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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
U.S. Agency for International Development
Washington, D.C. 20523

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A.I.D.'s HISTORICAL PARTNERSHIP WITH PVOs

The Agency for International Development (A.I.D.) has long recognized the important contribution made by private voluntary organizations (PVOs) to development efforts in the Third World. PVOs, as defined by A.I.D. are tax-exempt 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.

PVOs are a diverse universe--varying in their expertise, size, base of support and mode of operation. They bring unique skills to the job of Third World development, and provide direct channels for private, people-to-people efforts. In addition, they help increase our nation's understanding of the Third World and have the flexibility to operate in areas and ways not always open to other channels of development assistance.

U.S. PVOs have been active in humanitarian work overseas for more than a century. In the years since World War II, their activities--on all continents and in a range of areas--have shown a marked upswing. During the past twenty years, PVOs have directed their energies more intensively toward long-term development. However, this does not mean they are no longer involved in disaster assistance. When disaster strikes, the PVOs are there, providing food, clothing and medicine to victims. It does, nevertheless, indicate a trend of broadening their focus from an emphasis on relief, disaster assistance and food distribution toward alleviating the causes of poverty and improving the quality of human life in the Third World.

U.S. private and voluntary organizations have a rich history of cooperation with A.I.D. dating back to World War II, when PVOs were active primarily in relief and disaster assistance 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 assistance 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. Presently the PVO funding floor is 13.5 percent and the target remains 16 percent.

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 acknowledgement 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.

Currently, A.I.D.-administered funding for PVOs comes from a wide range of accounts: agriculture, rural development, nutrition, population planning, health, child survival, education and human resources, selected development activities, international disaster assistance, the Sahel Development Program, Economic Support Fund, American Schools and Hospitals Abroad, excess property, African Refugee Assistance, and P.L. 480 Title II commodities and freight.

Historically, A.I.D.'s support to PVOs has built upon and substantially strengthened their capacity to undertake overseas development programs. The Agency's strategy is to maximize the effectiveness of scarce development resources in LDCs by ensuring that all A.I.D.-funded programs, including those of the PVOs, address a country's development priorities and needs. Increasingly, PVO programs have become quite responsive to major agency priorities in addressing development problems and meeting basic human needs in the LDCs. For example, the work of PVOs in the field of small-scale, private enterprise development is recognized as fulfilling an important role in the developing of the private sector. In the area of institution building, PVOs

assist local institutions to develop the skills necessary to address their own development problems. PVOs also contribute to the process of technology transfer as they work at the grassroots level teaching appropriate technologies to the people in LDCs, including management techniques and training based on local needs, rather than "high tech" innovations.

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. How this support is provided and on what basis it is available is the subject of this brochure.

**INITIAL STEPS FOR ORGANIZATIONS
SEEKING A.I.D. SUPPORT**

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:

- o the kind of project or program under consideration
- o where it is to be conducted
- o what human and technical resources may now, or might be, available
- o approximate project cost, and
- o 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:

- o the need for the project
- o similar efforts already underway, and
- o 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.

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. A detailed discussion of that process follows.

Additional Requirements

- o 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-11 and A-122).
- o 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.
- o 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.
- o Most grant programs require PVOs to share in the costs of the program. Typically this is 50 percent of the total costs. Preference is given in many cases to those programs where the PVO makes a cash contribution.

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:

- o 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.
- o The geographic Bureaus for Africa, Asia and Near East and Latin America and the Caribbean, A.I.D.'s Washington-based Bureaus which implement and backstop the Agency's foreign assistance efforts in their respective regions.
- o 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, cooperative agreements 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.

In addition to the grants, cooperative agreements and subventions mentioned herein, 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.

GRANTS RESERVED FOR REGISTERED PVOs

OPERATIONAL PROGRAM GRANTS (OPGs) enable registered PVOs to carry out specific field projects in individual countries and occasionally in regions. OPGs are primarily funded by A.I.D. Missions and sometimes by A.I.D. Regional Bureaus. Co-financing or umbrella grants are a variation of the OPG program. Typically funded for two or 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, co-financing or umbrella 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:

- o activity to be undertaken; purpose and description
- o preliminary indication of host country interest and intent
- o background information relevant to the proposed project
- o 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 PVO Liaison Officers through the appropriate Bureaus (Africa, Asia and Near East and the Latin America and the Caribbean). 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:

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

The Matching Grant is designed to consolidate multiple grant relationships with a PVO; provide for better program integration; reduce overlapping administrative procedures; and allow maximum program flexibility.

Proposed programs should be consistent with A.I.D.'s legislative mandate as well as with country development priorities. Since the A.I.D. Mission plays a key role in assessing country development priorities, proposals for this program should be prepared in consultation with the A.I.D. Mission. 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. 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 with demonstrated development track records 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 PVOs "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.

Inquire:

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

PARTNERSHIP GRANTS are awarded to PVOs to promote program integration within a jointly agreed, longer-term A.I.D./PVO planning framework. Similar to Matching Grants, these grants provide A.I.D. funds for up to 50 percent of program costs to PVOs demonstrating a strong, well-established record of successful performance in A.I.D.-supported development activity, including the Matching Grant Program and/or OPGs in the last few years.

In addition to an emphasis on the development of a mutually agreed upon long term planning framework between A.I.D. and the PVO, other principal features of Partnership grants include:

- o Five year (rather than three year) project authorization
- o Optional "buy in" provision whereby Mission-financed activities can be incorporated within this centrally-funded framework.

Inquire:

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

CHILD SURVIVAL GRANTS awarded to PVOs are intended to address the special health needs of children and mothers by fostering the use of simple, available technologies that enhance child survival prospects in poor countries, with particular emphasis on oral rehydration therapy (ORT) and immunizations. Recognizing the special contribution PVOs can make in extending child survival outreach, A.I.D. has set aside a portion of child survival funding specifically for their activities. Proposals are reviewed annually and grants are awarded by PVC.

Inquire:

Director, Office of Private and Voluntary Cooperation
Child Survival Grant 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:

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

P.L. 480 TITLE II OUTREACH PROGRAM provides grants to PVOs to improve the development impact of Title II food-aid programs by covering the logistic and material support costs of U.S. voluntary agencies engaged in improving and expanding people-to-

people programs in the poorest areas of Africa and Latin America. To help determine the impact of Title II food resources, the project also provides support for the acquisition of scales, health services equipment, short-term training, small tools and equipment.

Inquire:

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

P.L. 480 TITLE II ENHANCEMENT PROGRAM project assists Title II voluntary agency sponsors to improve the development impact of the Title II resources they administer by strengthening their capability to design and implement essential components of supplementary feeding programs. The project's objective is to demonstrate that food aid, when combined with other developmental activities, can have an important development impact.

Inquire:

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

**A.I.D. ADMINISTERED SUPPORT TO PVOS
(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 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 1 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

THE FARMER-TO-FARMER PROGRAM is a recently authorized initiative that offers short-term technical and managerial assistance by U.S. farmer-volunteers to farmers in the world's developing countries. Patterned after the experience of two successful volunteer assistance organizations--Volunteers in Overseas Cooperative Assistance (VOCA) and the International Executive Service Corps (IESC), each with a solid record of achievement in sending experienced American business executives to enterprises in developing countries--the Farmer-to-Farmer program seeks to improve farm operations of all kinds, including animal care and health, field crop cultivation, fruit and vegetable growing, poultry and fish operations, agricultural education, farm credit, marketing, farm inputs, agricultural extension activities.

The overriding goal of the Farmer-to-Farmer program is to improve farm income and quality of life in rural areas. Volunteers in Overseas Cooperative Assistance (VOCA) has been selected by the Agency for International Development to conduct this program.

Inquire:

Director, Office of Food for Peace
Farmer-to-Farmer Program
Agency for International Development
Washington, D.C. 20523

DENTON AMENDMENT (authorized in 1985) provides for the shipment of humanitarian goods and supplies to Central American countries on a space available basis by the Department of Defense. Denton Amendment transport authority was extended to the rest of the world in 1986. Donor organizations (consignees) are responsible for making all necessary arrangements and expenses related to shipment; duty free entry of the donated materials; securing recipient government approval; and distribution of the donated materials in the country of destination. All shipments must be certified by the Department of State as consistent with U.S.

foreign policy objectives, and by the Agency for International Development as meeting an identified humanitarian need.

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.

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 government funds may not be used for the match.

Inquire:

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

AMERICAN SCHOOLS AND HOSPITALS ABROAD PROGRAM provides assistance 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 Program
Bureau for Food for Peace and Voluntary Assistance
Agency for International Development
Washington, D.C. 20523

THE COOPERATIVE DEVELOPMENT PROGRAM within A.I.D. is a centrally funded program in existence for more than 20 years and is further expanded by individual country projects directly funded by overseas A.I.D. missions. The program is designed to implement Section 123 of the Foreign Assistance Act of 1961 as amended. Generally, the objectives of the A.I.D. cooperative program are to foster and expand cooperative development in developing countries and to expand and strengthen the private nongovernmental sector of developing countries. The major component of central cooperative development program is a portfolio of core grants designed to enable U.S. cooperative development organizations to maintain active international departments. These departments develop, supervise and evaluate overseas projects as well as provide assistance to A.I.D. on issues related to cooperatives.

Inquire:

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

FOREIGN DISASTER ASSISTANCE GRANTS support the extensive humanitarian activities of U.S. PVOs throughout the world in providing emergency relief and rehabilitation for disaster victims. As part of its foreign disaster assistance program, A.I.D. draws upon the unique ability of PVOs to respond flexibly and rapidly in meeting critical human needs when disaster strikes overseas. Decisions toward grants to PVOs are made on a case-by-case basis with Mission participation. The structure and capabilities of the organizations to launch and carry-out anticipated activities are critical considerations in this relationship with host governments, and extent of network capability. Organizations interested in participating in the foreign disaster assistance grant program may inquire at the following address:

Inquire:
Office of Foreign Disaster Assistance
Agency for International Development
Washington, D.C. 20523

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 assistance reserved for PVOs. Subsequently, the Office of Private and Voluntary Cooperation (PVC) was established in what is now A.I.D.'s Bureau for Food 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 as follows:

U.S. PVOs	Director, Office of Private and Voluntary 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
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:

- o identify PVOs engaging in or intending to engage in voluntary foreign aid operations (A.I.D. maintains two registries, one of U.S. PVOs, and another of foreign PVOs);
- o determine whether PVOs meet certain general operating guidelines and accountability standards;
- o certify the eligibility of PVOs to apply for A.I.D. resources intended for PVOs, including grants, cooperative agreements 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 reviews the materials for completeness. Incomplete submissions or those requiring clarification will occasionally require letter or phone communications between A.I.D. 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. 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 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 communications 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 submissions 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 three 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 Near East, Latin America and the Caribbean), Washington D.C. 20523.
- (3) **International 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). They may 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 FOR U.S. PVOs

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 non-governmental 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) Condition. That the applicant is a voluntary organization (i.e. receives voluntary contributions of money, staff time or in-kind support from the general public).

(2) Documentation Requirement

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

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

- o description of program activities carried out during the year, including country or countries of operation.
- o budget information by program areas and sources

- o 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, child survival, 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 Cooperative 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 appli-

cant 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 Positions 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. 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, at home or abroad, and provides public disclosure of its financial circumstances.

(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.

REGISTRATION CHECKLIST
FOR NEW APPLICANTS

- _____ 1. Letter stating reasons for seeking registration, signed by Chief Executive Officer.
- _____ 2. Signed resolution of the governing board supporting the application for registration with A.I.D..
- _____ 3. Articles of incorporation, by-laws and a statement as to the location of the organization's principal offices.
- _____ 4. Most recent audited financial statement prepared in accordance with GAAP.
- _____ 5. Current annual budget, reflecting expenses and revenues.
- _____ 6. IRS statement of tax exemption and a copy of IRS Form 990 (or 990-PF).
- _____ 7. Most recent annual report or similar document.
- _____ 8. A report describing steps taken to date to undertake a program of development assistance overseas.
- _____ 9. A signed statement indicating that paid officers or staff members who serve on the Board do not constitute a majority in any decisions made.
- _____ 10. A signed statement that members of the governing body do not receive compensation for their services on that body.
- _____ 11. Names and addresses of board members.
- _____ 12. Minutes of board meetings for previous three years.
- _____ 13. A signed statement that audited financial statements are available to the public upon request.
- _____ 14. A signed statement indicating the salaries and allowances of the top 5 principal headquarters positions and country director positions.

Annual Requirements To Maintain Registered Status

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

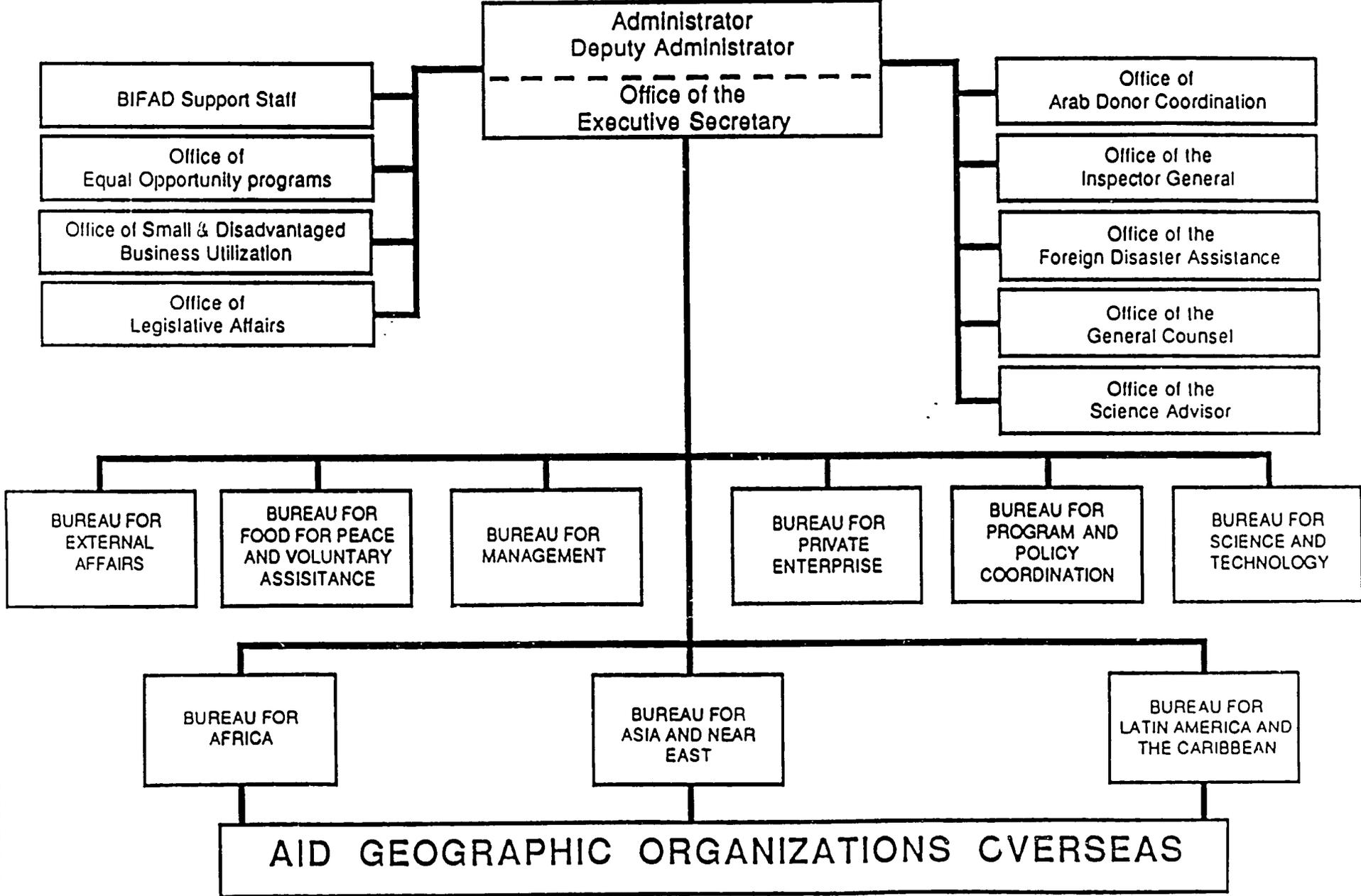
- a. Independently audited financial statement for PVOs fiscal year just ended.
- b. Report of Income and Expenditures (A.I.D. Form 1550-2) which is relatable to the audited financial statement.
- c. Annual report or similar document.
- d. Budget for the PVO's current fiscal year (projected).
- e. Copy 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).
- g. A.I.D. Schedule 1550-11 - PVO Project Reporting Information on A.I.D. - Supported PVO Projects (one per activity, per country).

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.

REGISTRATION CHECKLIST
TO MAINTAIN REGISTERED STATUS

- _____ 1. Independently audited financial statements for fiscal year just ended prepared in accordance with AICPA Guidelines and GAAP.
- _____ 2. Annual report of program activities or similar document.
- _____ 3. Current annual budget (projected) reflecting amounts and sources of revenue, administrative costs, and overseas program costs.
- _____ 4. List of principal positions (not Board of Directors or Trustees) including title, pay and allowances.
- _____ 5. List of the top salaries levels, perquisites and allowances of country directors for all countries in which the organization has representation.
- _____ 6. List of changes in Board memberships including addresses.
- _____ 7. A.I.D. Schedule 1550-2 - Statement of Income and Expenditures.
- _____ 8. Copy of IRS Form 990 or 990-PF or a statement explaining why the organization is not required to file such a form.
- _____ 9. A.I.D. Schedule 1550-11 - A description (one per activity, per country) for each A.I.D. supported activity.

Agency for International Development



A.I.D. MISSIONS AND OFFICES AS OF
DECEMBER 31, 1986

A.I.D. offices 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 (OAR) 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

Benin	Office of A.I.D. Representative/Lome
Botswana	USAID/Gaborone
Burkina Faso	USAID/Ovagadougou
Burundi	Office of A.I.D. Representative/Bujumbura
Cameroon	USAID/Yaounde
Cape Verde	Office of A.I.D. Representative/Praia
Chad	Office of A.I.D. Representative/N'Djamena
Djibouti	Office of A.I.D. Representative/Djibouti
Ethiopia	Office of A.I.D. Representative/Addis Ababa
Gambia	Office of A.I.D. Representative/Banjul
Ghana	USAID/Accra
Guinea	A.I.D. Section, American Embassy, Conakry
Guinea-Bissau	Office of A.I.D. Representative/Bissau
Kenya	USAID/Nairobi
Lesotho	USAID/Maseru
Liberia	USAID/Monrovia
Malawi	USAID/Lilongwe
Mali	USAID/Bamako
Mozambique	A.I.D. Section, American Embassy/Maputo
Mauritania	USAID/Naouakchott
Niger	USAID/Niamey
Nigeria	A.I.D. Section, American Embassy/Lagos
Rwanda	Office of A.I.D. Representative/Kigali
Senegal	USAID/Dakar
Sierra Leone	A.I.D. Section, American Embassy/Freetown
Somalia	USAID/Mogadishu
South Africa	USAID/Pretoria
Sudan	USAID/Khartoum
Swaziland	USAID/Mbabane
Tanzania	USAID/Dar es Salaam
Togo	Office of A.I.D. Representative/Lome/Cotenou
Uganda	USAID/Kampala
Zaire	USAID/Kinshasa
Zambia	USAID/Lusaka
Zimbabwe	USAID/Harare

REDSO/East & Southern Africa	Nairobi, Kenya
REDSO/West & Central Africa	Abdjan, Ivory Coast

Asia and the Near East Region

Bangladesh	USAID/Dhaka
Burma	Office of A.I.D. Representative/Rangoon
Egypt	USAID/Cairo
India	USAID/New Delhi
Indonesia	USAID/Jakarta
Jordan	USAID/Amman
Lebanon	Office of A.I.D. Representative/Beirut
Morocco	USAID/Rabat
Nepal	USAID/Kathmandu
Oman	Office of A.I.D. Representative/Muscat
Pakistan	USAID/Islamabad
Philippines	USAID/Manila
Portugal	Office of A.I.D. Representative/Lisbon
South Pacific	Regional Development Office/Fiji
Sri Lanka	USAID/Colombo
Thailand	USAID/Bangkok
Tunisia	USAID/Tunis
Yemen	USAID/Sanaa

Latin America and Caribbean Region

Belize	Office of A.I.D. Representative/Belize City
Bolivia	USAID/La Paz
Brazil	Office of A.I.D. Representative/Brasilia
Colombia	Office of A.I.D. Representative/Bogota
Costa Rica	USAID/San Jose
Dominican Republic	USAID/Santo Domingo
Ecuador	USAID/Quito
El Salvador	USAID/San Salvador
Guatemala	USAID/Guatemala City
Haiti	USAID/Port-au-Prince
Honduras	USAID/Tequcigalpa
Jamaica	USAID/Kingston
Mexico	Office of A.I.D. Representative/Mexico City
Panama	USAID/Panama City
Peru	USAID/Lima
Uruguay	Office of A.I.D. Representative/Montevideo
RDOC/Central America	Bridgetown, Barbados
ROCAP/Caribbean	Guatemala City, Guatemala