

The AID-PVO

Partnership

Sharing Goals
And Resources In
The Work Of
Development

Office Of Private And Voluntary Cooperation
Bureau for Food for Peace & Voluntary Assistance
US Agency for International Development

Washington, D.C. 20523

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A.I.D.'s Historical Partnership With PVOs

Private and voluntary organizations (PVOs) as defined by the Agency for International Development (A.I.D.) are non-profit organizations which receive some portion of their annual revenue from the private sector (demonstrating their private nature) and receive voluntary contributions of money, staff time, or in-kind support from the general public (a demonstration of their voluntary nature). Not all non-profit organizations are necessarily PVOs.

U.S. private and voluntary organizations have a rich history of cooperation with A.I.D. dating back to World War II, when U.S. PVOs were active primarily in relief, disaster assistance and food distribution efforts. Since that time, the U.S. Government has facilitated various aspects of PVO work through grants and other support for PVO programs. Growing cooperation between A.I.D. and the international private and voluntary community mirrors the U.S. Government's belief that the programs of those agencies embody the traditional humanitarian ideals of the American people and support a principal objective of U.S. foreign policy:

"...the encouragement and sustained support of the people of developing countries in their efforts to acquire the knowledge and resources essential to development and to build the economic, political and social institutions which will improve the quality of their lives." (Section 101, Foreign Assistance Act)

Legislation governing U.S. development cooperation policy reflects the expanding role and level of PVO involvement in development processes;

since 1973, Congress has spoken with increased regularity to PVO issues. In 1981, in a significant first-time action, Congress specified a range of funding for PVO activities by directing A.I.D. to make available to PVOs at least 12 and up to 16 percent of its development and disaster assistance funding.

The complementarity between A.I.D. and PVOs was emphasized in A.I.D.'s October 1982 PVO Policy Paper. It acknowledged that PVOs, because of their heterogeneity and ability to work effectively at the grassroots level with small-scale projects, contribute to an extension of A.I.D.'s own effectiveness and scope of activity. The acknowledgment stems from the belief that A.I.D. and PVOs share these fundamental objectives:

- helping the people of the Third World to develop their skills and abilities to solve their own problems and
- developing (broadly) democratic institutions which help people to achieve control over their own lives and to take responsibility for their own development.

A.I.D.'s support for PVOs has two major dimensions. A.I.D. deals with PVOs both as intermediaries in conducting A.I.D.'s programs and as independent entities in their own right. A.I.D. programs support PVOs in both capacities. A.I.D. is committed to joint pursuit of international programs with PVOs through support in the areas of disaster relief, food distribution, operation of overseas schools and hospitals, and development assistance in a variety of areas. How this support is provided and on what basis it is available to PVOs is the subject of this brochure.

A.I.D. Resources Available to PVOs

Support for the programs of private and voluntary organizations may come from several sources within the Agency for International Development. Principal avenues of support for PVO programs include:

- The Bureau for Food for Peace and Voluntary Assistance (FVA) in Washington, and its Offices of Private and Voluntary Cooperation (PVC), Food for Peace, and the American Schools and Hospitals Abroad (ASHA) Program. Among other mandates, FVA encourages the participation of non-governmental organizations in support of A.I.D.'s development and humanitarian objectives.
- The geographic Bureaus for Africa, Asia, Latin America and the Caribbean, and Near East, A.I.D.'s Washington-based Bureaus which implement and backstop the Agency's foreign assistance efforts in their respective regions.
- A.I.D. Missions and Offices located in countries in which the U.S. Government has bilateral assistance programs. These entities represent A.I.D. overseas and, in cooperation with host governments and other organizations, develop and carry out agreed-upon programs consistent with A.I.D.'s legislative and country priorities

An A.I.D. organization chart and a list of its Missions and Offices overseas can be found at the end of this brochure.

Responsibility for administering the resources available to PVOs and other organizations varies within A.I.D. These resources (primarily comprising grants and subventions), and the A.I.D. office which administers each, are described in the following sections. Some require that potential recipients be registered with A.I.D., an eligibility process outlined in a later section of this brochure

Grants Reserved For Registered PVOs

Operational Program Grants (OPGs) are primarily funded by A.I.D. Missions but are occasionally funded by A.I.D. Regional Bureaus also; they enable PVOs to carry out specific field projects in individual countries and, sometimes, regions. Co-financing grants are a variant of the OPG program.

Typically funded for two-three years, projects for which OPG support is sought must be fully compatible with A.I.D.'s legislative mandate. Costs of all projects supported by OPGs and Co-Financing grants are shared by PVOs; A.I.D. funding is limited to a maximum of 75 percent of total program costs. The remaining 25 percent must come from non-A.I.D. sources and may be a combination of cash or in-kind contributions obtained by the PVO. Missions have the authority to negotiate cash levels in individual cases.

Since OPGs are PVO-initiated field programs, with A.I.D.'s management of the grant relationship performed at the Mission level, PVOs usually begin by having early consultation with the appropriate A.I.D. Mission to discuss

- activity to be undertaken; purpose and description
- preliminary indication of host country interest and intent
- background information relevant to the proposed project
- rough cost estimate and proposed source of the non-A.I.D. share.

Inquire:

Inquiries should be directed to the A.I.D. Mission for the country in which the operation is proposed. Initial discussions may also be undertaken with the PVO Liaison Officer in the relevant A.I.D./Washington Regional Bureau. Depending on the Region, contact the Liaison Officers through the appropriate Bureaus (Africa, Asia, Latin America and the Caribbean, Near East), Agency for International Development, Washington, D.C. 20523.

Matching Grants support PVO field-oriented programs designed to be executed in a number of countries. Matching grants provide A.I.D. funds for up to 50 percent of program costs and are awarded to registered PVOs which adequately meet these criteria:

- the PVO has proven experience in the sector and activities proposed for support ("track record"); and
- can raise the necessary private resources.

Proposed programs should be consistent with A.I.D.'s legislative mandate as well as with country development priorities. These grants provide dollar-for-dollar assistance to significantly increase PVO participation in international development, while giving greater programming flexibility to PVOs in recognition of their share of program costs.

Funding is limited to private and voluntary organizations of recognized standing and is usually awarded for a multi-year period. Proposals are reviewed annually within a specified, common time frame and compete equally for funds available. While the PVO's "match" can be made with cash or in-kind contributions from non-governmental sources, preference is given to programs where the PVO is providing a cash match. Parallel funding of Matching Grants and OPGs to the same PVO in the same country is not permitted, unless agreed to by the A.I.D. Mission.

Inquire:

Director, Office of Private and Voluntary Cooperation
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

NOTE: The Matching Grant is a type of Comprehensive Program Grant, a category of support created to: consolidate multiple grant relationships with a PVO; provide for better program integration; reduce overlapping administrative procedures; and allow maximum program flexibility. Comprehensive Program Grants are awarded to a limited number of PVOs with demonstrated development track records. The Matching Grant is at present the only type of grant in this category.

Institution Building Grants are awarded to support PVO efforts to strengthen their abilities to carry out development programs in less developed countries. Proposals for this type of grant, while not encouraged, may be considered on a cost-shared basis in select circumstances, particularly in those instances in which A.I.D. assistance directly enhances or supports field activity or supports an innovative programming opportunity. The number of grants in this category is limited.

Inquire:

Director, Office of Private and Voluntary Cooperation
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Grants Not Limited To Registered PVOs

Institutional Support Grants provide broad and continuing support to recipient organizations. This limited category of grant supports PVOs and other organizations delivering a unique development service overseas or having a service function in support of overseas efforts. Any organization is eligible to receive institutional support from A.I.D., including a registered PVO.

Inquire:

Director, Office of Private and Voluntary Cooperation
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Development Education Grants (Biden-Pell), as directed by the Biden-Pell Amendment to the International Security and Development Cooperation Act of 1980, support PVO efforts to facilitate public discussion within the U.S. on hunger and related issues and to increase U.S. public awareness of political, economic, technical and social factors relating to hunger and poverty in less developed countries. Grants are awarded through an annual competitive review of proposals.

Funds are limited, and awards are made to U.S. PVOs and other organizations with demonstrated ability or clear potential to carry out development education programs. Grants are not intended to fund existing programs or research studies, nor to encourage dependency on federal support or detract from local initiatives. All grant awards require at least a 50 percent match by the applicant which may include cash, in-kind contributions, or a combination. Federal funds may not be used for the match.

Inquire:

Director, Office of Private and Voluntary Cooperation
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

American Schools and Hospitals Abroad Program. A.I.D. grant assistance is made available to selected schools, libraries, and hospitals overseas founded or sponsored by U.S. citizens and serving as study and demonstration centers for both ideas and practices of the U.S. as well as centers for medical education and research. Applicants must be non-profit U.S. organizations (preferably tax-exempt under Section 501(c)(3) of the IRS code) which either founded or sponsor the institution for which assistance is sought and which can demonstrate a continuing supportive relationship with the institution. Interested organizations should first obtain information on other criteria used by A.I.D. in evaluating requests for assistance.

Inquire:

Director, Office of American Schools and Hospitals Abroad Programs
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Specialized Subventions

Specialized subventions, assistance available primarily for relief and humanitarian work, are the oldest form of A.I.D. assistance. Some subventions require PVO registration as a pre-condition for eligibility; others do not.

P.L. 480 Title II - Food for Peace. The United States, under this authority, donates food to developing countries for humanitarian and development purposes. Administered jointly by the Department of Agriculture and A.I.D., food distribution activities and related development programs of private and voluntary organizations may be supported by P.L. 480 resources. Registration confers a preference for assistance under P.L. 480. PVOs should obtain additional information prior to application for P.L. 480, since other eligibility criteria apply.

Inquire:

Director, Office of Food for Peace
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Dairy Product Program (Section 416, Dairy Commodities, of the Agriculture Act of 1949). Previously administered by U.S.D.A. and now the responsibility of A.I.D., this program makes available excess U.S. dairy commodities for use in relief efforts overseas. All private and voluntary organizations registered with A.I.D. are eligible sponsors, provided the host government in the proposed country has agreed to be a cooperating sponsor and provide support, including free entry of donated goods. Foreign governments may also be sponsors. Unregistered PVOs which do not meet the A.I.D. Conditions of Registration may apply to the Office of Food for Peace for participation in the program and to receive consideration. Decisions are based on a review of the qualifications of unregistered PVOs by the Office of Food for Peace. In emergency situations, local PVOs may be sponsors when no U.S. PVO is available to assist. Since A.I.D. Missions play a key oversight role in-country for all donated dairy commodities, proposals for this program should be prepared in consultation with the A.I.D. Mission. Proposal criteria may be obtained directly from the Mission; A.I.D./Washington can also provide general information.

Certain categories of organizations, i.e., churches or organizations engaged exclusively in religious activities, and private foundations, which do not meet Condition I of the registration requirements (see section on Conditions) will not be registered for this program. However, in exceptional circumstances, and pending a review by the Office of Food for Peace, these organizations may become participants in the Dairy Commodities Program.

Inquire:

Director, Office of Food for Peace
Attn: Section 416 Overseas Dairy Donation Program
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Ocean Freight Reimbursement Program. Funds are available from A.I.D. to pay ocean freight transportation costs for shipments of donated supplies for use in humanitarian and development programs overseas. To be eligible to receive reimbursement for shipment to a country, the PVO's program in that country must have received prior approval from A.I.D. The agencies participating in the program pay all warehousing, packaging, processing and transportation costs, as well as the administrative costs of field representatives. Eligibility is limited to U.S. PVOs registered with A.I.D. Before seeking registration, organizations should first obtain additional information on other approval criteria and annual reporting requirements. **Inquire at the same address listed after Excess Government Property.**

Excess Government Property Resources Program. Excess U.S. Government-owned property acquired by A.I.D. from other Federal agencies may be purchased by eligible recipients, in support of their overseas programs. U.S. PVOs must be registered to be eligible.

For both Ocean Freight and Excess Property Programs:

Inquire:

Director, Office of Private and Voluntary Cooperation
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Other Funding Mechanisms

In addition to grants and subventions from the Bureau of Food for Peace and Voluntary Assistance and A.I.D.'s geographic Bureaus and Missions, grant funding may be available to PVOs and other organizations from other A.I.D. offices for projects relevant to the programs of those offices (for example, A.I.D.'s Bureau for Science and Technology, Bureau for Program and Policy Coordination, and the Office of Foreign Disaster Assistance). Further, any organization, including registered PVOs, may compete for the award of a contract in support of an A.I.D.-sponsored program.

Initial Steps For Organizations Seeking A.I.D. Support

Organizations interested in a particular type of resource or program for which registration is a requirement are encouraged to begin the registration application process by discussing with the appropriate A.I.D. Office, Mission or Bureau the relevance of their proposed project to A.I.D.'s overall program and legislative mandate. If and when there is clear interest, and if necessary, the organization might then decide to apply for registration. The conditions and process of registration are detailed in separate sections of this brochure.

Requirements Beyond Registration

- Registration is one of several steps toward eligibility for certain A.I.D. resources. Additional requirements may vary for different grants and subventions (see Section on A.I.D. Resources), but usually include a proposal, a budget, a program and budget review conducted by A.I.D. program staff, and a pre-grant award audit—if appropriate (including compliance with OMB circulars A-110 and A-122).
- Eligibility for support under certain A.I.D. programs designated for PVOs requires that the PVO demonstrate its private nature, i.e., that 20 percent of its total annual financial support (cash) for its international activities is obtained from sources other than the U.S. Government (required by legislation), effective January 1, 1985. This test of privateness is an eligibility criterion for certain PVO programs; it is not a condition of registration.
- Grant approval by A.I.D. in general depends on the PVO's ability to demonstrate that its proposed program or project matches current A.I.D. programmatic priorities. This does not necessarily mean that an

A.I.D.-supported PVO must always work in the same sectors as A.I.D.; PVO programs outside of, but complementary to or natural extensions of, A.I.D.'s priority sectors may be given consideration.

- Most grant programs require PVOs to share in the costs of the program. Typically this is 25-50 percent of total costs. Preference is given in many cases to those programs where the PVO makes a cash contribution.

Other Considerations In Seeking A.I.D. Resources

Before making contact with A.I.D.'s Washington Offices or Missions for support, an organization should be clear about its own purpose and need for A.I.D. support. Specifically, an organization should have identified:

- the kind of project or program under consideration,
- where it is to be conducted,
- what human and technical resources may now, or might be, available,
- approximate project cost, and
- where/how matching funds might be obtained.

In addition, to help answer questions A.I.D. staff may ask, the PVO should have information on

- the need for the project,
- similar efforts already underway, and
- how the one proposed is complementary or different.

Organizations seeking A.I.D. assistance for the first time, who are uncertain about the resources and funding instruments most appropriate for a proposed project or program, are

encouraged to first contact the Office of Private and Voluntary Cooperation to explore the proposed idea, how it fits with A.I.D. priorities, suitable funding mechanisms, etc. PVC serves as A.I.D.'s focal point for the Agency's relationship with PVOs and increasingly assists PVOs and A.I.D. Missions in developing PVO programs and suggesting new and innovative approaches.

All potentially eligible recipients who approach A.I.D. will benefit from having a short (one to two page) concept paper in hand as a basis for discussion. Having some idea of the proposed program or project facilitates A.I.D.'s ability to respond and identify avenues of support.

Origin Of Registration

The registration of U.S. private and voluntary agencies originated on the eve of World War II as a means for the U.S. government to monitor the overseas relief activities of American agencies in warring countries. The Neutrality Act of 1939 required U.S. Voluntary agencies to register with and report to the Department of State. During the war this function was formalized by an executive order creating the President's War Relief Control Board (1942-1946), licensing war relief activities and regulating solicitation and disposition of relief contributions.

In 1946, the Advisory Committee on Voluntary Foreign Aid (ACVFA) was formed within the State Department to continue the registry, comprised of those agencies which appealed to the public for funds, conducted voluntary foreign assistance activities and agreed to provide financial information for public inspection. Reimbursement of the ocean shipment costs of supplies of voluntary agencies began in 1947; registration with ACVFA was a prerequisite for that support. Subsequent legislation made registered groups also eligible for the Food for Peace (P.L. 480) and Excess Property Programs, known as subventions.

The Foreign Assistance Act (FAA) of 1961 established the Agency for International Development (A.I.D.) to administer U.S. bilateral aid. In 1977 A.I.D. expanded the registry, citing registration as prerequisite for U.S. PVOs wishing to apply for A.I.D.

administered resources: grants and subventions. Subsequently, the Office of Private and Voluntary Cooperation (PVC) was established in what is now A.I.D.'s Bureau for Peace and Voluntary Assistance (FVA) as the focal point for PVO relations with the Agency, its Bureaus and Missions. In 1980 authority to register was re-delegated from the Advisory Committee to the A.I.D. Administrator, and further re-delegated to the Bureau for Food for Peace and Voluntary Assistance. Currently, authority to register is as follows:

U.S. PVOs	Director, Office of Private and Cooperation, A.I.D./Washington
Indigenous or local PVOs	USAID Mission Director, or the U.S. Embassy in the absence of an A.I.D. Mission
Regional PVOs	Assistant Administrators of Regional Bureaus, A.I.D./Washington
Third Country PVOs	Assistant Administrator/FVA Bureau, A.I.D./Washington
International PVOs	Assistant Administrator, FVA Bureau, A.I.D./Washington

Definitions of these categories of PVOs, and where to apply for registration, may be found in a later section of this brochure.

Purpose Of Registration

For A.I.D., registration is primarily a mechanism to:

- identify PVOs engaging in or intending to engage in voluntary foreign aid operations (A.I.D. maintains two registries, one of U.S., the other of foreign PVOs);
- determine whether PVOs meet certain general operating guidelines and accountability standards;
- certify the eligibility of PVOs to apply for A.I.D. resources intended for PVOs, including grants and subventions.

Registration is a prerequisite process whereby private and voluntary organizations may become eligible to apply for certain A.I.D. resources intended for PVOs; eligibility for other resources does not require registration.

Registration does not refer to programmatic capability, nor does it confer any official status or approval.

It is not the purpose of registration to make, or enable to be made, any representation to the public concerning the meaning of being registered.

The Process Of Registration

There are two major components of the Registration Process: the application for registration and the maintenance of registered status. They are related but distinct processes.

An application for registration requires a letter of application from the private and voluntary organization accompanied by those documents described in A.I.D.'s Conditions of Registration (see separate section on Conditions). By letter, A.I.D. acknowledges receipt of registration applications and transfers the application packages to a contractor, who also acknowledges receipt and initially reviews the materials for completeness. Incomplete submissions or those requiring clarification will occasion letter or phone communication between the contractor and the PVO. PVOs asked to supply additional information are urged to do so quickly, so as not to delay the remainder of the review process. Written results of application reviews are

forwarded by the contractor to A.I.D., who retains responsibility for determining the disposition of an application. Applicants receive written notification of A.I.D.'s determination. Successful applicants are then issued a Certificate of Registration by A.I.D..

Should A.I.D. deny an applicant registration, the applicant will be informed in writing of the denial with a specific statement of those conditions and documentation requirements of registration that the applicant has failed to satisfy. An applicant may, within 30 days after receipt of a notification of denial of registration, request that A.I.D. reconsider its application for registration and may submit additional information to A.I.D. bearing on its suitability for registration. An applicant requesting reconsideration will be informed in writing of A.I.D.'s decision upon reconsideration. In addition, A.I.D. may, at its own discretion, reconsider a denial of registration at any time.

Annual Submissions are required of registered PVOs to maintain their registered status. Documentation (see separate section on Conditions) demonstrating that the PVO continues to meet the Conditions of Registration is required within 180 days after the close of the PVO's fiscal year. These documents are submitted to a contractor who, beforehand, notifies PVOs when and what documentation is required. As with initial registration, incomplete annual submissions or those requiring clarification will require additional communication between the contractor and the PVO. So that a determination can be made regarding continued compliance, PVOs must ensure that their annual submissions are complete and timely. Organizations which do not annually comply with the registration requirements will be removed by A.I.D. from the registry. Prior to such removal, PVOs will be notified in writing when removal from the registry is imminent. Once removed, PVOs may not reapply for registration for a period of three months.

Use of Registration

Information. Documentation submitted as part of either the initial or annual process serves the immediate purpose of assessing compliance (or continued compliance) with the Conditions of Registration. In addition, the fiscal and program information is maintained within PVC's Information System and will be used by A.I.D. in evaluating applications for A.I.D. grants or other resources. The documentation further provides A.I.D. with the means to determine whether a PVO obtains at least 20 percent of its total annual financial support (cash) for its international activities from sources other than U.S. Government, a requirement for funding under those A.I.D. programs limited to registered PVOs.

Audited Financial Statements.

A principal requirement for both initial and annual submissions is an audited financial statement prepared by a certified public accountant. In terms of a PVO's responsibility for public and private funds and as a good management practice providing an accurate assessment of an organization's financial condition, an audited statement prepared annually is extremely important. Further, Condition No. 8 requires that a PVO provide public disclosure of its financial circumstances upon request. This is possible only if audited financial statements prepared annually are available.

Annual Reports. The documentation requirement of an annual report, or similar document, is aimed at eliciting basic information from PVOs regarding program activities conducted during the preceding year (i.e., sectors, countries, sources of revenue and collaborating organizations, such as other U.S. PVOs, local PVOs, Peace Corps, etc.). Organizations having printed annual reports prepared for their contributors may find these to be adequate in complying with the requirement. Organizations not having printed annual reports may substitute a typewritten narrative report containing the same information. The information, rather than how it is presented, is what is of importance. In general, fund raising materials, while supplementing basic program information, often do not contain the specificity needed. Organizations which feel that their fund raising materials will serve as the annual report should review them carefully before submission to A.I.D.

Inquire:

Registration Officer
Office of Private and Voluntary
Cooperation
Bureau for Food for Peace and
Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

Registration For Non-U.S. PVOs - Where To Apply

Registration requirements for non-U.S. PVOs are similar to those for U.S. PVOs, although they vary to reflect differing legal, business or cultural practices from those in the U.S. Conditions of Registration for non-U.S. PVOs may be obtained from the Registration Officer, Office of Private and Voluntary Cooperation, Bureau for Food for Peace and Voluntary Assistance.

There are four categories of non-U.S. PVOs as follows:

- (1) **Indigenous or Local PVOs** are those non-U.S. PVOs which conduct operations in the country under whose laws they are organized. The USAID Mission Director has the authority to register indigenous or local PVOs. Application may be made to the Mission Director, or in the event there is no USAID Mission, to the U.S. Embassy.
- (2) **Regional PVOs** are those non-U.S. PVOs which are organized under the laws of a country in an A.I.D. geographic region, and which conduct operations in more than one country in that region but not in more than one A.I.D. geographic region. The Assistant Administrators of the A.I.D./Washington Regional Bureaus have the authority to register Regional PVOs. Application may be made to the PVO Liaison Officer in the appropriate geographic Bureau (Africa, Asia, Latin America and the Caribbean, Near East), Washington, D.C. 20523.
- (3) **Third Country PVOs** are those non-U.S. PVOs which are not organized under the laws of any country in the A.I.D. geographic region or regions in which they conduct operations (they are often European, but not necessarily). The Assistant Administrator, Bureau for Food for Peace and Voluntary Assistance, has the authority to register third country PVOs. Application may be made to the Registration Officer, Office of Private and Voluntary Cooperation, Bureau for Food for Peace and Voluntary Assistance, Washington, D.C. 20523.
- (4) **International PVOs** are those non-U.S. PVOs which receive funds from two or more countries, have an international governing body, and conduct operations in one or more A.I.D. geographic regions. The Assistant Administrator, Bureau for Food for Peace and Voluntary Assistance, has the authority to register international PVOs. Application may be made to the Registration Officer, Office of Private and Voluntary Cooperation, Bureau for Food for Peace and Voluntary Assistance, Washington, D.C. 20523.

Conditions Of Registration

The following Conditions of Registration and Documentation Requirements are taken from Part 203, Chapter II, Title 22 of the Code of Federal Regulations, as amended. In some cases, notes for clarification have been added to highlight important points.

Conditions of Registration and Documentation Requirements for U.S. Private and Voluntary Organizations

An applicant shall be registered with A.I.D. as a U.S. PVO if A.I.D. finds that the applicant has satisfied all the conditions and documentation requirements of registration listed below. An applicant seeking registration shall submit to A.I.D., Washington, D.C. 20523, the documentation listed below accompanied by a letter stating the reasons for seeking registration signed by its chief executive officer and supported by a resolution of its governing body. In addition, the applicant shall submit such other information as A.I.D. may reasonably require to determine if the applicant should be registered.

Condition and Documentation Requirement No. 1

(1) **Condition.** That the applicant is a private nongovernmental organization which is organized under U.S. law and maintains its principal place of business in the United States and is not a university, college, accredited degree-granting institution of education, private foundation, organization engaged exclusively in research or scientific activities, church, or organization engaged exclusively in religious activities.

(2) **Documentation Requirement.** Articles of incorporation, bylaws, relevant documents establishing its legal status, and a statement as to the location of the organization's principal offices.

Note: Documentation submitted should include the official document of the state in which the organization is established, including the state seal and signature of the authorizing state official.

Condition and Documentation Requirement No. 2

(1) **Condition.** That the applicant receives funds from private U.S. sources.

"Funds from private U.S. sources" means cash contributions received from private nongovernmental U.S. sources, e.g., private individuals, groups, foundations and corporations. Cash contributions received directly or indirectly from the U.S. Government, state or local governments, the United Nations and other public international organizations, and foreign governments, institutions and individuals are not included. All in-kind contributions are excluded.

(2) **Documentation Requirement.** The latest audited financial statement (see Condition No. 6 below).

Condition and Documentation Requirement No. 3

(1) **Condition.** That the applicant is a nonprofit organization and has a tax exemption under any one of the following provisions of the Internal Revenue Code: Section 501(c)(3), except private foundations under Section 509(a)(2); as a social welfare organization under Section 501(c)(4); Section 501(c)(5); or Section 501(c)(6).

(2) **Documentation Requirement.**

IRS Statement of Tax Exemption and a copy of IRS Form 990 or 990-PF, "Return of Organization Exempt from Income Tax," or one comparable to the Internal Revenue Service document.

Note: IRS Form 990 or 990-PF should be for the latest year available.

Condition and Documentation Requirement No. 4

(1) **Documentation Requirement.**

Latest annual report (or similar document) and audited financial statement (see Condition No. 6 below).

Organizations which do not have professionally produced annual reports may substitute a brief narrative report which covers the following points:

- description of program activities carried out during the year, including country or countries of operation.
- budget information by program areas and sources of revenue.
- collaborating organizations (e.g., local organizations, private or public, Peace Corps, another U.S. PVO).

Condition and Documentation Requirement No. 5

- (1) **Condition.** That the applicant is, or anticipates becoming, engaged in voluntary charitable or development assistance operations abroad (other than religious), including but not limited to services of relief, rehabilitation, disaster assistance, development assistance, welfare, training, or program support and coordination for such services, in the fields of health, education, population planning, nutrition, agriculture, industry, environment, ecology, refugee services, emigration, resettlement, and development of capacities in indigenous PVOs and institutions to meet basic human needs; and that such

operations are consistent with its articles of incorporation and related documentation included in the application, and with the broad purposes of the Foreign Assistance Act and P.L. 480.

(2) **Documentation Requirement.**

Latest annual report (or similar document) describing the development assistance operations. For organizations who anticipate initiating overseas activities, a statement should be included in the letter accompanying the registration document describing steps taken to date to undertake a program of development assistance overseas.

Condition and Documentation Requirement No. 6

- (1) **Condition.** That the applicant accounts for its funds in accordance with generally accepted accounting principles ("GAAP"); has a sound financial position as evidenced by its audited financial statements; and exercises financial planning through the preparation of an annual budget for the year subsequent to that covered in the annual audit.
- (i) Further tests of the financial management systems of a PVO are part of the A.I.D. pre-grant award process. In judging the financial management systems of grant applicants the requirements set by the Office of Management and Budget (OMB) Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit Organizations," Attachment F, "Standards for Financial Management Systems" will apply, and by reference, OMB Circular A-122 "Cost Principles for Nonprofit Organizations" will also apply. The determination as to

whether an applicant can conform to these requirements is made through a pre-grant award review which is the responsibility of the grant officer with information provided by the A.I.D. Inspector General.

(2) **Documentation Requirement.**

The most recent audited financial statement including Balance Sheet, Statement of Support, Revenue and Expenditure and Statement of Change in Financial Position prepared in accordance with generally accepted accounting principles ("GAAP") disclosing administrative, program, and fund-raising costs; and separately disclosing overseas programs costs and sources and amounts of funds received for overseas programs. The Audit shall be conducted by an independent Certified Public Accountant in accordance with the generally accepted auditing standards ("GAAS") of the "Statement on Auditing Standards" of the American Institute of Certified Public Accountants. A budget for the year subsequent to that covered in the year reported in a format consistent with the audit, including the detailing of anticipated amounts and sources of support and revenue.

New organizations which have been incorporated less than a year must provide an independent CPA's statement that financial statements can be prepared in accordance with GAAP, along with an unaudited financial statement covering the period between incorporation and application for registration. The CPA's statement for new organizations will also indicate whether the organization has installed internal controls to enable the execution of an audit in accordance with the applicable auditing standards at the end of the first year of operation.

Note: The annual budget for the year subsequent to the one covered in the annual audit should be specific with regard to sources of revenue, and the programs and program costs to which the revenue is expected to be applied.

Condition and Documentation Requirement No. 7

(1) **Condition.** That the applicant has a Board of Directors which meets at least annually, whose members serve without compensation for such services, and that paid officers or staff members do not constitute a majority in any decision.

(2) **Documentation Requirement.**

A statement indicating that paid officers or staff members who serve on the Board do not constitute a majority in any decision and members of the governing body receive no compensation for their services on that body; the names and addresses of members; and minutes of meetings or excerpts from minutes which demonstrate that the Board holds meetings at least annually.

Condition and Documentation Requirement No. 8

(1) **Condition.** That the applicant expends and distributes its funds and resources in accordance with the stated purposes of the organization, without unreasonable cost for promotion, publicity, fund raising and administration, at home or abroad, and provides public disclosure of its financial circumstances.

(a) In determining whether an applicant obtains, expends, and distributes its funds without unreasonable cost for promotion, publicity, fund raising, and administration, A.I.D. shall consider fund raising costs as presumptively unreasonable if they exceed 20 per-

cent of the total cash and in-kind contributions to the organization (as reflected in the audited financial statement).

(b) An applicant for registration or a registered agency whose fund raising costs exceed the 20 percent limitation must demonstrate that such costs are not unreasonable in light of the nature of the organization's operations. Upon such a showing, A.I.D. may permit exceptions to the 20 percent limitation on a case-by-case basis.

(c) "Contributions" as used in this section, include U.S. Government financial support, both cash and in-kind, as well as private support; similarly, it is expected that fund raising costs will include costs incurred in securing government contributions.

(2) **Documentation Requirement.**

A certification that audited financial statements are available to the public upon request and a statement indicating salaries and allowances of the top five principal headquarters positions (determined by salary level) and country director positions. When provided directly by the applicant, salaries and/or allowances may be valued at actual cost; when provided by the recipient country or local institutions, they may be valued at fair market value. Any other documentation or evidence which the applicant wishes to submit addressing the degree to which annual program spending has been consistent with the stated purposes of the organization and annual expenses are reasonable in amount.

Note: By "country director" is meant a PVO staff person who is resident in a given country and is responsible for the PVO's operations there.

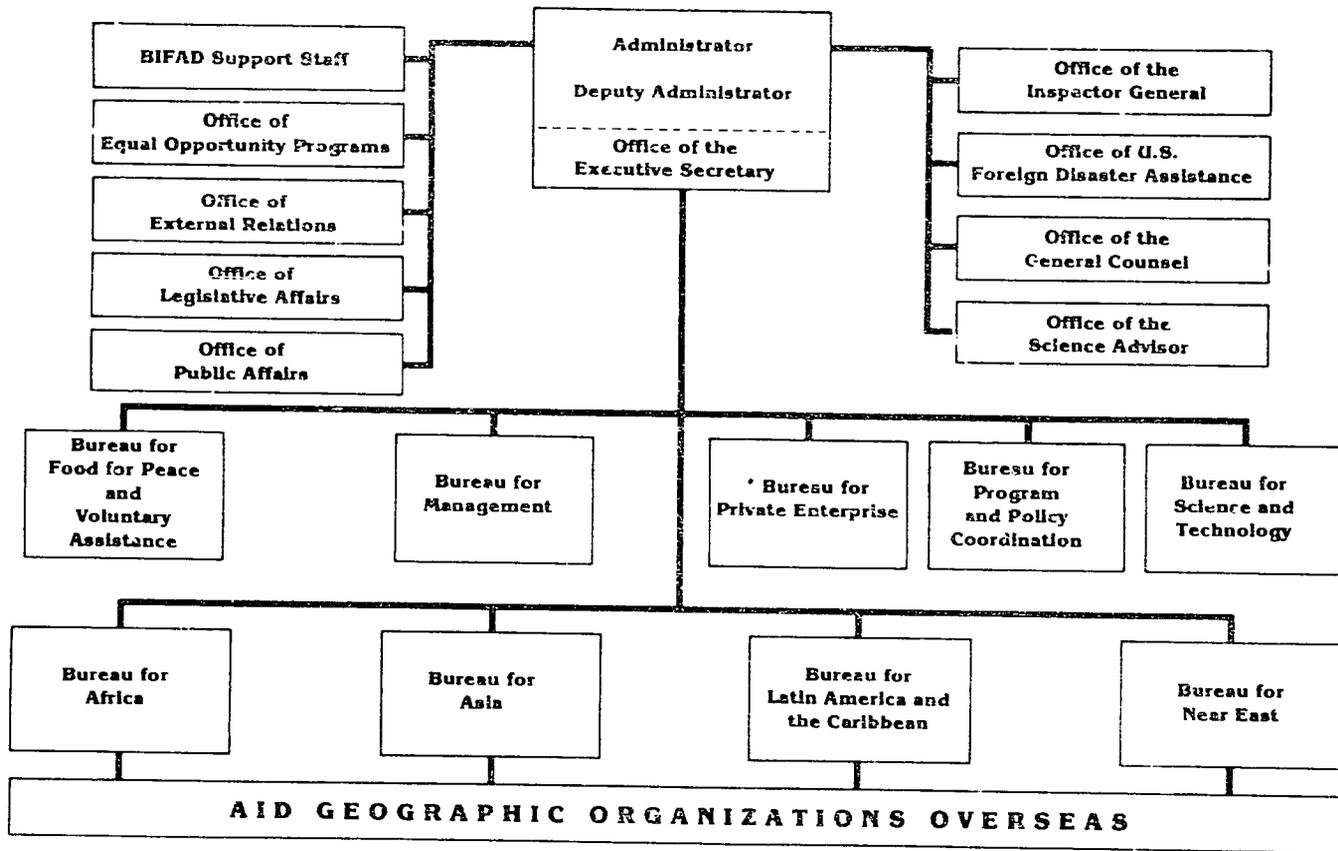
Annual Requirements To Maintain Registered Status

In order to maintain its registration status, within 180 days after the close of each fiscal year, the following documents must be submitted by a registered PVO:

- a. Independently audited financial statement for fiscal year just ended.
- b. Report of Income and Expenditures (A.I.D. Form 1550-2) which is relatable to the audited financial statement.
- c. Annual report or similar document.
- d. Budget for the current fiscal year (projected).
- e. Copy of latest IRS Form 990 or 990-PF.
- f. Statement that all other circumstances listed in original application are unchanged except as noted—e.g., Board addresses and citizenship (new complete list, not just names); principal positions, pay and allowances; country directors, pay, perquisites and allowances).

A.I.D. may revise the above list of documents from time to time. In addition, each registrant shall submit such other information as A.I.D. may reasonably require to determine that the organization continues to meet the conditions of registration.

Agency for International Development



* The Director, SUB, also reports to the Office of the Administrator on those functions which by law require that relationship

A.I.D. Missions And Offices As Of December 31, 1983

A.I.D. offices overseas are usually located within A.I.D. Missions (USAIDs) in countries in which the U.S. has major foreign assistance programs. In some countries, where A.I.D.'s programs are smaller by comparison, A.I.D. presence may be referred to as A.I.D. Section, Office of the A.I.D. Representative (O.A.R.), or A.I.D. Affairs Office. These latter offices are typically located in the American Embassy (although any A.I.D. presence in a country technically falls under the supervision of the American Ambassador). The Mission or Office locations listed below may be contacted through the Agency for International Development, Washington, D.C. 20523.

Africa Region

Berlin	Office of A.I.D. Representative/Cotonou
Botswana	USAID/Gaborone
Burundi	A.I.D. Section, American Embassy/Bujumbura
Cameroon	USAID/Yaounde
Cape Verde	A.I.D. Section/Praia
Chad	USAID/N'Djamena
Congo	USAID/Brazzaville
Djibouti	A.I.D. Section, American Embassy/Djibouti
Ethiopia	USAID/Addis Ababa
Gambia	USAID/Banjul
Ghana	USAID/Accra
Guinea	Office of A.I.D. Representative/Conakry
Guinea-Bissau	A.I.D. Office/Bissau
Kenya	USAID/Nairobi
Lesotho	USAID/Maseru
Liberia	USAID/Monrovia
Malawi	A.I.D. Section, American Embassy/Lilongwe
Mali	USAID/Bamako
Mauritania	USAID/Nouachott
Niger	USAID/Niamey
Nigeria	A.I.D. Section, American Embassy/Lagos
Rwanda	A.I.D. Section, American Embassy/Kigali
Senegal	USAID/Dakar
Sierra Leone	A.I.D. Section, American Embassy/Freetown
Somalia	USAID/Mogadishu
Sudan	A.I.D. Affairs Officer/Khartoum
Swaziland	USAID/Mbabane
Tanzania	USAID/Dar Es Salaam
Togo	Office of A.I.D. Representative/Lome
Uganda	USAID/Kampala
Upper Volta	USAID/Ouagadougou
Zaire	USAID/Kinshasa
Zambia	A.I.D. Section, American Embassy/Lusaka
Zimbabwe	USAID/Harare
REDSO/East Africa	Nairobi, Kenya
REDSO/West Africa	Abidjan, Ivory Coast

Asia Region

Bangladesh	USAID/Dhaka
Burma	Office of A.I.D. Representative/Rangoon
India	USAID/New Delhi
Indonesia	USAID/Jakarta
Nepal	USAID/Kathmandu
Pakistan	USAID/Islamabad
Philippines	USAID/Manila
South Pacific	SPRDO (South Pacific Regional Development Office)/Fiji
Sri Lanka	USAID/Colombo
Thailand	USAID/Bangkok

Latin America and Caribbean Region

Barbados	Regional Development Office (RDO)/Bridgetown
Belize	USAID/Belize
Bolivia	USAID/La Paz
Brazil	A.I.D. Affairs Office/Brasilia
Colombia	A.I.D. Section, American Embassy/Bogota
Costa Rica	USAID/San Jose
Dominican Republic	USAID/Santo Domingo
Ecuador	USAID/Quito
El Salvador	USAID/San Salvador
Guatemala	USAID/Guatemala City
Guyana	USAID/Georgetown
Haiti	USAID/Port Au Prince
Honduras	USAID/Tegucigalpa
Jamaica	USAID/Kingston
Mexico	USAID/Mexico City
Nicaragua	USAID/Managua
Panama	USAID/Panama City
Paraguay	USAID/Asuncion
Peru	USAID/Lima
RDO/Caribbean	Regional Development Office, USAID/Bridgetown
ROCAP-Central America	Regional Office Central American Programs, USAID/Guatemala

Near East Region

Egypt	USAID/Cairo
Israel	American Embassy, Tel Aviv
Jordan	USAID/Amman
Lebanon	Office of A.I.D. Representative/Beirut
Morocco	USAID/Rabat
Oman	Office of A.I.D. Representative/Muscat
Portugal	Office of A.I.D. Representative/Lisbon
Syria	USAID/Damascus
Tunisia	USAID/Tunis
Turkey	USAID/Ankara
Yemen	USAID/Sanaa