localize training and technical assistance capacity in Uzbekistan to help the NGO sector become more sustainable and better able to advocate their interests at the local and national levels.

The Need

A Counterpart training workshop in Participatory Community Appraisal has proven successful in providing NGOs with the skills they need to mobilize community action to address self-identified priority needs. This methodology has also been adapted to provide additional technical assistance to target NGOs, including Makhalla Committees in Uzbekistan. A broader range of NGOs and the communities they serve still need additional training and technical assistance to strengthen their community mobilization skills.

Approach and Interventions

C. 1. Advanced Training Modules

All relevant training modules will be translated into Uzbek and Karakalpak. Translation will be done, wherever possible, by contract trainers themselves, with Counterpart Tashkent staff monitoring accuracy and content. In addition, the number of contract trainers capable of training in these local languages will be increased. Existing contract trainers with local language skills will be provided with additional skill development and new contract trainers will be identified and trained as necessary to ensure adequate local language training capacity.

C. 2. Additional Training for NGOs, Support Centers and Other Donors

For 2000, Counterpart/Uzbekistan has requested support for the following four advanced training programs for NGO and Support Center staff through the Global Training for Development Project. Some or all of these may be provided by Counterpart itself. If these programs are funded by GTD, Counterpart will invite staff from throughout the region and use them as training of trainers workshops for developing new modules in these topics (as discussed in the regional training section). The four include:

- **Coalition Development and Networking:** Participants will learn about building issue-based coalitions and regional coalitions from the experiences of Eastern European NGOs. The program will involve a broad cross section of NGOs from around Uzbekistan and also to facilitate practical experience in networking skills.
- **NGO Board Development:** Since the majority of NGOs in Uzbekistan have very fledgling boards that are not based on best practices from the global NGO movement, the training will focus on the fundamental concepts and practical steps to setting up an effective board. These include role of the Board, interaction with staff and other governance structures, composition and selection of Board Members and Executive Director management of the Board.

- **NGO Support Centers Sustainability:** The training will include a combination of traditional group training and one-on-one consultations to provide technical assistance to each NGO Support Center represented in the training, since each situation is unique and requires different strategies for success. In general, the training will include identification of the most common problems or barriers faced by Support Centers, strategies for income generation, services to be provided, marketing, governance and community relations.
- **Volunteer Management:** Because volunteerism is both a new concept and one with negative connotations from the Soviet system, the content will include a thorough overview of the concept of volunteerism and practical techniques for NGOs to utilize volunteers effectively. The workshop will include identifying, attracting, motivating and managing volunteers, designing projects to best utilize volunteers, staff roles, the importance of orientation and saying thank you.

Counterpart anticipates developing other “special order” training modules on a fee-for-service basis for international donors, government and business. As mentioned above in the localization, such trainings take advantage of the staff’s skill in designing specialized modules and are an excellent strategy for revenue generation. Revenue from designing and implementing such trainings can underwrite services provided to NGOs below cost.

C. 3. Technical Assistance Services

Counterpart Consortium will continue to leverage technical expertise already available in the region. This strategy has proven to be a cost-effective approach that builds on synergies and avoids duplication of effort. For example, Abt Associates and Futures Group efforts to improve primary and women’s reproductive health care in Uzbekistan have been strengthened by the involvement of strong local implementing partner NGOs trained by Counterpart Consortium. Additional sources of external expertise will include the more advanced local NGOs, NGOs served under the USAID-DemNet program for CEE, and Counterpart and its affiliates in Russia and Ukraine.

D. GRANTS PROGRAM

Objective

Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures.

The Need

More than any other country in the region, the Uzbekistan grant program has had to struggle with a range of difficulties related to banking, taxation and registration regulations. Counterpart has been the only donor in Uzbekistan that has made grants to unregistered organizations in response to the difficulties of registration.

With implementation of the new NGO law, it will be time to change this policy and offer grant support only to registered NGOs—so long as the government does not make re-registration a blanket requirement for all NGOs. Unregistered organizations cannot work with government in Uzbekistan. This excludes them from participation in the social partnership program. And, as mentioned above, close relations with government is critical. Counterpart will directly purchase equipment and pay for suppliers on behalf of grantees, avoiding taxation on these portions of grant funds. Grant funds for project salaries will be paid officially and legally through bank transfers, along with all resultant taxes. Grant awards will need to be somewhat increase to cover these taxes. However, this will have the valuable effect of helping to legitimize NGO grant programs in the eyes of the local government and state regulatory bodies with whom they will need to work.

Approach and Interventions

D. 1. Community Action Grants

Makhalla grants will be awarded instead of Community Action Grants while they are available. When Makhalla grant funds have been used up, Community Action grants will replace them, but both grant programs will not be carried out simultaneously.

D.2. Focus Grants

Three to five focus NGOs will be selected in Uzbekistan to receive funding for operational expenses as well as for programmatic needs as appropriate. The selection process will involve both CSSCs and the network hub and will focus on NGOs that have a record of contribution to democratic reforms and a strong history with Counterpart Consortium. However, it must be acknowledged that those organizations targeting vulnerable groups that the government also wants to see supported have demonstrated a greater impact on reform and stronger ties to their constituencies and local government structures. Therefore, the focus NGOs will be chosen from a broader range of organizations than in Kazakhstan or Kyrgyzstan and will include NGOs with demonstrated success in influencing local government decision making.

Counterpart will coordinate with other donors, such as Winrock /Soros as it relates to support of Women's NGOs, as well as NOVIB which also has a targeting strategy so as to avoid duplication of resources.

D. 3. Solicitations

In addition to Focus Grants and Community Action Grants, Counterpart may offer grant solicitations in Uzbekistan, to the extent that funding is available. Illustrative examples of possible solicitations include:

- Catalyze NGO activities in under-served areas like Kashkadarya and the areas surrounding Navoi;
- Encourage NGOs with experience working with Makhalla Committees to partner with less-experienced NGOs to replicate their best practices and share lessons learned;

D. 4. Grant Review

In order to make the grant program more accessible to communities in outlying regions, grant proposals will be accepted in any of the country's major languages, including Uzbek, Karakalpak and Russian.

E. LEGAL ENVIRONMENT

On May 8, 1999, Uzbekistan President Islam Karimov signed into law legislation on NGOs. The new law was the result of nearly five years of collaboration of a range of international actors led by ICNL who played the role of honest broker. Counterpart supported these efforts through training, technical assistance and facilitation services at a range of associated events. —NGO Legal Reform in Uzbekistan

Objective

Develop a legislative environment that is supportive of the long-term growth of the NGO sector in Uzbekistan

The Need

Up to this point, ICNL has assisted with the adoption of a progressive NGO law that defines the status and registration of NGOs in Uzbekistan. The new NGO law brings many positive changes to the

governing legislation. It simplifies registration procedures, simplifies reporting requirements, and allows for establishment of new types of non-commercial organizations such as foundations and institutions. However, many important issues remain unresolved in the new law. And as stated above, continued work is required. For example, the authority of government bodies that supervise NGOs remains undefined. This lack of definition may permit government authorities to arbitrarily interfere in NGOs activities. So at this point in time, most commentators agree that the effect of the new law is ambiguous, depending on the manner of implementation by government authorities. The subsequent implementing regulations will be developed in upcoming months. It is critical that the government and NGOs continue to work together to fill in the blanks and complete the task of improving the legal and regulatory environment.

Intervention and Approach

ICNL will continue to work towards establishing a legislative environment for the non-profit sector that meets international standards. The priority will be given to assistance with implementation of the new NGO law. This work will involve following up on the umbrella NGO law adopted in Uzbekistan in 1999 to ensure its proper implementation, as well as educating government officials evolved in implementation of the new law. This includes working on follow-up regulations (due in 2000) and subsequent laws that promote NGO development. Uzbekistan has already slated several new laws that elaborate on the NGO law. As a partner of the Institute of Monitoring Legislation (the Institute), ICNL has secured its role in working on some advanced forms of NGO regulation. For the first quarter 2000, the government has slated 3 laws for promulgation and enactment; Law on the Registration of Legal Entities; Law on Foundations and a Law on Institutions. Finally, ICNL plans to have legislation adopted relating to the fiscal status of non-profit organizations and benefits to those NGOs that qualify as public benefit organizations. Within the educational program for government officials ICNL will introduce them to good practices of implementing provisions similar to existing in the current law in other countries, as well as to general good practices of NGO regulation.

Expected Results and Timeline	
1.	April 2001 – Laws regulating contemporary organizational legal forms of NGOs will be adopted.
2.	June 2001 – NGOs will be aware of their new rights and obligations under the new legislative changes.
3.	December 2001 -- The legislation on registration and activities of NGOs that mostly meets international standards will be in place in Uzbekistan. It is also expected that provisions in tax law with preferential treatment of public benefit organizations and/or a special law regulating public benefit organizations will be in place by this time.
4.	March 2002 – ICNL will establish/identify a local NGO in advocacy of good NGO laws.
5.	July 2002 – With ICNL assistance government agencies will fairly implement the above outlined laws and regulations. Both government officials and NGO leaders better understand and apply good practices of NGO regulation resulting from training and information provided by ICNL.
6.	September 2002 — ICNL will accomplish training of a local NGO in advocacy of good NGO laws.
7.	December 2002 –Newly adopted laws may include, laws on social partnership and laws on special types of NGOs. The local NGO will establish mechanisms to be self-sustainable and will demonstrate capacity to promote good NGO laws.
8.	April 2003 -- An organization with local legal capacity in non-profit law will be working by the end of the agreement and will demonstrated its ability to advocate in favor of the non-profit sector and to consult NGOs and government on legal issues.

Tajikistan

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

Objective

Expand, strengthen and localize a network of five Civil Society Support Centers that provide NGOs and other stakeholders with access to a comprehensive range of support services.

The Need

Tajikistan is still undergoing a very slow and sporadic recovery from the civil war and ongoing violence that has torn apart the social, economic and political fabric of the country since 1993. There is still general insecurity throughout the country with occasional unpredictable outbreaks of armed violence. The transportation and communications infrastructures have also sustained significant damage, making it difficult to mount and sustain operations.

As under Phase II, the viability of proposed program operations are dependent on the stability of the security situation in Tajikistan. If the situation deteriorates to a point where program operations cannot be conducted safely, then operations may have to be suspended, in whole or in part.

The government has held power largely by force and generally lacks the awareness, understanding, resolve and resources to meet even the most basic needs of the population. While the government has made some superficial showings of allowing independent media to become licensed and to operate, access to the media by NGOs, private citizens and communities is still extremely limited and government continues to exercise censorship and control over all aspects of the media. In addition, a variety of greatly needed services are not provided or allowed by the government. Within this context there are also increasing occurrences of illegal dealings and corrupt practices that negatively affect the development of the country and that tends to discourage outside investment in the economy. Recent non-democratic moves by the government leadership to consolidate power also raise the specter of the possible advent of a more controlled police state, under which the civil society development and democratization measures may come under scrutiny and repression from the government. If this takes place, it will seriously constrain program operations and effects.

The Counterpart Consortium NGO Support Initiative, begun in Tajikistan in late 1996¹⁸, has assisted local NGOs across the country in developing broad-based organizational capacities to develop and manage themselves and to design and implement projects that serve the needs of vulnerable populations. With co-funding from UNHCR, Counterpart has opened a network of four NGO Support Centers, which function as a base for all of Counterpart's activities. Most importantly, these Centers provide support to NGOs involved in the reintegration of the large numbers of returned refugees and IDPs displaced by war.

A number of international organizations are operating in Tajikistan, providing a range of services. In many cases, they are sorely in need of additional skilled local NGO partners to help implement their programs. Moreover, serving as an implementing partner to an international organization is an excellent stratagem for local NGOs in Tajikistan to diversify their funding and to acquire skills and promote their abilities to the international assistance community and the local government. Thus, there is a need for assistance to help NGOs to develop the necessary skills to work more effectively with international organizations, and, eventually, with government.

¹⁸ The Counterpart Consortium NGO Support Initiative for Central Asia began in November 1994 in Kazakhstan, Kyrgyzstan and Uzbekistan. At USAID's request, the program was expanded to include Tajikistan in early 1996.

Counterpart will attempt to localize its infrastructure in Tajikistan during this cooperative agreement, but due to the tenuous stability in Tajikistan, Counterpart wishes to forge a partnership with USAID/CAR with regards to their localization in Tajikistan, which can be both flexible and responsible. If it does not appear feasible to fully implement a localization plan during this cooperative agreement in Tajikistan, Counterpart will take those steps that are possible. At the very least, however, a network of Support Centers with boards of directors will be established under this cooperative agreement in Tajikistan. In addition, Counterpart will explore the potential of enlisting into the network existing organizations supported by OSCE and those created through UNDP's community centers project. If it appears feasible, this network may be developed to a point where it would be able to receive direct USAID assistance after the three-year period. However, such progress depends upon many factors, but especially the security and safety situation in the country. Even if localization is not seen as feasible, this work will help to build community resources around the country and establish more local capacity.

Approach and Interventions

The current network of Support Centers in Tajikistan will be expanded during Phase III—providing for a broader geographic outreach of services to NGOs and the communities they serve outside of the larger cities. In addition to the safety, security and political problems, Tajikistan's mountainous geography poses special challenges to the dissemination of information and provision of support services.

To address these challenges, Counterpart will open two more CSSCs in strategically located secondary urban centers in Tajikistan to support NGO activity and foster the development of CBOs and new NGOs. Thus, in addition to existing Support Centers in Dushanbe, Khojand, Kurgan-Teppa and Khurog, Counterpart will work to establish and include a Center in Kulob, as well as assessing the appropriateness of expanding into the Karategeen Valley.

All program activities will be implemented through the network of Civil Society Support Centers to ensure the broadest geographic coverage. The overarching approach to Counterpart's program in Tajikistan is to empower a broad range of Tajikistan NGOs in rural and urban conflict areas to work together to advance the peace process, the development of civil society and to contribute to political and economic development in the country. While the NGO sector in Tajikistan has developed with the help of Counterpart, there are only 128 active NGOs serving the population of Tajikistan. Given the population and tremendous unmet needs of the country, there should be many more NGOs functioning in Tajikistan. To that end, Counterpart will redouble its support of the establishment and growth of new NGOs. The current ratio of NGOs to population in the more developed civil societies of Kazakhstan and Kyrgyzstan is roughly 1:25,000. In Tajikistan that ratio is currently 1:56,000. We therefore would target development of an additional 125 new NGOs, so that the total number of local NGOs actively working in Tajikistan by the end of this project would be 250 or more.

Some of Tajikistan's needs for social services will be addressed through recent funding from USAID for the Counterpart NGO Expand Program, which builds the capacity of 15 local NGOs to provide country-wide social services in the sectors of rural/agriculture, children/youth, disabled/indigent elderly, refugees/IDPs and women. Additionally, Counterpart will use the 15 target NGOs as conduits to provide sector-specific technical skills and access to information services for NGOs in remote, conflict-affected areas. Given the unique challenges of outreach in Tajikistan, this strategy should enhance the number of NGOs reached in conflict-affected areas.

Phase III will complement NGO Expand by targeting an additional 15 NGOs that can address the large gaps in service delivery in five sectors which directly contribute to the development of civil society and democratic processes. These sectors are: rule of law; human rights; independent media; conflict resolution; and income generation/small business development at the community level.

Moreover, Counterpart will work with all 30 of these NGOs to help develop their technical skills to work more effectively with international organizations and government in the above sectors – this addresses a number of issues simultaneously. It gives NGOs concrete development awareness, knowledge and essential skills necessary to leverage revenue from other donors. It addresses an important constraint in the programs of international organizations. It boosts the awareness and willingness of government to jointly address issues and problems, and it furthers the overall development of the country.

In addition to capacity building interventions outlined in the regional section, preliminary assessments of the Tajikistan Support Centers indicate the need for institutional strengthening in economics of development, budgeting, reporting, team building, communications, voluntarism, income generation, organizational development, provision of technical assistance and conducting TTAPs.

Strategic plans will develop fundraising strategies for each Civil Society Support Center and for the national network. Some fundraising strategies that are being considered by the Tajikistan Support Centers include:

- implementing partnerships with government and media
- fee for service to international organizations
- serving as intermediaries for donors

The evolving network has identified the following potential sources of income:

- donor grants
- donor consultations, assessments and logistics
- contract training
- community assessment
- grant monitoring and evaluation

Counterpart will develop two organizational development specialists in Tajikistan through an intensive program of training in OD. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Tajikistan; and (3) improve the sustainability of the Counterpart affiliate network by creating a valuable and salable staff capacity.

At least three Support Centers in Tajikistan will have a strategic plan for sustainability and a local advisory board by the end of the second year of the cooperative agreement. By the end of the third year, local advisory boards will have developed into governance structures for each Center and contribute to the national-level governance structure. Thus, by the end of the agreement, a network of Support Centers with an accountable system of governance (including an association structure with a countrywide board of directors) and accountable financial management will be in place in Tajikistan.

To the extent possible, Counterpart will take steps to devolve its existing infrastructure in Tajikistan into a network of sustainable Civil Society Support Centers that can successfully contract with USAID and other donors to provide general NGO support and help to facilitate community mobilization and advocacy. It is expected that eventually most donor relations will be handled with the network hub in Dushanbe, rather than with individual Civil Society Support Centers.

B. COMMUNITY OUTREACH

Objective

Foster an increased number of NGOs and CBOs in increased locations around Tajikistan to foster peace building/civil society initiatives throughout the country.

The Need

While social contracting is a key activity for other countries in Central Asia, the government of Tajikistan is not yet educated and focused enough to contract services from local NGOs. Expanded social partnerships in Tajikistan will focus primarily on activities and organizations that drive the peace process and the development of civil society. At present, that includes NGOs, the government and the media. If properly developed, a tradition of social partnership and collaboration will be established to include the emerging business sector as it develops. In Tajikistan, therefore, Counterpart will focus on publicizing successful NGO activities that deliver tangible benefits to communities, which has proven effective in building NGO credibility and catalyzing collaborative linkages between sectors.

Social partnerships have been actively initiated by media, but more needs to be done to expand the efforts of the National Association of Journalists for Social Partnerships and other groups. This effort will be coordinated with work being done by Internews. A Social Partnership Coordinating Committee has been established in Khojand with the assistance of the NGO Support Center there. This idea and its very positive effects will be promoted and efforts made to replicate it elsewhere in Tajikistan.

Journalists also lack essential awareness, knowledge and skills and media organizations lack the capacity to sustain themselves and to report and advocate for their rights and basic freedoms guaranteed to them and to citizens under the laws of Tajikistan and applicable international covenants.

Individuals, CBOs and NGOs generally lack much of the essential "business" awareness, knowledge and skills needed to establish and sustain income-generating activities. Micro-financing programs offered by other international organizations generally include very little or no business training for their clients.¹⁹ Developing of business knowledge and skills is an area of great need and opportunity for local training organizations. NGOs would also profit from such training in conducting their income generating activities in a more businesslike manner.

Conflict and open hostilities still remain an important impediment to present and future development in Tajikistan. Present efforts by Counterpart and a few other organizations need to be further developed and improved to assist conflict-impacted communities to deal with critical needs and problems and to achieve reconciliation of alienated and polarized interests. Such needs exist throughout the country, but particularly in Khatlon, the Karategeen Valley and areas in Leninabad (Fergana Valley and Shahristan).

Cross-border Programming: The Fergana Valley region requires special cross-border programming. Sliced by international borders, this strategically important region has suffered some of the most severe economic, health, and political problems in Central Asia. This region also illustrates the need for additional emphasis on local languages in training, printed materials and other communication mechanisms supporting all Consortium programs, as documented by Civil Society Support Centers already providing access to support infrastructure in this isolated region.

Approach and Interventions

In conjunction with the work going into the localization of a network of Support Centers, Counterpart will develop support mechanisms that are particularly related to constructive relationships that can empower communities and solve local problems. In Tajikistan, many local problems obviously center on the task of rebuilding community trust and institutions in the aftermath of the conflict. In general, the Support Centers will become capable in facilitating community advocacy and community development and in helping local NGOs to do the same. They will be able to facilitate local social partnerships, issue-based

¹⁹ These programs offer strong programs of training in skills directly associated with micro-finance. However, they do not offer training in the basic skills necessary to open and successfully manage a micro-enterprise. The localized Save-the-Children micro-enterprise program specifically requested that Counterpart provide training in these skills.

coalitions, and offer PCA and resource assistance to local community based organizations (CBOs) in their attempts to grapple with local problems.

Counterpart will take the lead in encouraging better cooperation among agencies involved in conflict resolution programming and in development of improved interventions based on successful models used in other countries. Expanded roles and responsibilities for NGOs in providing these essential services will be fostered particularly in under-served areas and communities.

The Tajikistan program will have a Program Coordinator primarily focused on working with NGOs to develop strategies and initiatives to educate and involve the media in their work. This goes well beyond developing and using the "Public Education Through the Media" module. It includes technical assistance, assisting with contacts, mentoring and facilitating the process. Done properly, it is a distinctly non-political process.

Counterpart will also explore and implement effective ways to address cross-border problems in the Fergana Valley by conducting programs on a cross-border basis to the extent that the political realities and border regulations permit. Joint training will be conducted with NGOs from both sides of local borders. Roundtables on issues such as health or job creation will include NGOs and local officials from multiple countries. Networking between Civil Society Support Centers will be encouraged and facilitated and community mobilization activities will be held with cross-border observers. Cross-border work will be coordinated with other organizations, such as Eurasia Foundation and Mercy Corps, which are doing similar work in the Fergana Valley.

C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM

Objective

Expand and localize training and technical assistance capacity in Tajikistan to help the NGO sector become more sustainable and better able to support the peace process at all levels.

The Need

A Counterpart training workshop in Participatory Community Appraisal has proven successful in providing NGOs with the skills they need to mobilize community action to address self-identified priority needs. This methodology has also been adapted to provide additional technical assistance to target NGOs, including groups involved in the peace process in Tajikistan. A broader range of NGOs and the communities they serve still need additional training and technical assistance to strengthen their community mobilization skills.

Approach and Interventions

C. 1. Advanced Training Modules

All training modules will be translated into Tajik. Where applicable, the Uzbek language versions developed in the Tashkent office will be used. Translation will be done, wherever possible, by contract trainers themselves, with Counterpart Dushanbe staff monitoring accuracy and content. In addition, the number of contract trainers capable of training in these local languages will be increased. Existing contract trainers with local language skills will be provided with additional skill development and new contract trainers will be identified and trained as necessary to ensure adequate local language training capacity.

Additional training modules for Tajikistan will be developed in the following subject matter areas:

- Micro-enterprise Skills
- Conflict Resolution – for ethnic, family/domestic, urban and rural conflicts

Conflict resolution training will be based primarily on the psychosocial model of effective intervention and be modified to the special needs and situation of communities and the culture of Tajikistan. Subject matter technical assistance will be identified for use from the NIS and other countries to develop the new modules collaboratively with local Contract Trainers and Counterpart staff.

D. GRANTS PROGRAM

Objective

Provide support for projects that assist NGOs in gaining a larger grassroots constituency and developing more sustainable, effective and accountable organizational and governance structures.

Approach and Interventions

D. 1. Solicitations

Counterpart may offer grant solicitations in Tajikistan, to the extent that funding is available. Illustrative examples of possible solicitations include:

- Support NGO peace- or civil society- building activities in communities significantly affected by conflict;
- Catalyze NGO activities in under-served areas like Karategeen Valley, GBAO, Khatlon Oblast or Northern Tajikistan;
- Encourage collaboration between TASIF community development projects and NGOs working in similar sectors;
- Increase dialogue between citizens and political parties through NGO-sponsored training, workshops and round tables;
- Catalyze Social Partnerships between Government (at any level) and NGOs or CBOs and media to address serious civil society problems;
- Foster NGO coalitions and joint projects with common focus.

In order to make the grant program more accessible to communities in outlying regions, grant proposals will be accepted in any of the country's major languages, including Tajik, Uzbek and Russian.

E. LEGAL ENVIRONMENT

Objective

Develop a legislative environment that is supportive of the long-term growth of the NGO sector in Tajikistan.

The Need

In late spring 1998, Tajikistan adopted the new law On Public Associations with revisions that were facilitated by ICNL and markedly improved the original draft. In addition, their adoption reflected the success of collaboration between international organizations, government, NGOs, and representatives of the opposition and contributed to the on-going peace process in Tajikistan. The changes reflect positive amendments to the legislation, including provisions that permit associations to engage in commercial activity, loosen the registration requirements, and create a framework for better NGO/government relations.

ICNL also assisted with new provisions to the Tax Code that address tax preferences for NGOs. However it is unclear what effect on NGOs a new Tax Code will have under current political conditions in Tajikistan. The new Tax Code was approved by Parliament at the end of 1998.

ICNL has also been providing assistance with the new Civil Code that in part affects NGOs. Most of ICNL's recommendations were incorporated into Part I of the Civil Code, which describes organizational legal forms of NGOs. ICNL also had influence on Part II of the Code, which sets forth the contractual rights of NGOs. In this regard, NGOs now have the same contractual powers as commercial organizations. Adoption of the new Civil Code will represent an important step in NGO law reform.

Based on ICNL's proven effectiveness, parliamentarians and government agencies, including President's Administration has expressed to ICNL the desire to work together on additional legislation, including a new basic law governing the sector and a law on charities. Also forthcoming, specific laws on foundations and institutions. These initiatives have been officially slated for introduction into 2000-2001's parliamentary session. ICNL will be working closely with the drafters and parliamentarians to assist them with drafting these laws.

Due primarily to lack of development in the judicial and parliamentary systems and general lack of access to the media, NGOs and the public at large remain fairly unaware and uninformed on changes in the laws and their implications on them and society at large. There is a great need for awareness and participation of NGOs and private citizens in any and all aspects of improvement of the legal environment for peace and civil society in Tajikistan. NGOs need to learn how to advocate for better legislation, participate in developing and promoting legislation.

Intervention and Approach

- ICNL will carry out training for parliamentarians, NGOs, and government officials on good practices of accountability, transparency of finance and operations, and internal governance. Through publications in mass media ICNL will publicize these good practices adopted by Tajikistan NGOs, which will increase the general public's trust and participation in and response to NGO activities.
- Assisting the ICNL NGO partner, Society and Law, and helping local lawyers to develop such an NGO that can effectively assist the NGO community to ensure sustainable implementation of improved NGO legislation and to advocate against legislative backsliding. This NGO is already an integral part of Counterpart's network and will undoubtedly become part of the network of future Support Centers.

Expected Results and Timeline
1. Fall 2000- a Special II Part of the Civil Code will be adopted.
2. January 2001 – A new law(s) regulating contemporary organizational legal forms of NGOs will be adopted. It is also expected that provisions in tax law with preferential treatment of public benefit organizations will be in place by this time.
3. March 2001 – ICNL will conduct a seminar series to assist with implementation of new laws.
4. May 2001 – ICNL will establish/identify a local NGO in advocacy of good NGO laws.
5. December 2001 – With ICNL assistance, government agencies will adopt a follow up regulations in implementation of new laws and regulations. Parliamentarians, government officials and NGO leaders will better understand and apply good practices of NGO regulation resulting from training and information provided by ICNL. ICNL will accomplish training of the local NGO on laws and good practices of NGO regulation in international laws and laws on different countries.
6. March 2002 – Legislation regulating registration and activities of NGOs that mostly meets international standards will be in place in Tajikistan.
7. September 2002 – Local NGO will be capable to promote good NGO laws on a sustainable basis. With ICNL's assistance it will develop a data of NGO laws and legal materials available to all interested parties.
8. November 2002 – An organization with local legal capacity in non-profit law will be working

by the end of the agreement and will demonstrate its ability to advocate in favor of the non-profit sector and to consult NGOs and government on legal issues.

Turkmenistan²⁰

A. LOCALIZATION OF COUNTERPART'S INFRASTRUCTURE

Objective

Expand, strengthen and localize a sustainable network of Civil Society Support Centers that provide NGOs and other stakeholders with access to a comprehensive range of support services.

The Need

Counterpart Consortium began providing in-country access to NGO²¹ support services for the first time in February 1998. Since then, more than 245 NGOs have been identified and 1,845 people representing NGOs, government, media and the private sector have been trained. It is recognized, however, that progress depends on the government's attitude towards the free operation of NGOs.

These encouraging statistics reflect the receptiveness and commitment of Turkmen NGOs to the process of building a civil society sector within a challenging political and economic environment. The legal system is not transparent, sporadically enforced and often superceded by presidential decree. NGOs are viewed with extreme suspicion and as competitors for international donor funds. Media outlets, and all facets of society, are tightly controlled. Amidst these hurdles, the national, state-run economy is contracting, leaving the general population facing high unemployment and economic insecurity. These challenges are coupled with a fledgling civil society sector and ambivalence within government on how to view Counterpart and local NGOs. As a result, in two years of operation, Counterpart Consortium has emerged as a de-facto focal point for civil society activities in Turkmenistan.

Approach and Interventions

The current network Support Centers in Turkmenistan will be expanded during Phase III—providing for a broad geographic outreach of services to NGOs and the communities they serve outside of the capital cities. Counterpart currently has Support Centers in Ashgabad and Dashoguz. By conducting site visits and TTAPs with NGOs located in the key cities outside of Ashgabad, Counterpart staff will identify at least two NGOs with the capacity and interest to become Civil Society Support Centers. Preference will be given to house CSSCs in existing NGOs, but it is likely that, in Turkmenistan, there are not strong enough organizations in all regions and a few of the CSSCs will be developed by Counterpart as was the case in Dashoguz. Counterpart has already held discussions with several donors, including UNHCR, regarding co-funding of Support Centers. If feasible, by the end of the agreement, a network of Support Centers with an accountable system of governance (including a uniting association structure with a countrywide board of directors) and accountable financial management will be in place in Turkmenistan.

Counterpart will attempt to successfully localize its infrastructure in Turkmenistan during this cooperative agreement, but due to the political environment in Turkmenistan, Counterpart wishes to forge a partnership with USAID/CAR with regards to their localization in Turkmenistan, which can be both flexible and responsible. If it does not appear feasible to institute a localization plan during this

²⁰ The Turkmenistan strategy is informed by the USAID classification of the country as pre-transitional in terms of democratization in *Lessons in Implementation: The NGO Story (October 1999)* and by the programmatic recommendations it contains for such countries.

²¹ In Turkmenistan, NGOs are generally referred to under the broader rubric of CSO – civil society organization, which also includes community based organizations, water user groups, and other groups among whom the lines are often blurry. NGO is a politically sensitive term in Turkmenistan, as it is sometimes misinterpreted by government officials to imply opposition to the government.

cooperative agreement in Turkmenistan, Counterpart will still take steps towards localization that could be inherited by potentially new implementers after the end of the project. At the very least, however, Counterpart will establish a network of community-oriented Civil Society Support Centers governance structures accountable to a network hub in Turkmenistan under this cooperative agreement. If it appears feasible, this network may be able to receive direct USAID assistance after the three-year period, but it is recognized that such progress depends upon progress in the government's attitude towards the free operation of NGOs. Even if localization is not feasible, this work will help to build community resources around the country and establish more local capacity.

All program activities will be implemented through the network of Civil Society Support Centers to ensure the broadest geographic coverage. Under Phase II, Counterpart selected 25 target NGOs in Turkmenistan. In Phase III, this number will remain approximately the same. However, it will be carefully reviewed to ensure that the list of targeted groups fits the revised objectives and activities planned for Turkmenistan. In consultation with USAID/Ashgabad, five sectors have been selected for special focused attention in Turkmenistan: women; health; environment; civic education; and micro-enterprise. All targeted organizations will undergo Counterpart's self-assessment process and receive a training and technical assistance plan.

An intensive program to create the capacity of Support Center staff to provide informed one-on-one technical assistance, administer and implement TTAPs is required. This program will be developed and implemented with the regional OD expert.

Support Center staff in Turkmenistan will be trained in areas which could serve to provide long-term financial support and in areas which they are best able to serve, including: training, assessments, monitoring and evaluation, grant-making, catalyzing community development, program design, consultations and information dissemination (technical and about the NGO sector).

Sustainability plans for the network will include continued funding from USAID and other donors, and provision of services (monitoring and evaluation, specialized training, consultations, health information programs and Counterpart training modules). Individual Support Centers will include government assistance, pass-through from hub for local activities, fee for service, membership dues and co-financing with other donors in their fundraising plans.

Counterpart will develop two organizational development specialists in the Turkmenistan network hub, through an intensive program of training in OD. This will simultaneously achieve three important objectives: (1) provide an essential service to targeted organizations; (2) establish a needed-and currently non-existent-capacity in Central Asia; and (3) improve the sustainability of the Counterpart affiliate network by creating a valuable and salable staff capacity.

Broad-based support will continue to a range of groups, with greater emphasis on the community level, in order to promote group-based decision-making.

Counterpart will continue its on-going strategy of localizing Civil Society Support Centers. Each Support Center in Turkmenistan will have a strategic plan for sustainability and a local advisory board by the end of the cooperative agreement. At this time, local advisory boards will develop governance structures for each Center and contribute to the national-level governance structure. Due to the current political climate in Turkmenistan, continued direct relationship to an international organization is necessary.

To the extent possible, Counterpart will take steps to devolve its existing infrastructure in Turkmenistan into a network of sustainable Civil Society Support Centers that can successfully contract with USAID and other

donors to provide general NGO support and help to facilitate community mobilization. By EOP, Counterpart envisions having local Directors in place in each Support Center under the continued supervision of an ex-pat Advisor beyond EOP. A strong relationship with the Counterpart International affiliate network will make for a smoother transition to full localization.

B. COMMUNITY OUTREACH

Objective

Engage communities in solving local problems through facilitation of social partnerships, issue-based coalitions, media support to NGOs and resource assistance to community-based organizations.

Approach and Interventions

Through the Civil Society Support Centers, a systematic mechanism for engaging local communities in local problems will be developed in Turkmenistan. This mechanism will build on existing Counterpart activity in Turkmenistan with community user associations (e.g. potable water user associations in Dashagouz). In general, the Support Centers will become capable in facilitating community development and dialogue and in helping local NGOs, where feasible, to do the same. They will be able to facilitate local social partnerships, issue-based coalitions, and offer PCA and resource assistance to local community based organizations (CBOs) in their attempts to resolve local problems.

In conjunction with the work going into the localization of a network of Support Centers, Counterpart will develop support mechanisms that are particularly related to constructive relationships that can empower communities and solve local problems. In general, the Support Centers will become capable in facilitating community development and in helping local NGOs to do the same. They will be able to facilitate local social partnerships, issue-based coalitions, and offer PCA and resource assistance to local community based organizations (CBOs) in their attempts to grapple with local problems.

B. 1. Advocacy

In order to facilitate broad-based citizen participation in the decision-making process, Counterpart will guide the fledgling NGO community through a process of self-definition and self-promotion to incorporate strong links to constituencies in all regions of the country. Counterpart will expand its role in assisting the civil society sector to dialogue with government and donors and to better understand its role in economic and political decision making.

B. 2. Social Partnership

Activities that serve a joint problem-solving agenda for local government and NGOs, including where feasible, the national government, will be promoted. Where it is possible, efforts will be made to include businesses, journalists' associations, users' associations, and the law students association in the discussions.

B. 3. Community Mobilization

Community mobilization activities in Phase III in Turkmenistan will be based on the work already done and models developed in the water users' project during Phase II. One important difference from the rest of the region is that the actual implementation of this project will continue to be done in-house for the near term. There are currently no NGOs in Turkmenistan that have the potential capacity or interest to conduct these types of activities. It is hoped that such groups can be developed by the end of Phase III.

Work with water users' groups in Dashoguz will continue during Phase III. The intended result is to have a self-sustainable Water Users Association registered and operating a community-run water distribution and

serdop construction program by the EOP. The community outreach workers will remain as such after the project ends, as the WUA will be a self-sustaining entity and the community work will continue. It is also anticipated that the WUA office will serve as an informational focal point for broad community outreach in the rural Turkmenbashi oblast at the end of the project. Other donors have already shown interest in contracting with the WUA staff on community activities. Specifically, UNICEF, which has already established a contractual relationship with Counterpart drawing on the skills of the WUA staff, plans to further work with the staff on health and water-related assessments.

In addition, this work will be expanded to developing housing associations – building upon the skills of existing WUA staff from Dashoguz trained in participatory methodology and PRA to work on housing issues with housing committees. This is an area that is also of great interest to UNDP. UNDP has already demonstrated an interest in Counterpart's approach to community development and preliminary discussions have already been held regarding joint activities to support user's associations in the housing sector. Pilot activities will be held in Dashoguz during the first six months, with the potential to expand to five additional cities, once a successful model has been developed.

B. 4. Networking with the International Community —

Counterpart will also, whenever possible, continue to cultivate opportunities between NGOs and the international donor community, in particular, by leveraging ongoing relationships with UNDP's gender and development program; UNFPA's reproductive health initiative; UNHCR's NGO component; the British Know How Fund; and the New Zealand Embassy Head of Mission Fund. Joint efforts with OSCE related to human rights will also be expanded upon in conjunction with legal reform efforts of Consortium partner, ICNL.

C. NGO TRAINING AND TECHNICAL ASSISTANCE PROGRAM

Objective

Expand and localize training and technical assistance capacity in Turkmenistan to help the NGO sector become more sustainable.

The Need

A Counterpart training workshop in Participatory Community Appraisal has proven successful in providing NGOs with the skills they need to mobilize community action to address self-identified priority needs. This methodology has also been adapted to provide additional technical assistance to target NGOs, including water users associations in Turkmenistan. A broader range of NGOs and the communities they serve still need additional training and technical assistance to strengthen their community mobilization skills.

Approach and Interventions

C. 1. Advanced Training Modules

Because the Turkmenistan program has only been fully operational since February 1998, the NGOs sector is still largely in its infancy and there is a tremendous unmet need for the basic training modules. Thus, basic training modules and technical assistance will continue to be made widely available through contract trainers and Counterpart staff. Some NGOs have developed beyond the basic modules and will benefit from more advanced training modules already developed for the rest of the region. The advanced training will be available primarily to the targeted organizations and will be conducted by Counterpart staff.

As the Turkmenistan program moves away from Ashgabad into regional centers and rural areas, it is vital that the regional contract training pool be representative of the community it serves, as well as capable of training in the Turkmen language. Counterpart Support Center staff and contract trainers will identify NGO members

in regions with Support Centers who have the potential to become effective contract trainers. These people will be invited to TOTs to develop their training skills in order to broaden the training pool into rural areas. All remaining training modules and materials will also be translated into Turkmen in order to support this strategy.

D. GRANTS PROGRAM

Objectives

Increase the number of NGOs and CBOs in Turkmenistan. Provide practical program management experience to NGOs/initiative groups.

Approach and Interventions

D. 1. NGO Support Grants

Counterpart began providing NGO support activities in Turkmenistan in 1998. Therefore, individual NGOs and the NGO sector have still had limited access to Counterpart's integrated package of NGO support interventions, including NGO support grants. NGO Support Grants will continue in Turkmenistan during Phase III as described in the regional section.

D. 2. Solicitations

In addition to NGO Support Grants and Community Action Grants, Counterpart may offer grant solicitations in Turkmenistan, to the extent that funding is available. Illustrative examples of possible solicitations include:

- Help NGOs gain credibility with government by improving their ability to offer services to address issues identified as priorities by official structures;
- Encourage volunteerism by supporting special volunteer events and recognition programs;
- Increase public information available about NGO activities to build credibility with government and the general populous;
- Support user association projects.

In order to make the grant program more accessible to communities in outlying regions, grant proposals will be accepted in any of the country's major languages, including Turkmen and Russian.

E. LEGAL ENVIRONMENT

Objective

Develop a legislative environment that is supportive of the long-term growth of the NGO sector in Turkmenistan

The Need

In Turkmenistan the government does not give priority to the development of the NGO sector, and does not realize the importance of its role in development of a stable democratic society. Therefore, the legal aspects of NGO activity are not seen as a priority. NGO participation in legislative reform is also weak.

To challenge government's and NGO's mutual mistrust, ICNL has been working with both sides with patience and diplomatic persistence. P NGO law reforms are impossible until both government and NGOs find approached for cooperation and realize the need for legal reform. ICNL representatives have been attempting to engage Turkmen government officials and NGOs in a dialogue over the last two years. During this time, ICNL was able to hold an unprecedented gathering of government officials and NGO

representatives -- a two-day training entitled, "*The Legal and Regulatory Environment for NGOs*" (funded by Global Training for Development). This seminar took place last March and included intensive discussion of emerging international principles and the current Turkmenistan NGO legislation. It represented the first opportunity for NGOs and government to discuss legal reform in Turkmenistan and international legal norms of NGOs.

The 1998 Civil Code, on which ICNL contributed comments, contains provisions beneficial to NGOs. Among other benefits, it permits different forms of NGOs such as foundations and associations and establishes a simple procedure for NGO registration and simplifies reporting requirements. However, the progressive provisions of the Civil Code are not yet implemented. The 1992 law On Public Associations still must be amended to conform to new superceding Civil Code provisions.

Approach and Interventions

- ICNL will continue its on-going emphasis on training of government officials and NGOs on good practices for NGO regulation and fair implementation of laws affecting NGOs. Indigenous expertise in implementation of legislation is scarce. ICNL offers such expertise and will implement training of government officials.
- ICNL will continue providing assistance with any new legal initiatives effecting the base laws of NGO regulation -- registration rules and taxation.
- ICNL will also develop seminars for issues related to non-commercial entities--creation of legal entities and their tax responsibilities.
- Through roundtables and trainings addressing NGO activities and legal issues ICNL will moderate a dialogue between NGOs and the government, increase the awareness of the government of the role of NGOs in the democratic society and will help to develop mutually beneficial ways for cooperation between NGOs and the government.

Expected Results and Timeline
1. July 2000 -- The government of Turkmenistan and NGOs will be involved in a dialogue regarding fair regulation of NGOs by the government.
2. October 2000 -- ICNL local representation office will be registered with the state authorities.
3. December 2000 -- Both government officials and NGO leaders will better understand good practices of NGO regulation resulting from training and information provided by ICNL. There will be improvement in practices regarding registration and regulation of activities of NGOs by the government. A new law on registration of legal entities will address provisions special to NGOs.
4. March 2001 -- ICNL will identify a government local partner to carry out legal reform projects.
5. October 2001 -- ICNL will identify/establish a local NGO partner to train on international standards and advocacy of good NGO legislation.
6. January 2002- The law regulating status and activities of NGOs will be drafted with ICNL's assistance.
7. April 2002- with ICNL's moderation its governmental partner and/or a local NGO partner initiate a dialogue between NGOs and the government on fiscal reform. Resulting from these discussions, proposals will be made to the upcoming Tax Code.
8. Fall 2002- a new Tax Code will be adopted which improves tax treatment for NGOs.
9. February 2002 -- An organization with local legal capacity in non-profit law will be working by the end of the agreement and has demonstrated its ability to advocate in favor of the non-profit sector and to consult NGOs and government on legal issues.

VI. MANAGEMENT STRUCTURE

During Phase III of the program, Counterpart's management strategy will emphasize *systematic devolution of programmatic responsibilities to local staff*, while maintaining the high levels of accountability and responsiveness to USAID's needs, for which Counterpart is known.

Through the end of Year 2, Counterpart's regional management hub will continue to be located in Almaty, Kazakhstan. After that point, a determination will be made (in consultation with USAID) about the feasibility of moving the regional hub to Tashkent, Uzbekistan. This determination will take into account the additional difficulties that may be created by the complexities of the Uzbek banking system and currency regulations.

The **Program Committee** has been, and will remain the vehicle for coordination, information sharing, and promoting synergy among the five country hubs and ICNL. On a bi-monthly basis during the first half-year and thereafter quarterly, key Consortium field staff will gather to update each other on their programs, seek areas for cooperation and cross-border transfer of skills and implementation strategies, discuss management issues, and conduct proposal reviews²² Because of the great size of the Central Asian region, with poor transportation and communication links, it is easy for program staff to become isolated. Despite the significant cost in time and money of meeting regularly, all staff (and the MSI midterm evaluator) agreed that these meetings are a critical element in the Consortium's success in operating as a unit.

The new **Community Mobilization Program** will be managed by a team consisting of the local-hire Regional Community Mobilization Specialist, the MIP Coordinator (hired under the Makhalla Initiative), the Training and Community Outreach Director for Turkmenistan, and other local staff with community mobilization experience. Among all of these staff, Counterpart already has extensive experience in community mobilization in many of the country programs. The role of the newly created Regional Community Mobilization Specialist is to make the maximum use of all of these resources on a regional basis. The Regional Specialist will develop training modules and implement TOT workshops as needed throughout the region, relying on the other specialists on staff. He or she will ensure that all of the skills and knowledge that Counterpart already has in the region in this topic are put to maximum use in creating a regional-coordinated program.

Regional Professional Staff

²² The regional grant review burden will be substantially reduced because of the changes to the program, as discussed in the grant section. Smaller grants will be reviewed in country with review by the Chief of Party.

Almaty-based

- Chief of Party (expatriate)
- Chief Financial Officer (expatriate)
- Organizational Development Specialist (expatriate)
- Regional Monitoring and Evaluation Coordinator
- Regional Training Coordinator
- Grant/Finance Deputy
- Office Manager

Bishkek-based

- Webmaster
- Database Specialist

Tashkent-based

- Community Mobilization Specialist

Two of the above positions, Organizational Development Specialist and Community Mobilization Specialist, are new. These two positions have been created to support the new program emphases in these areas. They will oversee all activities in their respective areas on a regional basis. They will ensure that activities in all countries are regionally coordinated and that best practices are shared among countries.

Kazakhstan Professional Staff

- Country Director
- Deputy Director
- Program Coordinator/OD Specialist
- Program/Media Coordinator
- Program Coordinator
- Information Manager
- Grant Manager
- Office Manager

Kyrgyzstan Professional Staff

- Country Director
- Deputy Director
- Grants Manager
- Program Coordinator/OD Specialist
- Program/Media Coordinator
- CSSC Network Coordinator
- Office Manager
- Accountant
- Resource Center Manager

Uzbekistan Professional Staff

- Country Director (expatriate)
- Deputy Director
- Grants Manager
- Makhalla Coordinator/OD Specialist
- Program Coordinator
- Program/Media Coordinator
- Office Manager
- Systems Manager
- Accountant

Tajikistan Professional Staff

- Country Director (expatriate)
- Deputy Director
- Program Coordinator
- Program Coordinator/OD Specialist
- CSSC Network Coordinator
- Office Manager
- Grants Manager
- Database Manager
- Financial Manager
- Computer and Communications Officer

Turkmenistan Professional Staff

- Country Director (expatriate)
- Training and Community Outreach Director (expatriate)
- Deputy Director
- Program Coordinator/OD Specialist
- Program/Media Coordinator
- Office Manager
- Grant Manager
- Information System Specialist
- Accountant

Water-Users Association

- Community Outreach Specialist
- Community Outreach Workers (4)
- Dashoguz Office Manager

Home Office Staff

- Senior Vice President
- Program Manager
- Program Assistant

VII. MONITORING AND EVALUATION SYSTEMS

Program monitoring and evaluation is a critical component of Counterpart's management strategy. As discussed in the USAID-approved M&E Plan, the purpose is to have systems that respond to the information needs of project managers and to assist them in *managing for results* through access to useful, timely, cost-effective and transparent management information. The M&E systems have a focus on utilization. The approach recognizes the need for *practical systems* that do not overburden project staff with data collection and analysis.

Monitoring and evaluation is an **on-going process** serving to assess performance and progress; measure achievements against objectives; aid decision making and *timely* interventions; and to inform USAID of program effectiveness. The M&E systems monitor performance at three main levels of the project design: Activities, Results Indicators and Impacts. Except where noted, all M&E activities described below are already being implemented during Phase II of the program.

Monitoring Project Activities

Quarterly Reporting on Activities: A summary of the status of project activities in each country is included in Counterpart Consortium's Quarterly Report. Quarterly Reports are compiled by the field staff and finalized by the headquarters staff to be submitted to USAID/Almaty by the end of the first month of each quarter.

Annual Workplans: Counterpart submits country-specific annual workplans with details of planned program activities. A Workplan for the first year of Phase III will be submitted by the end of the first quarter. In each Quarterly Report, Counterpart monitors its success in carrying out the workplan activities for the previous quarter as part of its on-going project management and makes any necessary changes in the workplan for the upcoming quarter.

CSSC Training and Technical Assistance Plans (TTAPs): Data from the TTAPs on all CSSCs will be added to Counterpart's NGO database. (This is new for Phase III.) The TTAP format will be revised to measure levels of competency in each category. This data can then be used as a baseline for measuring fulfillment of impact indicators relating to the CSSCs' development. It will be updated and reviewed every six months to measure the CSSCs' progress towards sustainability.

Monitoring the Quality of Training Delivery: Because the training components of the project are critical to project success it is essential to monitor the quality of the training during (or immediately after) delivery and then, at a later date, to look at training effectiveness after participants have returned to the work place. In Phase III, Counterpart's Regional Training Coordinator will monitor training quality in terms of methodology and workshop content and relevance. During and after training events, trainers will use simple questionnaires to adjust and improve course content and to develop recommendations to improve the style and delivery of each of the trainers. Approximately six months after training, trainees will be re-interviewed on a selected basis to determine the retention and impact of training.

Monitoring Subgrants: Counterpart's subgrant management process has monitoring procedures built into it. It is generally recognized as the most thorough NGO subgrant monitoring system in the Central Asian region. NGOs are given funds in three-month tranches. A financial and programmatic report is due on each tranche before additional funds can be disbursed. Grantees receive regular monitoring visits, both to check on project progress and to provide technical assistance.

Mechanisms for Community Feedback: Perhaps the most important element of operation of a community support center will be the communication and understanding that the Centers have with the organizations and individuals that they serve. Participatory Community Appraisal (PCA) will be established as one major element of interaction with communities.

Counterpart will be training staff in all of the regions in participatory processes that are designed to help the community identify their needs, strengths and weaknesses. The same process will be used to evaluate the projects that are funded and supported by Counterpart through USAID. The communities will participate in the projects from the beginning stages of identification as well as participating in the evaluation of the projects. Counterpart will accurately document the participatory processes and put the results in a format that can be presented in a manner to respond to USAID's strategic objectives. Participatory approaches with communities include a variety of techniques and methods that allow all members of the community to share their views.

Monitoring Results Indicators

The core of the Consortium's performance management system is a set of *Performance Plans* to monitor and report on the status of Results Indicators for each country. *Performance Plans* are used to compare *planned* Results for a specific project component, against *actual* Results on a half-yearly basis. At the end of each period, the planned vs. actual columns are compared and management decisions are made with a view to producing the intended results. The system makes for easy comparisons of planned and actual performance and greatly assists managers and implementers to keep focused on results. However, while the *Performance Plans* are very useful for tracking *quantitative* results (such as the number of partnerships formed) they do not give important information on the *quality* of the result.

In addition, Counterpart will continue to administer the NGO questionnaire for USAID/CAR's civil society indicators.

Monitoring Project Purpose: Focusing on Impacts

Counterpart seeks to understand how project assistance in the form of training, grants and technical assistance is effecting fulfillment of project objectives. In the process of updating TTAPs on CSSCs and targeted NGOs, Program Coordinators write up 3-4 *impact statements* each month. These are one-paragraph examples of how organizations have been able to use Counterpart's assistance to achieve real results that further the program's objectives. These are submitted to USAID in the Quarterly Reports.



UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
Regional Mission for Central Asia
Almaty, Kazakhstan

DATE: July 07, 2000

TO: Arlene Lear, Senior Vice President
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FROM: Seilkhan Yeleussizov, Acquisition Specialist
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SUBJECT: CA 122-A-00-00-00010-02

NUMBER OF PAGES (INCLUDING COVER): 4

Please find attached the subject Modification.

MODIFICATION OF COOPERATIVE AGREEMENT

1. MODIFICATION NUMBER: 02	2. EFFECTIVE DATE OF MODIFICATION: See Block 15	3. COOPERATIVE AGREEMENT NUMBER: 122-A-00-00-00010	4. EFFECTIVE DATE OF COOPERATIVE AGREEMENT: April 1, 2000												
5. RECIPIENT: Counterpart International, Inc. 1200 18th St., N.W., Suite 1100 Washington, D. C. 20006 LOC: HHS-66A6P (formerly 72-00-1470) CEC No.: 80 622 233H TIN No.: 136 13 3605		6. ADMINISTERED BY: Office of the Director USAID/Almaty (ID) Department of State 7030, Almaty Place Washington, D.C. 20521-7030													
7. FISCAL DATA: MAARD No. 115-0007.15-00029-02 (continued on page 2)		8. TECHNICAL/PROJECT OFFICE: USAID/CAR, Office of Democratic Transition													
9. PAYMENT OFFICE: USAID/Washington, M/FM/CMP by LOC															
10. FUNDING SUMMARY: <table style="width:100%; margin-left: 400px;"> <thead> <tr> <th></th> <th style="text-align: right;"><u>Obligated Amount</u></th> <th style="text-align: right;"><u>Total Est. Amt.</u></th> </tr> </thead> <tbody> <tr> <td>Amount Prior to this Modification:</td> <td style="text-align: right;">\$ 3,154,000.00</td> <td style="text-align: right;">\$10,820,182.00</td> </tr> <tr> <td>Change Made by this Modification:</td> <td style="text-align: right;">\$ 496,000.00</td> <td style="text-align: right;">0</td> </tr> <tr> <td>New/Current Total:</td> <td style="text-align: right;">\$ 3,650,000.00</td> <td style="text-align: right;">\$10,820,182.00</td> </tr> </tbody> </table>					<u>Obligated Amount</u>	<u>Total Est. Amt.</u>	Amount Prior to this Modification:	\$ 3,154,000.00	\$10,820,182.00	Change Made by this Modification:	\$ 496,000.00	0	New/Current Total:	\$ 3,650,000.00	\$10,820,182.00
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Amount Prior to this Modification:	\$ 3,154,000.00	\$10,820,182.00													
Change Made by this Modification:	\$ 496,000.00	0													
New/Current Total:	\$ 3,650,000.00	\$10,820,182.00													
11. DESCRIPTION OF MODIFICATION: The purpose of this Amendment is to incrementally fund the Cooperative Agreement. Additional \$496,000 is hereby obligated. Following is the replacement pages. 12. THIS AMENDMENT IS ENTERED INTO PURSUANT TO THE AUTHORITY OF THE FAA OF 1961, AS AMENDED, AND THE FG&CAA OF 1977. EXCEPT AS SPECIFICALLY HEREIN AMENDED, ALL TERMS AND CONDITIONS OF THE GRANT REFERENCED IN BLOCK #3 ABOVE, AS IT MAY HAVE HERETOFORE BEEN AMENDED, REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT.															
13. GRANTEE IS NOT REQUIRED TO SIGN THIS DOCUMENT TO RECONFIRM ITS AGREEMENT WITH THE CHANGES EFFECTED HEREIN.															
14. RECIPIENT: COUNTERPART INTERNATIONAL BY: <u>UNILATERAL</u> _____ (Name Typed or Printed)		15. THE UNITED STATES OF AMERICA U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT BY:  _____ Marcus A. Johnson, Jr. (Name Typed or Printed)													
TITLE: _____ DATE: _____		TITLE: <u>Agreement Officer</u> DATE: <u>JUL - 5 2000</u>													

122-A-00-00-00010-02

ACCOUNTING AND APPROPRIATION DATA

A. GENERAL

1. Total Estimated Amount: \$10,820,182
2. Total Obligated Amount: \$3,650,000
3. Total Program Amount: \$12,443,209
4. Cost-Sharing Percentage
(Non-Federal): 15%
5. Activity Title: Program of Civil Society and NGO Development
in the Central Asia Region
6. USAID Technical Office: Office of Democratic Transitions, USAID/CAR/ODT
Department of State
7030, Almaty Place,
Washington, D.C. 20521-7030
7. Tax I.D. Number: 136 13 3605
8. CEC No.: 80 622 233H
9. LOC Number: HHS-66A6P (formerly 72-00-1470)

B. SPECIFIC:

Country:	KAZAKHSTAN	KAZAKHSTAN	KYRGYZSTAN
MAARD:	115-0007.15-00029	115-0007.15-00029-01	115-0007.15-00029-01
Appropriation:	72901093	72011093	72011093
BPC:	WNI9-00-22115-KG13	WNI0-00-22115-KG13	WNI0-00-22116-KG13
R/C:	P-115-029	P-115-047	P-116-013
EOCC:	52507	52507	52507
Amount:	\$50,000.00	\$574,000	\$830,000

Country:	TAJIKISTAN	TURKMENISTAN	UZBEKISTAN
MAARD:	115-0007.15-00029-01	115-0007.15-00029-01	115-0007.15-00029-01
Appropriation:	72011093	72011093	72011093
BPC:	WNI0-00-22119-KG13	WNI0-00-22120-KG13	WNI0-00-22122-KG13
R/C:	P-119-008	P-120-008	P-122-011
EOCC:	52507	52507	52507
Amount:	\$650,000.00	\$350,000.00	\$700,000.00

Country:	KAZAKHSTAN	KAZAKHSTAN
MAARD:	115-0007.15-00029-02	115-0007.15-00029-02
Appropriation:	72901093	72901093
BPC:	WNI9-00-22115-KG13	WNI9-00-22120-KG13
R/C:	P-115-029	P-120-009
EOCC:	52507	52507
Amount:	\$2760,000.00	\$220,000.00

122-A-00-00-00010-02
Counterpart International
Attachment 1

ATTACHMENT 1 - SCHEDULE

1.1 PURPOSE OF AGREEMENT

The purpose of this Agreement is to provide support for the program described in Attachment 2 of this Agreement entitled "Program Description."

1.2 PERIOD OF AGREEMENT

The effective date of this Agreement is 04/01/2000 and the estimated completion date is 03/31/2003.

Funds obligated hereunder are available for program expenditures for the estimated period beginning the effective date of this Agreement through o/a 03/31/2001.

1.3 AMOUNT OF AWARD AND PAYMENT

(a) The total estimated amount of this Award is \$10,820,182.

(b) USAID hereby obligates the amount of \$3,650,000 for program expenditures during the period set forth in 1.2 above and as shown in the Budget below.

(c) Payment shall be made to the Recipient by Payment - Letter of Credit in accordance with procedures set forth in 22 CFR 226.22.

(d) Additional funds up to the total estimated amount may be obligated by USAID subject to the availability of funds, and 22 CFR 226.25.

1.4 BUDGET

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

Budget Line Item Summary	
Personnel	\$ 1,590,321
Fringe Benefits	\$ 679,758
Travel	\$ 117,000
Equipment/Supplies	\$ 66,800
Contractual/Subgrants	\$ 1,390,000
Small Grants	\$ 2,237,150
Other	\$ 943,950
Total Direct Cost	\$ 7,024,979
Indirect Costs	\$ 3,795,203
TOTAL USAID Contribution	\$10,820,182
Cost Sharing (15%)	\$ 1,623,027
TOTAL Program Amount	\$12,443,209