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United States Department of State

Washington, D.C. 20520

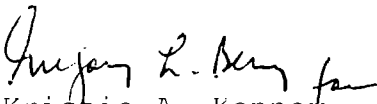
June 29, 2000

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MEMORANDUM FOR MELANNE VERVEER
OFFICE OF THE FIRST LADY
THE WHITE HOUSE

SUBJECT: Categories for Model Partnerships and Approaches
To Working with the Non-Profit Sector

Attached is the Department of State's response to the
White House request for categories for model partnerships
and approaches to working with the non-profit sector.


Kristie A. Kenney
Executive Secretary

Attachments:

1. Category I - Providing Better Services.
2. Category IV - Leveraging Resources.

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Categories for Model Partnerships and Approaches to Working with the Non-profit Sector

BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS

Category I. Providing Better Services

ECA nonprofit partners provide a variety of expert services related to international educational exchange in the role of promoting mutual understanding, democracy, and economic prosperity and other U.S. foreign policy objectives. These services include facilitative assistance for exchanges, production of materials for professional development and English language teaching, training of institutions and individuals, institutional support, and generating cost sharing.

In general, different kinds of relationships exist between the Bureau and nonprofit organizations, varying in longevity, scale, and roles. Some, like the Institute of International Education, perform administrative work (payments of stipends, placements of scholars and travel arrangements) on behalf of the Fulbright Program and the International Visitors Program, while other nonprofits win small grants in Bureau competitions to carry out their own self-contained exchange programs. Programs range from exchanges of high school students to high level professionals to post-doctoral scholarly research -- both in the United States and abroad. The content of these exchanges ranges from a general exposure to American society and way of life, to practical business training, dialogue with American professional counterparts, lecturing and teaching in American academic institutions, to advanced scholarly research. Assistance includes grantee recruitment, selection, placement, orientation, enrichment and training, monitoring. Nonprofits also assist other NGOs to establish like-minded institutions overseas.

An important aspect the services rendered by nonprofits is their ability to generate significant cost sharing and facilitate movement of funds within the United States. In academic exchange programs, nonprofits help to secure tuition waivers. Through educational information and advising overseas, which promote U.S. education, ECA's partners have assisted in making U.S. higher education an 8 billion-dollar service.

A few examples of model relationships that ECA has with nonprofits include:

The International Visitor Program, which works with seven nonprofit program agencies, who in turn work with over 90 nonprofit, community-based organizations located nation-

wide (Councils of International Visitors). This model has been in existence for nearly 60 years and continues to inspire immense dedication and loyalty on the part of local volunteers.

The Future Leaders Exchange Program (FLEX), which partners ECA with nonprofit exchange organizations and hundreds of high schools and local community host families throughout the United States. The program brings over 1,000 youth from Russia and the New Independent States to the United States for one year.

The Institute of International Education, which produces a census of international students, scholars, and study abroad participants, that gives perspective to policy discussions regarding exchanges, gives the Department the ability to respond to congressional inquiries, provides the basic information needed to come up with trade statistics on education exports, and enables U.S. institutions of higher education to plan their internationalization strategies.

AMIDEAST, which produces "Advising Quarterly," consisting of a specialized web site, a complimentary periodical, and a research service, for the 450 Department of State-affiliated educational advising centers around the world.

NAFSA (a partnership of nearly 40 years), whose mission is to promote the exchange of students and scholars to and from the United States. The Association sets and upholds standards of good practice and provides professional education and training that strengthen institutional programs and services related to international educational exchange. NAFSA provides a forum for discussion of issues and a network for sharing information as it seeks to increase awareness of and support for international education in higher education, in government, and in the community. Since 1963, the Bureau of Educational and Cultural Affairs has awarded NAFSA a series of cooperative agreements to support the infrastructure for international exchange by providing professional training, student program enhancements and a series of region-specific scholarships. State Department personnel work closely with NAFSA to administer the programs covered by these agreements and to keep an open dialogue on a variety of relevant issues. NAFSA is a vital liaison between the State Department and the U.S. academic community, providing recommendations and feedback about specific needs in international education from regionally specific scholarships to J -visa regulations.

ECA has had a number of successful COOP grants that give international students the opportunity to better understand American life and institutions. For example: "Coat of Many Colors: Expressions of Faith in Southern Arizona" a yearlong program designed to encourage international students to become familiar with and knowledgeable about the role and influence of religious groups in the culture of Tucson and southern Arizona region.

Under the College and University Affiliation Program, post-secondary educational institutions administer academic exchanges on specified themes of mutual interest to the United States and eligible foreign institutions in fields such as education or educational

administration, the social sciences, law, business and economics, and communications. Through these linkages, the partnerships pursue institutional or departmental objectives that strengthen, through teaching, scholarship, and professional outreach, mutual understanding and cooperation. The academic review process for grants is administered through the Academy for Educational Development, a non-profit organizations specializing in international educational and exchange programs.

The cooperating partner and universities under the Hubert H. Humphrey Fellowship, which brings accomplished professionals from designated countries in Africa, the Americas, Asia, Europe, Eurasia, and the Middle East for a 10-month stay combining non-degree graduate study, leadership training, and professional development. Fellows are then placed in groups by professional field at selected U.S. universities offering specially designed programs for study and training.

The cost-sharing tuition waivers provided and/or obtained annually by our NGO cooperating agencies allow for significant leveraging of appropriated funds and result in the increase of participants in virtually all of our sponsored exchange programs.

Technical Assistance or Training To Improve Service Provision

ECA provides technical assistance and training to nonprofits in the United States and overseas in the forms of advice, administrative funding and training opportunities, and by facilitating interaction and networking between nonprofit organizations. Through these activities ECA promotes standards and replication of best practices.

Advice and guidance is provided through regular communication with grant recipient organizations and written instructions in the Bureau's grant application and contract documents. Occasionally, ECA staff is invited to conferences to provide information on grant management, program implementation, and services offered by ECA for grant recipients. Through grant funding, ECA has supported creation of web sites, purchases of equipment, and email connectivity to organizations that participate in international exchanges. This permits sharing of information on best practices among nonprofits. ECA offers various training opportunities to non-profit organizations, including workshops and conferences to develop organizations' managerial and programming competencies. Some examples include:

- ◆ The International Visitor Program which holds an annual conference. Topics at the conference include NGO management (e.g. fundraising, building and developing a Board, managing volunteers), key foreign policy topics and how to conduct exchange programming on those topics, other exchange opportunities. ECA provides not only the funding and many of the personnel resources for the conference, but also provides travel grants for a set number of participants from each community-based organization.
- ◆ In November of 1997, the Contract and Grants office conducted a full-day seminar/workshop for approximately 100 representatives of 501(c) organizations engaged in Bureau programs. Invitations were extended to all grant recipients in the office's database.

- ◆ In May 2000, the Office of Global Educational Programs will present a full-day workshop as part of the NAFSA: Association of International Educators Conference designed to help colleges, universities, and non-profits understand the ECA Bureau grants process and develop more competitive proposals for ECA funding.

Of special note is ECA's English Language Programs, which provide technical assistance to educational nonprofit organizations overseas through the Public Affairs Sections (PAS) of U.S. embassies. This technical assistance includes:

- Teacher training at public and private high schools and universities, binational and cultural centers, Ministries of Education, professional associations of educators
- Consultations with administrators and Boards of Directors at the institutions mentioned above in all areas related to language teaching operations and their successful management (e.g. curriculum design, assessment, materials selection, faculty development, program evaluation)
- Donations to these institutions of educational materials published by ECA (e.g. books, cassettes, videos, and a quarterly journal on English teaching and civic education)
- Logistical support for international networking by key PAS contacts from educational nonprofits in the host country (e.g. participation in on-line workshops with colleagues from similar institutions in other countries).

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Category IV. Leveraging Resources

The most significant example of ECA's relationship with other donors is exemplified by the Binational Fulbright Commissions, which assist in generating support and financial resources from other countries for various exchange programs. Other examples include:

- The Edmund S. Muskie Fellowship and Freedom Support Act Graduate Fellowship Programs. ECA worked with the Soros Foundations, which brought in over \$300,000 in cost-sharing from U.S. Law Schools in addition to its own financial and networking resources.
- Georgia State University has received grants both from the Bureau and from the Eurasia Foundation to assist partners in the Republic of Georgia to establish a business education program -- the Caucasus School of Business. Although the funding decisions were made separately and the grantee is responsible for fulfilling the requirements of both programs, program officers of the Department and the Eurasia Foundation in both Washington D.C. and Tblisi have compared notes regarding the grantees performance.
- In a few cases, the Department has negotiated with private funders to jointly fund projects with private funders for projects in the New Independent States. For example, the Department and the Soros Foundations are jointly funding a partnership between the University of California, Berkeley, and the St. Petersburg State University School of Management in Russia. Another example is a project in which the Department and the Soros Foundations are jointly supporting the American University in Kyrgyzstan-- the Department through a grant to Indiana University, and the Soros Foundations through other mechanisms. In both cases, the joint programs built upon previous successful department (USIA) programs. In both cases, the negotiations and decision to jointly fund were conducted by the NIS Assistance Coordinator's Unit.
- Some College and University Affiliation Program grantee organizations are recipients of additional outside project funding from foundations and other private donors. For example, in March 1999, the Center for Global Partnership of the Japan Foundation awarded a grant of \$165,000 to a CUAP project between the University of California at Berkeley; Waseda University, Tokyo; and Australian National University to examine corporate strategies in the Asia-Pacific.
- In the U.S., funding to support the Fulbright Visiting Student Program was solicited from the Citibank Foundation. In response, that foundation has provided funds (\$75,000) for three consecutive years to this program. The arrangement works to our advantage because: 1) it adds three grantees to the program; 2) the grantees are selected from the already approved (by peer review) list of candidates. Citibank requires no special quid pro quo. Similar arrangements overseas made between bilateral Fulbright Commissions are also valuable. They work best when the private donors provide the funding contributions with no conditions, i.e. the funds are used to support candidates who have come through an open competition and merit-based selection process. Ideally, the donors also allow administrative costs to be billed to the contribution.

- In youth exchange programs, ECA has partnered with the Ronald S. Lauder Foundation to support a youth exchange. ECA was a co-funder with the Lee Iacocca Institute of a participant to the LII's Global Village Program.

**United States Department of State***Washington, D.C. 20520**www.state.gov*

April 19, 2000

UNCLASSIFIEDMEMORANDUM FOR MARY ELLEN MCGUIRE
OFFICE OF THE FIRST LADY
THE WHITE HOUSESUBJECT: White House Survey of Federal Agencies'
Relationships with Nonprofits

Attached are the Department of State responses to the White House Survey of Federal Agencies' Relationships with Nonprofits. Each bureau's interaction with NGOs and nonprofits is unique and different and has been captured individually for this report.

The Department of State contact is Olive Sampson, Director, Office of Public Affairs and Intergovernmental Liaison. She can be reached 647-5171.

Karl Hoffman
for: Kristie A. Kenney
Executive Secretary

Attachments:

1. Bureau of Economic and Business Affairs (EB)
2. Bureau of Educational and Cultural Affairs (ECA)
3. Bureau of European Affairs (EUR)
4. Bureau of Finance and Management Policy (FMP)
5. Office of the Under Secretary of State for Global Affairs (G)
6. Office of the Legal Adviser (L)
7. Bureau of Near Eastern Affairs (NEA)
8. Bureau of Oceans and International Environmental Scientific Affairs (OES)
9. Bureau of Personnel (PER)
10. Bureau of Public Affairs (PA)

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Survey Compiled by: PA/PIL:AAulton

X76797 4/18/00

Cleared by: PA/PIL:OSampson
S/S-S:SSarkis

EB Surveys:

EB: Mbruno

EB: Mbaas

EB: Jmoon

EB: Rbeaird

EB: Gchapman

OES Survey:

OES: JVarley

OES: SPovenmire

OES: BHoward

OES: KBrill

ECA Survey:

ECA: Tkniker

ECA: Swestgate

ECA: Wkieh

PER Surveys:

PER: JChammas

PER: VBattle

PER: AHazelwood

PER: FBarnes

EUR Survey:

EUR: Skaiser

EUR: Lnapper

EUR: DLeader

EUR: RDiCarlo

EUR: BArmstrong

EUR: Lweintraub

PA Survey:

PA: AAulton

PA: OSampson

FMP Survey:

FMP: DBoardley

G Survey:

G: JBrinkley

G: Dsmith

L Survey:

L: PTDiMichele

L: Mchandler

L: RmcCannell

L: Dhollis

L: SMCCreary

NEA Survey:

NEA: KLMcCarthy

NEA: ELDibble

NEA: Skraham

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AID: DO'Brien

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SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF ECONOMICS AND BUSINESS AFFAIRS
OFFICE OF INTERNATIONAL COMMUNICATIONS AND INFORMATION
POLICY(EB/CIP)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

EB/CIP (Bureau of Economic and Business Affairs, International Communications and Information Policy) engages regularly with the telecommunications industry associations to inform them of USG policies on international telecommunications issues and solicit their views. In the multilateral context, for instance, the office assists nonprofits in defending their interests at international conferences (e.g., the World Radiocommunications Conference). In the bilateral context, EB/CIP provides limited funding to nonprofits assisting developing countries to introduce telecommunications reforms.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

On request, EB/CIP explains technical aspects of telecommunications issues to nonprofits.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

When asked for technical assistance, EB/CIP officers respond to requests by providing “plain English” explanations on complex telecommunications issues.

- C. What types of technical assistance or training are not currently being provided but should be?

None.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

EB/CIP officers can assist nonprofits seeking information on the telecommunications environment in particular countries or regions.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

Telecommunications expertise.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

The United States Telecommunications Institute (USTTI) is a nonprofit that provides highly specialized telecommunications training for foreign officials and businessmen. USTTI has greatly assisted USG efforts to promote telecommunications expertise and reform in foreign countries.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

Legal prohibitions against seeking private sector assistance for USG initiatives.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

Yes, as explained above.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Please see discussion above regarding USTTI.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Maintain openness.

Foundations

A. Do you have a working relationship with foundations or other private donors?

No.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Legal prohibitions against seeking private sector assistance for USG initiatives.

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Less conservative interpretation of applicable legal standards.

Resources

A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

EB/CIP administers a modest interagency telecommunication policy grant fund, monies from which are from time to time made available to nonprofits.

B. How can nonprofits find out about the resources you make available to them?

Nonprofits seeking additional information are welcome to contact EB/CIP directly. The interagency fund was established primarily to respond to requests from USAID posts for the services of policy specialists from other agencies. Grants to the private sector are rare, and respond on an ad hoc basis to specific policy needs.

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

EB/CIP provides nonprofits with the circulars, but lacks the ability and expertise to provide follow-up services.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

EB/CIP issues only a handful of grants each year. Each is highly individualized and is tailored to a specific situation. Procedures are streamlined to the maximum extent possible.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

EB/CIP has ongoing communication with nonprofits on an informal basis. The office also has a web page on the Department of State server that provides additional information.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

The web site explains EB/CIP's policy role and welcomes e-mail inquiries.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

None.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

None.

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF ECONOMIC AND BUSINESS AFFAIRS
OFFICE OF FINANCE AND DEVELOPMENT (EB/IFD)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

EB/IFD (Bureau of Economic and Business Affairs, Office of Finance and Development) has regular contact with umbrella groups that primarily represent business and financial interests—U.S. Council for International Business, American Chamber of Commerce, Institute for International Finance; and think tanks like the Hudson Institute, the Institute for International Economics, and the Overseas Development Council. The contacts enable us to share information, exchange views on policy initiatives, and incorporate outside views into policy approaches. We have sporadic contact with environmental and consumer NGOs, primarily on U.S. policies on international investment.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Not applicable.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

Given that we are not a fund provider to NGOs, we have no comment.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

Not applicable.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

The most important bureau relationship is the one we have with the Advisory Committee that allows us to meet with business, labor, environmental and consumer representatives on a regular basis (quarterly). This has been essential in improving our outreach to these various groups.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

The divergence of goals between advocacy groups and government officials can create obstacles to effective relations.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

In EB/IFD, where we represent the Department of State on various interagency committees that set U.S. policy on foreign direct investment, we have a regular consulting relationship with representatives of business, labor and other nongovernmental organizations.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Our current effort to the OECD Guidelines for Multinational Enterprises is an example of developing a voluntary multilateral instrument that encourages corporate responsibility. We have yet to complete the process, but it is a good model for such interactions, as early on we established a consultative formula with representatives of labor, business, environmental and consumer groups.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

EB/IFD finds the biggest challenge in trying to bridge competing interests, which create inherent tensions in these exercises.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

EB/IFD believes that our efforts to hear all points of view, we stand the best chance of reducing barriers and improving relations when we make clear at the outset that effective policymaking often necessitates compromise.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

EB/IFD has not suggestions to offer.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

EB/IFD only provides information.

B. How can nonprofits find out about the resources you make available to them?

Through the Department of State website.

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

No.

D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

By providing information on our website, holding regularly scheduled meetings on particular subjects we follow, participating in the Advisory Committee, and doing outreach on request.

B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

None.

C. What changes would you suggest to improve communications with nonprofits?

EB/IFD has no suggestions to offer.

Competition

A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

The Bureau of Economic and Business Affairs primarily uses its Advisory Committee to secure the participation of nongovernmental groups (not just nonprofits) in our work.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF ECONOMIC AND BUSINESS AFFAIRS
OFFICE OF AGRICULTURAL AND TEXTILE TRADE AFFAIRS (EB/TPP/ATT)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

EB/TPP/ATT (Bureau of Economic and Business Affairs, Office of Agricultural and Textile Trade Affairs) has substantial contact with non-profit organizations (NGOs) representing various interest groups: agricultural industry (farm, seed, grain and export associations), consumers and environmental interests.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Not applicable.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

None.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

EB/TPP/ATT organizes periodic meetings with the Under Secretary of State for Economic, Business and Agricultural Affairs, Alan Larson, and members of the NGO community on issues of agricultural trade policy, including food safety, biotechnology, food labeling, international market access, etc.

EB/TPP/ATT also assists EB/PAPD (Office of Policy Analysis and Public Diplomacy) in coordinating and providing logistical support for the Transatlantic Consumer Dialogue,

which is attended by hundreds of European and U.S. Consumer Groups. The work product of this group is circulated to the membership and to the parent organization, the Transatlantic Economic Partnership, an U.S.-EU (European Union) bilateral forum established in 1997.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

Not applicable.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

Not applicable.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

EB/TPP/ATT lacks the resources for more frequent dialogues, but make every effort to conduct our policy development with transparency, including NGO input where possible.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Relationships can always be strengthened through increased dialogue.

Foundations

A. Do you have a working relationship with foundations or other private donors?

No.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

No financial resources. EB/TPP/ATT has worked with the former USIA to launch a website, with uplinks to similar sites, on the topic of biotechnology.

B. How can nonprofits find out about the resources you make available to them?

By dialing: www.usinfo.state.gov/topical/global/biotech/

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

No.

D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

We have periodic meetings with representatives of stakeholder groups. Invitees are notified by fax.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

No.

- C. What changes would you suggest to improve communications with nonprofits?

Now that USIA is part of the Department of State, they should be engaged to answer this question.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Unknown.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

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BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS RESPONSE

Survey Questions for Federal Departments and Agencies – Nonprofit Organizations

Introduction

A. Define your relationship to nonprofits – in what ways does your agency interact with nonprofit organizations?

The Bureau of Educational and Cultural Affairs (ECA) interacts with nonprofit organizations in three primary ways:

- ☐ As partner organizations in the formulation and promotion of public policies related to international educational exchange and U.S. foreign policy objectives;
- ☐ As partner organizations in the design and implementation of international exchange programs; and
- ☐ As recipients of federal grant monies.

Through its grant-giving process, ECA is a facilitator and catalyst for public-private communication and partnership.

Technical Assistance/Training

A. What types of technical assistance/training do you provide nonprofit organizations (e.g. management support)?

ECA provides technical assistance and training to nonprofits in the United States and overseas in the forms of advice, administrative funding and training opportunities, and by facilitating interaction and networking between nonprofit organizations. Through these activities ECA promotes standards and replication of best practices.

Advice and guidance is provided through regular communication with grant recipient organizations and written instructions in the Bureau's grant application and contract documents. Occasionally, ECA staff is invited to conferences to provide information on grant management, program implementation, and services offered by ECA for grant recipients. Through grant funding, ECA has supported creation of web sites, purchases of equipment, and email connectivity to organizations that participate in international exchanges. This permits sharing of information on best practices among nonprofits. ECA offers various training opportunities to non-profit organizations, including workshops and conferences to develop organizations' managerial and programming competencies. Some examples include:

- ◆ The International Visitor Program which holds an annual conference. Topics at the conference include NGO management (e.g. fundraising, building and developing a Board, managing volunteers), key foreign policy topics and how to conduct exchange programming on those topics, other exchange opportunities. ECA provides not only the funding and many of the personnel resources for the

conference, but also provides travel grants for a set number of participants from each community-based organization.

- ◆ In November of 1997, the Contract and Grants office conducted a full-day seminar/workshop for approximately 100 representatives of 501(c) organizations engaged in Bureau programs. Invitations were extended to all grant recipients in the office's database.
- ◆ In May 2000, the Office of Global Educational Programs will present a full-day workshop as part of the NAFSA: Association of International Educators Conference designed to help colleges, universities, and non-profits understand the ECA Bureau grants process and develop more competitive proposals for ECA funding.

Of special note is ECA's English Language Programs, which provide technical assistance to educational nonprofit organizations overseas through the Public Affairs Sections (PAS) of U.S. embassies. This technical assistance includes:

- Teacher training at public and private high schools and universities, binational and cultural centers, Ministries of Education, professional associations of educators
- Consultations with administrators and Boards of Directors at the institutions mentioned above in all areas related to language teaching operations and their successful management (e.g. curriculum design, assessment, materials selection, faculty development, program evaluation)
- Donations to these institutions of educational materials published by ECA (e.g. books, cassettes, videos, and a quarterly journal on English teaching and civic education)
- Logistical support for international networking by key PAS contacts from educational nonprofits in the host country (e.g. participation in on-line workshops with colleagues from similar institutions in other countries)

B. Who provides the assistance? Provide some examples of technical assistance providers who your agency views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

ECA generally provides the assistance directly or secondarily through another non-profit organization. For ECA, all staff are involved in providing various levels/degrees of assistance, but the Bureau is bound by all OMB and other Federal Regulations which at times limit the scope of advice. One successful model is the Fulbright Teacher Exchange Branch, which provides on-going technical and management advice to Western Montana College (WMC) of the University of Montana related to the development and implementation of a teacher training program in South Africa. Advice is also provided by embassy and geographic area staff on policy issues and area/country specific matters. Funding is transferred to Public Affairs Sections in U.S. Embassies abroad to award small grants to foreign nonprofits to support activities such as publishing, media, social service delivery, internet access and computer purchases.

The Department of State also supports the development of nonprofits overseas, especially in the NIS and Russia, as part of its goal to encourage civil society in post-communist societies. Internet access and training feature prominently. The Department funds American nonprofits to work abroad to teach best practices in volunteerism, fundraising, advocacy, leadership, conflict resolution, and ethics and accountability.

Models of successful assistance delivery include the National Council of International Visitors (NCIV), which delivers national and regional meetings for the community-based Councils of International Visitors (volunteer organizations located throughout the United States which help program international visitors), and NAFSA: Association of International Educators, which also hosts national and regional conferences for foreign student advisors and others engaged in international education. In these situations, it is often professional peers who provide the best technical assistance and training.

Effective communication and the mutuality of benefits are the key variables to successful assistance and training delivery, and result from the regular involvement of the recipients and stakeholders. On an organizational level, successful nonprofits demonstrate an institutional record of successful programming, including responsible fiscal management and effective distribution of administrative staff and time to ensure adequate attention to program implementation. Characteristics that make the individual trainer/provider successful include professional credibility (deep knowledge of the topic); an understanding of the environment of our not-for-profit partners; use of concrete examples to illustrate points. Successful providers, whether individuals or institutions, should have a thorough understanding and appreciation of program purpose, goals, objectives and tasks. In addition, successful providers are able to anticipate and act on issues that affect program implementation in an effective manner.

C. What types of technical assistance or training are not currently being provided but should be?

We do not have the resources currently to provide regular training on how to better prepare grant proposals, how to better track results, how to track and report success, and technical assistance for follow-up activities with alumni of our programs. Limited travel budgets inhibit opportunities for site visits to nonprofit organizations to provide assistance and training. More outreach could be done using Internet technology, with a goal of reaching smaller, less experienced organizations that are not familiar with federal requirements.

D. If applicable, list other ways your agency improves the efficacy of the nonprofit organizations it works with?

Our grants provide NGOs with the potential to expand their contacts with similar organizations throughout the world. We do this by working closely partner organizations in all phases of program and project development and implementation. For example, ECA has counseled potential applicants on proposal development. For first-time grantees that have never received an ECA grant award, ECA has sent out an "accounting survey" to assess if accounting systems are adequate for receipt/expenditure and reporting of government funds. In a few instances, the former USIA audit team has conducted pre-award audits for larger grants. The team has offered advice if it was determined the

internal accounting and other systems were inadequate. ECA also supports the National Council of International Visitors' work to develop an Information Exchange and Management System, including a database component designed by and for the CIVs. The system permits a web-based exchange of information between ECA, program agency and CIV databases, rather than the antiquated system of faxes, emails, and retyping that exists today. The database helps to alleviate workflow that contains redundancy in data entry and unnecessary constraints on the free flow of information. The CIV database provides each CIV with a standardized resource management tool. ECA is providing management and technical support, as well as annual funding for system deployment, training and maintenance.

Relationships with Nonprofits

A. What types of services do nonprofits that you partner with provide (health, human services)?

ECA nonprofit partners provide a variety of expert services related to international educational exchange in the role of promoting mutual understanding, democracy, and economic prosperity and other U.S. foreign policy objectives. These services include facilitative assistance for exchanges, production of materials for professional development and English language teaching, training of institutions and individuals, institutional support, and generating cost sharing.

In general, different kinds of relationships exist between the Bureau and nonprofit organizations, varying in longevity, scale, and roles. Some, like the Institute of International Education, perform administrative work (payments of stipends, placements of scholars and travel arrangements) on behalf of the Fulbright Program and the International Visitors Program, while other nonprofits win small grants in Bureau competitions to carry out their own self-contained exchange programs. Programs range from exchanges of high school students to high level professionals to post-doctoral scholarly research -- both in the United States and abroad. The content of these exchanges ranges from a general exposure to American society and way of life, to practical business training, dialogue with American professional counterparts, lecturing and teaching in American academic institutions, to advanced scholarly research. Assistance includes grantee recruitment, selection, placement, orientation, enrichment and training, monitoring. Nonprofits also assist other NGOs to establish like-minded institutions overseas.

An important aspect the services rendered by nonprofits is their ability to generate significant cost sharing and facilitate movement of funds within the United States. In academic exchange programs, nonprofits help to secure tuition waivers. Through educational information and advising overseas, which promote U.S. education, ECA's partners have assisted in making U.S. higher education an 8 billion-dollar service.

B. Are there model relationships that are particularly effective in achieving the critical goals of your department/agency?

A few examples of model relationships that ECA has with nonprofits include:

The International Visitor Program, which works with seven nonprofit program agencies, who in turn work with over 90 nonprofit, community-based organizations located nationwide (Councils of International Visitors). This model has been in existence for nearly 60 years and continues to inspire immense dedication and loyalty on the part of local volunteers.

The Future Leaders Exchange Program (FLEX), which partners ECA with nonprofit exchange organizations and hundreds of high schools and local community host families throughout the United States. The program brings over 1,000 youth from Russia and the New Independent States to the United States for one year.

The Institute of International Education, which produces a census of international students, scholars, and study abroad participants, that gives perspective to policy discussions regarding exchanges, gives the Department the ability to respond to congressional inquiries, provides the basic information needed to come up with trade statistics on education exports, and enables U.S. institutions of higher education to plan their internationalization strategies.

AMIDEAST, which produces "Advising Quarterly," consisting of a specialized web site, a complimentary periodical, and a research service, for the 450 Department of State-affiliated educational advising centers around the world.

NAFSA (a partnership of nearly 40 years), whose mission is to promote the exchange of students and scholars to and from the United States. The Association sets and upholds standards of good practice and provides professional education and training that strengthen institutional programs and services related to international educational exchange. NAFSA provides a forum for discussion of issues and a network for sharing information as it seeks to increase awareness of and support for international education in higher education, in government, and in the community. Since 1963, the Bureau of Educational and Cultural Affairs has awarded NAFSA a series of cooperative agreements to support the infrastructure for international exchange by providing professional training, student program enhancements and a series of region-specific scholarships. State Department personnel work closely with NAFSA to administer the programs covered by these agreements and to keep an open dialogue on a variety of relevant issues. NAFSA is a vital liaison between the State Department and the U.S. academic community, providing recommendations and feedback about specific needs in international education from regionally specific scholarships to J-visa regulations.

ECA has had a number of successful COOP grants that give international students the opportunity to better understand American life and institutions. For example: "Coat of Many Colors: Expressions of Faith in Southern Arizona" a yearlong program designed to encourage international students to become familiar with and knowledgeable about the role and influence of religious groups in the culture of Tucson and southern Arizona region.

Under the College and University Affiliation Program, post-secondary educational institutions administer academic exchanges on specified themes of mutual interest to the United States and eligible foreign institutions in fields such as education or educational administration, the social sciences, law, business and economics, and communications. Through these linkages, the partnerships pursue institutional or departmental objectives that strengthen, through teaching, scholarship, and professional outreach, mutual understanding and cooperation. The academic review process for grants is administered through the Academy for Educational Development, a non-profit organizations specializing in international educational and exchange programs.

The cooperating partner and universities under the Hubert H. Humphrey Fellowship, which brings accomplished professionals from designated countries in Africa, the Americas, Asia, Europe, Eurasia, and the Middle East for a 10-month stay combining non-degree graduate study, leadership training, and professional development. Fellows are then placed in groups by professional field at selected U.S. universities offering specially designed programs for study and training.

The cost-sharing tuition waivers provided and/or obtained annually by our NGO cooperating agencies allow for significant leveraging of appropriated funds and result in the increase of participants in virtually all of our sponsored exchange programs.

C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

The significant obstacles that hinder more effective relationships between federal agencies and nonprofits are communication, federal rules and regulations, and internal bureaucratic processes.

Although ECA attempts to reach the broadest audience possible for its funding opportunities, it is the access to information about our programs which is the greatest obstacle. Part of this problem is complicated by federal regulations on competition, which often hinder our ability to bring nonprofits into the planning process earlier.

Federal realities, which are not in our direct control, can hinder our relations with nonprofits. For example, there is tremendous difficulty in reconciling long-range planning and other activities to the short-term nature of the Federal Government budget and planning cycle. When we don't receive an overall budget mark until we are already into the fiscal year and then an actual operating budgets, several months into the fiscal

year, it can make irrelevant the best planning. Also, the inability to have multi-year budgets keeps programs from operating at their most efficient. Our relationships with nonprofits as cooperating agencies stem from annual agreements (or grants). When agreements or grants are delayed by members of Congress or their staffs for review, program schedules are adversely affected and other efficiencies are compromised. IRS regulations requiring tax withholdings from stipends, especially for short-term visitors to the United States, adds paperwork, shortchanges the visitor, and wastes the taxpayers' money. OMB regulations on drawdowns do not work in our favor. INS ruling on J-1 Visitor P-designated organizations and the requirement for U.S. sponsors to collect and remit visa fees or pay visa fees with grant funds hurts our ability to conduct exchanges efficiently.

Internal bureaucratic problems also hinder our relationships with nonprofits. Our non-profit partners often complain about our slow response time, caused by the need for multiple clearances and approvals. The cumbersome contracting process, which includes slow processing of grant applications and late payment of invoices, has frustrated nonprofits. Other parts of the Department lack understanding of the goals and objectives of our programs. For example, our goal of promoting U.S. education to foreign students sometimes clashes with the way in which visa officers view their mission.

Sometimes, instructions conflict with regulations. For example, in the wake of budget cuts, ECA was urged to seek greater partnering with organizations to support our programs. However, after ECA successfully secured a cash donation for support of overseas educational advising, it took more than five months to work out a mechanism to accept the money. There is still no mechanism in place to receive smaller donations because, it would be inefficient for the budget office to spend the necessary staff time and effort to receive them. It would be more expensive to accept this support than to decline it and limit programming accordingly. We need greater flexibility to pursue outside collaboration and to take advantage of the opportunities to work in exciting new ways with other organizations.

Public Policy

A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g. regulatory and budgetary matters)?

The Bureau of Educational and Cultural Affairs works with nonprofits on public policy issues, but not on a regular basis. ECA does involve nonprofits extensively when it is developing public policy. The only example of regulatory assistance is with ECA's Office of Exchange Visitor Services, which provides private organizations with designation to issue the IAP-66, the form needed to secure a J-1 visa for international visitors. Whenever regulations are updated, the draft version is published in the Federal Register for public comment.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Several examples of successful public policy development exist. These include:

- The priority the Administration has given to the global problem of prevention of trafficking of children and women is a direct result of collaboration with the nonprofit sector in the United States and abroad.
- Following a conference that brought together the various stakeholders in international education, ECA worked with The Alliance for International Education and Cultural Exchange and NAFSA to develop an international education policy.
- ECA's Office of Policy and Evaluation successfully worked with the Alliance to develop an evaluation of the use of Arrival Host Families for high school exchange programs. This evaluation will provide hard data that will inform policy makers about whether to allow the practice under the J Visa regulations.
- In some countries, Public Affairs American staff members may serve as a voting member of the Board of Directors of a nonprofit, e.g. at a binational or cultural center, to provide an American perspective on issues such as transparent fiscal management and democratic governance.

C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

ECA has not experienced many barriers in this regard.

D. What do you think can be done to hurdle the barriers or strengthen the relationship with nonprofits when developing public policy?

Agencies must be willing to involve outside stakeholders in the development of public policy, by allowing sufficient time, access, and communication with nonprofits.

Foundations

A. Do you have a working relationship with foundations or other private donors?

ECA's working relationships with foundations and other private donors has been minimal in comparison its work with other nonprofits. In several instances, funding from foundations and private donors are reflected in the cost-share portion of ECA grant awards.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

In some countries, the Public Affairs Section may work with private donors to support a specific project, e.g. offering matching funds (through a grant) to assist a fundraising

drive to renovate the theater of a cultural center, to buy new classroom furniture/equipment at a binational center that offers English classes to the public, or to buy computer equipment and provide Internet access for a press center that supports independent journalists. In many countries, however, PAS may support these projects with USG funds only, without requiring local cost sharing from public or private donors.

The most significant example of ECA's relationship with other donors is exemplified by the Binational Fulbright Commissions, which assist in generating support and financial resources from other countries for various exchange programs. Other examples include:

- The Edmund S. Muskie Fellowship and Freedom Support Act Graduate Fellowship Programs. ECA worked with the Soros Foundations, which brought in over \$300,000 in cost-sharing from U.S. Law Schools in addition to its own financial and networking resources.
- Georgia State University has received grants both from the Bureau and from the Eurasia Foundation to assist partners in the Republic of Georgia to establish a business education program -- the Caucasus School of Business. Although the funding decisions were made separately and the grantee is responsible for fulfilling the requirements of both programs, program officers of the Department and the Eurasia Foundation in both Washington D.C. and Tblisi have compared notes regarding the grantees performance.
- In a few cases, the Department has negotiated with private funders to jointly fund projects with private funders for projects in the New Independent States. For example, the Department and the Soros Foundations are jointly funding a partnership between the University of California, Berkeley, and the St. Petersburg State University School of Management in Russia. Another example is a project in which the Department and the Soros Foundations are jointly supporting the American University in Kyrgyzstan-- the Department through a grant to Indiana University, and the Soros Foundations through other mechanisms. In both cases, the joint programs built upon previous successful department (USIA) programs. In both cases, the negotiations and decision to jointly fund were conducted by the NIS Assistance Coordinator's Unit.
- Some College and University Affiliation Program grantee organizations are recipients of additional outside project funding from foundations and other private donors. For example, in March 1999, the Center for Global Partnership of the Japan Foundation awarded a grant of \$165,000 to a CUAP project between the University of California at Berkeley; Waseda University, Tokyo; and Australian National University to examine corporate strategies in the Asia-Pacific.
- In the U.S., funding to support the Fulbright Visiting Student Program was solicited from the Citibank Foundation. In response, that foundation has provided funds (\$75,000) for three consecutive years to this program. The arrangement works to our advantage because: 1) it adds three grantees to the program; 2) the grantees are selected from the already approved (by peer review) list of candidates. Citibank requires no special quid pro quo. Similar arrangements overseas made between bilateral Fulbright Commissions are also valuable. They work best when the private donors provide the funding contributions with no conditions, i.e. the funds are used to support candidates who have come through an open competition and merit-based selection process. Ideally, the donors also allow administrative costs to be billed to the contribution.
- In youth exchange programs, ECA has partnered with the Ronald S. Lauder Foundation to support a youth exchange. ECA was a co-funder with the Lee Iacocca Institute of a participant to the LII's Global Village Program.

C. If not, what are the barriers to developing a working relationship with foundations and other donors?

ECA has experienced several barriers in developing working relationships with foundations and other donors. The primary barrier is the differences between the sectors. Many foundations and private donors do not make contributions to government-sponsored programs because they believe that each sector has a role to play and neither is

a good substitute for the other. Foundations often have a different style in making funding decisions and agendas between agencies and foundations can become politicized or change, all of which can be problematic.

Several barriers exist around funding; the general lack of funding on the part of agencies, the inability of USG to make multi-year commitments, and limits on fundraising or ability to commit matching funds.

There are regulatory problems: most notably, the competitive nature of our grants process works against pre-arranged deals with nonprofit organizations that would be necessary to secure foundation co-funding.

Perceptual problems also can hinder the relationships. ECA has had to contend with decision-makers believing that "since Foundations 'have' money, why should they receive government grants to do activity they would already do?" Who gets the credit for programs is also an issue. Government needs the credit for Congress; foundations and donors need it for their boards. As part of this problem, neither organization wants its money going to "administration"; both want their funds to be shown as program funds.

Cooperation with international organizations and donors presents another set of challenges: different cultural assumptions, incredible bureaucratic obstacles and accountability for US taxpayers' funds.

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Agencies could do several things to improve the ability to work with foundations. For example, agencies could:

- Hold planning sessions among funders to work out problems over focus;
- Create more flexible and clear regulations for working with foundations;
- Establish pilot projects based on prior agreements with foundations that would guarantee joint funding; and
- A more sustained contact effort by government agencies might pay some dividends.

Resources

A. What resources do you provide to the nonprofit community (e.g. grants, in-kind services – if possible give amounts)?

ECA provides nearly \$240,000,000 in federal funds through grants/cooperative assistance agreements to nonprofit organizations – over 230 organizations directly, over 1000 partnerships at any given time -- to move approximately 30,000 people annually. The grants, which vary from several hundred dollars to several million, cover such costs as salaries and benefits, office expenses (expressed both directly and indirectly), academic release time, travel and per diem costs for employees, subcontractors, consultants, and

exchange visitors, vehicle rental, equipment purchases, materials and books, translation costs, wire transfer fees, visa fees, audits, subcontracts, honoraria, room rental, working meals, and program expenses. ECA also provides information to grant applicants on how to improve proposals for future competitions. ECA also designates organizations through the Exchange Visitor Program Office to issue the IAP-66 (J Visa) form.

B. How can nonprofits find out about the resources that you make available to them?

ECA publicly announces all of its opportunities through the Federal Register and its web site. In addition, announcements are also circulated via listservs, newsletters, and presentations (for example, we participate in special briefings, for example with Historically Black Colleges and Universities (HBCU's) and the annual meetings of association organizations such as the American Association of State Colleges and Universities. Interested organizations may also call program staff for information.

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g. Circular A-122, Circular A-133)? If so, what are these?

Grant documents reference all applicable circulars in each grant agreement and these are made available upon request. In addition, the solicitation package for programs includes guidance on cost principles and administrative requirements for the award competitions.

D. What steps is the department/agency taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly to streamlining grant applications and reporting requirements?

ECA is a partner in the InterAgency Electronic Grants Committee (AEGC) and sends representatives to regular meetings.

Communication

A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

For outreach efforts, ECA uses the Federal Register, its web site, participation in conferences and workshops held by 501(c) (3) organizations, consultations/discussions that take place at ECA headquarters, mass mailings (e.g. to alert of any major changes in policies or procedures.), listservs, newsletters, printed materials, program manuals, and telephone discussions.

ECA staff use email and telephone for regular communication with grant recipients. We provide coaching as necessary.

ECA management also communicates regularly with key stakeholders. One example is the International Visitor Program. The Director meets with the NCIV Board of Directors to update them on issues and trends that might impact the International Visitor Program. In addition, she meets quarterly with the heads of the seven program agencies. The Chief for Community Relations talks to the NCIV Executive Director weekly or more frequently. The International Visitor Program used to publish a quarterly newsletter, but it is currently inactive due to lack of staff resources. Senior program officers within ECA and the program agencies meet quarterly to discuss issues of mutual concern.

ECA organizes periodic workshops to provide special assistance on grant development to institutions to encourage participation in programs by a more geographically and institutionally diverse pool of grantee organizations.

In FY-1999, the Contracts and Grants office conducted a survey that was circulated to all grant recipients in its database, asking for feedback on performance, how better service might be provided, and what type of topics/issues might be covered in future workshops.

B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

Since the majority of our work is conducted by nonprofit organizations, there has not been a special need to single them out as a sub-unit of our partners. The ECA web site contains a section listing all of the Bureau's open Requests for Proposals published in the Federal Register. It also contains all of the standard documentation required for the submission of all proposals. In addition, the web site provides a great deal of general and specific information about ECA exchanges and activities. ECA does not specifically participate in the Nonprofit Gateway.

C. What changes would you suggest to improve communications with nonprofits?

ECA would suggest the following changes to improve communications with nonprofits:

- "Trade shows" around the country that highlight federal opportunities for nonprofits, which include all major departments and agencies;
- Hold a yearly conference on ECA programs directions, grants, and desire to reach more nonprofit organizations. We could also hold a training session for representatives of "new" organizations in fiscal and grants management.
- Appropriate additional funds for travel and additional staff support for site visits and training;

✓

Competition

A. To what extent does the department/agency require nonprofit participation in the delivery of services?

ECA relies on nonprofits to fulfill its mission because they implement the majority of the Bureau's programs. In many cases these organizations are the main progenitors of new and innovative ideas.

B. Please provide examples of contracts/grants/services that your agency formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Since the vast majority of ECA's work is with nonprofits, there are not many examples of contracts, grants, or services that have been switched to for profit organizations. Formerly, the educational advising service in Germany was provided by the U.S. Information Service (USIS) but because of budget cuts it was contracted out to CIEE which now operates a for-profit service providing information about U.S. study to interested Germans. The only other example we have is program evaluation. However, program evaluation was only expanded to include for-profit organizations to expand the expertise pool from which we could draw. This change to include for-profit as well as nonprofit organizations allowed for greater competition for evaluation contracts.

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SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS

DEPARTMENT OF STATE -- BUREAU OF EUROPEAN AFFAIRS (EUR)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

Within the European Bureau, many offices have substantial contact with NGOs.

Our office of East European Assistance has the most institutional contact, and interacts with NGOs in two ways:

- 1. As the office that allocates and monitors the use of SEED (Support for East European Democracy) funds, this office (a) provides funding (usually via USAID, sometimes via other Federal Agencies) to NGOs enabling them to carry out assistance projects in eastern Europe; and (b) evaluate the efficacy of NGOs' SEED-funded work.**
- 2. This office cooperates closely with NGOs (such as Soros Open Society Institute) that have their own funding, coordinating our efforts and, in many cases, co-funding projects.**

Most of the other contacts with NGOs are informal, consultative discussions at the working level on topics of interest. Some examples below:

- EUR/PPA, our office of press and public affairs, interacts with NGOs and think-tanks, such as the Brookings Institution, that follow foreign policy issues. We send them printed and electronic information such as speeches and policy documents on relevant issues.**
- EUR/NB, which deals with the Baltic and Nordic countries, deals regularly with NGOs as part of its Northern Europe Initiative (NEI) which works to bring together public and provide resources to promote the regional integration, including with Russia. Areas of focus include building civil society, law enforcement, health, the environment, business promotion, and energy management.**
- EUR/SP, which handles Stability Pact issues related to Southeastern Europe, also consults with NGOs implementing programs and foundations funding initiatives in Southeast Europe as part of its effort to coordinate U.S. support for the region with the international community.**

- **EUR/PD, which manages the bureau's public diplomacy programs overseas, often organizes conferences and coordinates educational and exchange programs with NGOs.**
- **EUR/RPM/C, EUR's office that works with with the U.S. Mission to the OSCE, deals with NGOs on a regular basis. The NGO community has interest in OSCE's efforts, inter alia, to advance democratization, promote human rights, fight corruption, and improve environmental practices. In that context, this office often invites members of NGOs to participate as public members on U.S. delegations to OSCE meetings. Second, we brief the NGO community on occasion about U.S. views regarding the performance of participating States in meeting their OSCE commitments and solicit NGO views. Third, we work with and support NGOs who advance OSCE Mission objectives in the field. Fourth, we provide interested members of NGOs with information about how to participate in OSCE field activities. The USG was a strong supporter of active and extensive NGO participation in the most recent OSCE Summit, held in Istanbul in November 1999.**

Other offices handling specific regions and topics interact regularly with NGOs interested in their issues. For example, the officers in EUR managing Greece, Turkey and Cyprus meet regularly with Greek-, Turkish- and Cypriot-American groups interested in U.S. policy in the Aegean. And offices managing our policy on issues like Holocaust restitution, such as EUR/OHI, meet regularly with Jewish and other organizations.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

We do not provide TA/training to U.S. NGOs. The U.S. NGOs to which we provide SEED funds often provide such assistance indigenous NGOs in eastern Europe.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

N/a

- C. What types of technical assistance or training are not currently being provided but should be?

N/a

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

In the case of the office managing SEED funds, we closely monitor the performance of the NGOs to which we allocate SEED funding. That monitoring improves their performance in two ways: (a) via the specific suggestions for improvement we provide; (b) more generally, via the NGOs realization that if they fail to perform effectively they will lose SEED funding.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

The U.S. NGOs to which we provide SEED funding work primarily in the areas of economic restructuring, political and legal reform, development of independent media, and fostering civil society.

The other NGOs with whom we work include groups dealing with specific foreign policy issues and regions.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

In the case of SEED funding, the model relationship, which we strive for in every instance, is one of close cooperation in developing projects and intensive monitoring of results.

In other relationships, the European Bureau seeks a reasonable, useful exchange of information with NGOs that explains our policies to U.S. citizens and allows us to hear different points of view.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

No structural obstacles. The main challenge is the fact that effective government-NGO relationships are work intensive and time consuming.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

N/a

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

N/a

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

N/a

Foundations

- A. Do you have a working relationship with foundations or other private donors?

Yes, as noted above, on SEED projects we work closely with private organizations that have their own funding. The goal is to coordinate our efforts and, where possible, engage in co-funding of projects.

Many of the NGOs we consult are connected to or part of foundations.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Best example: Support for the Serbian independent radio and TV network, ANEM. In that project, we cooperate and co-fund with Open Society Institute. Working together, we maximize the impact of each other's funding. The cooperation has worked well because we share common goals and coordinate extremely closely.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

N/a

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

N/a

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

A significant portion of the annual SEED budget goes to U.S. NGOs to carry out projects in eastern Europe, mainly through cooperative agreements with USAID.

Outside of the SEED agenda, we occasionally provide speakers and materials on foreign policy topics to institutions following U.S. European issues.

- B. How can nonprofits find out about the resources you make available to them?

In RFPs published in the Federal Register. In the information arena, we participate in various foreign policy networks.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

N/A

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Those chores are handled by USAID.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Ongoing contact--face-to-face, e-mail, telephone. Many offices in EUR maintain their own specialized list of NGO contacts.

For general information, we often refer NGOs to the Department of State website.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

N/a

- C. What changes would you suggest to improve communications with nonprofits?

Regular updating of the State website.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

N/a

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

N/a

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Divider Title: _____

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF FINANCE AND MANAGEMENT POLICY
(FMP)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

The Bureau of Finance and Management Policy (FMP) has no regular working relationship with nonprofits except occasional relationships with foundations that donate gifts to the Department of State. FMP accepts donations from nonprofits to support various activities and projects such as conferences and refurbishment of our overseas facilities.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

None.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

Not applicable.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

Not applicable.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

Not applicable.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

Not applicable.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

Yes. We are invited to some annual board meetings or we meet on ad hoc issues. Two examples are the Association for Diplomatic Studies & Training (ADST) and Friends of Art and Preservation in Embassies (FAPE). Family foundations fund the issuance of special awards to employees and unique training opportunities.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

When a former Department of State employee offers, who is well versed on State Department policy and needs, the coordination is always smoother than dealing with a donor who is new to USG procedures.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

The main barrier is the ability to solicit funds on a routine basis. We must be cautious as so as not to rely on a select few foundations for certain activities. The desire of the foundation must be consistent with Department of State goals and objectives. Gifts to USG agencies must comply with USG contracting/accounting regulations and the Office of Government Ethics regulations.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

We should loosen our strict procedures on outreach and solicitation. Our needs should be publicized in a variety of public forums.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

None.

- B. How can nonprofits find out about the resources you make available to them?

Not applicable.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

Not applicable.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Not applicable.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

Not applicable.

- C. What changes would you suggest to improve communications with nonprofits?

Not applicable.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Not applicable.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

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Divider Title: _____

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—OFFICE OF THE UNDER SECRETARY OF STATE FOR
GLOBAL AFFAIRS (G)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

The Office of the Under Secretary of State for Global Affairs (G) works with NGOs to help advance our policies. We meet regularly with various NGO representatives to keep them apprised of our work, hear their concerns, and to encourage support for our policies.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

None.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

We don't "partner" with non-profits.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

No.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

No.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

We have no formal working relationships, but work with nonprofits on a case-by-case basis.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

We are in the process of negotiating an international agreement on the international trafficking of persons. Initially, some NGOs were highly skeptical about our negotiating strategy and our position on the issue. Through a series of meetings we have clarified our position and goals, and removed some of the concerns that nonprofits expressed.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

Again, we deal with various foundations on a case-by-case basis, exchanging views and information as appropriate.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

None.

- B. How can nonprofits find out about the resources you make available to them?

Not applicable.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

No.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

We have no formal system for reaching out to nonprofits, often relying instead on existing mechanisms in the global bureaus.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

No.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Not at all.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

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Divider Title: _____

DEPARTMENT OF STATE
Office of the Legal Adviser (L)

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS

Introduction

A. Define your relationship to nonprofits-in what ways does your agency/bureau interact with non-profit organizations?

The Office of the Legal Adviser has regular contact with the American Society of International Law , and the American Bar Association, Section on International Law and Practice. We also interact with nonprofits on an intermittent and frequently indirect basis. This typically may be in the context of international negotiations.

On occasion, we provide information (by fax or phone) concerning treaties and other international agreements (for which the U.S. is depositary and otherwise) to various organizations, which request information on the status of a particular agreement(s). We assume that a number of these organizations are nonprofits. We also have an arrangement with the non-profit American Society of International Law (ASIL) to whom we provide quarterly updates on relevant treaty related actions by the United States. In many cases these updates are published in ASIL's International Legal Materials (ILM).

Technical Assistance/Training

A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

L attorneys occasionally serve, in their private capacity, in leadership positions with professional legal associations and may help to organize meetings and are frequently asked to participate as speakers at such meetings. Aside from answering general inquiries, we do not provide nonprofits with any technical assistance or training.

B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Participation is by L attorneys on an individual basis.

C. What types of technical assistance or training are not currently being provided but should be?

N/A

D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

N/A

Relationship With Non-profits

A. What types of services do non-profits that you partner with provide (health, human services)?

ASIL and ABA, Section on International Law are professional associations for lawyers. They provide professional development and training, issues advocacy, and other services.

B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

The Federal Advisory Committee Act provides one vehicle for soliciting and considering the views of nonprofits and other entities in the achievement of the goals of the Department. L has an advisory committee on Private International Law. We also participate infrequently in briefings by and for nonprofit organizations.

C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

N/A

Public Policy

A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

We consult closely with nonprofits as well as with other profit organizations and businesses in the private sector about U.S. policies and goals in the development and unification of private international law governing family relationships, children's issues, commercial law, and judicial cooperation.

We also have occasional contact with a variety of nonprofits on specific legal issues (e.g., whether amendments should be made to the Foreign Sovereign Immunities Act).

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

A nearly decade-long collaboration on the development of an international treaty governing standards for intercountry adoption is presently nearing completion. The Hague Convention on Intercountry Adoption was negotiated in close cooperation with a large number of non-profit organizations. Senate Advice and Consent to ratification and detailed implementing legislation are currently working their way through Congress with the strong support of these non-profit organizations.

C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

The Department's legal views may be quite different than those of ASIL or the ABA, based on different constituencies with different interests in the particular issue.

The bureaucratization and awkwardness caused by the Federal Advisory Committee Act can make fast and effective communication difficult in some instances. Some agencies fear being candid with the federal government for fear their communications will be subject to Freedom of Information Act requests. The Anti-Lobbying Act can have a severe chilling effect on efforts to coordinate common legislative goals.

D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

N/A

Foundations

A. Do you have a working relationship with foundations or other private donors?

N/A

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

N/A

C. If not, what are the barriers to developing a working relationship with foundations

and other donors?

N/A

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

N/A

Resources

A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services -- if possible give amounts)?

Upon request, we provide the public, including the nonprofit community, with information on the status of treaties and other international agreements. This includes distribution, upon request, of the annual volume entitled Treaties in Force, which is an official publication of the Department of State. Separately, as noted above, we regularly update ASIL on current treaty actions, including the dissemination of treaty-related materials for publication in ILM.

C. How can nonprofits find out about the resources you make available to them?

Information on the status of various treaties and international agreements is made available to the public, including the nonprofit community, upon request. We have no formal outreach program to inform the public (including nonprofits) of the resources available to them. General developments in U.S. Treaty practice are disseminated through L's relationship with ASIL, including publication of relevant treaty-related materials in ILM.

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-1 22, Circular A123)? If so, what are these?

No.

D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

None.

Communication

A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Collectively, our attorneys, in their personal capacity, are active in professional organizations and conferences and thereby bring to their attention ongoing projects.

As noted above, we also communicate with ASIL/ILM on at least a quarterly basis regarding current developments in U.S. Treaty Practice. In addition, we provide information on treaties and other international agreements to nonprofits upon request.

In addition, we hold regular public meetings of the Secretary of State's Advisory Committee on Private International Law, and organize Study Groups of the Advisory Committee to focus on particular projects. Such meetings are always posted in the Federal Register and we keep a regular mailing list for direct notifications..

B. Does your web site provide information specifically for nonprofits to use? No. If so,

what are some examples of how your web site responds to nonprofit needs? *N/A* Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

N/A

D. What changes would you suggest to improve communications with nonprofits?

None.

Competition

A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

L does not have any role in requiring nonprofit participation in the delivery of services.

B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

N/A

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Divider Title: _____

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS DEPARTMENT OF STATE—BUREAU OF NEAR EASTERN AFFAIRS (NEA)

Introduction

The Bureau of Near Eastern Affairs (NEA) of the Department of State manages a portfolio of security, political, economic and democracy initiatives in a region of vast political and strategic importance yet chronic instability. NEA works with nonprofits—both domestic and overseas—towards achieving regional stability in primarily four areas: promoting Arab-Israeli reconciliation through multilateral working groups focused on economic development, refugees, arms control, and water and environment issues; advancing democratic processes, women's rights, and the rule of law; building support for regime change in Iraq; and, increasing technical cooperation among Israeli and Arab experts on topics of mutual interest. The relationship with the nonprofits is cemented in the form of contracts and grants specifying project particulars.

Technical Assistance/Training

The majority of nonprofits that NEA deals with are subject matter experts and well-versed in USG contract and grant regulations; hence they require little or no substantive technical assistance. However in implementing the 1999 Iraq Liberation Act (goal: regime change), NEA has been working with largely inexperienced nonprofits and has devoted significant time and resources to infrastructure building and support. These new nonprofits need detailed information and protracted contact with NEA on all aspects of grants/contracts administration: how to write a Statement of Work; how to establish realistic performance timelines and performance measurements; how to construct a budget; what a response financial and program report should look like; what constitutes a grant/contract relationship (i.e., mutual expectations); the drawdown process, etc.

Relationship With Non-profits

Nonprofits are critical allies in implementing Department of State policies in the region in the four program areas cited above. Recent examples of activities carried out by nonprofits include:

- agricultural projects focused on increasing productivity of livestock and crops;
- organizing and chairing workshops and military-to-military contacts covering issues such as maritime peacekeeping, seismic monitoring, arms control and nonproliferation—thereby promoting regional peace and security;
- promoting job development for Palestinian refugees through seminars, visitor exchange programs, vocational education training;
- fostering economic development by establishing tourism and destination management programs in universities in the Near East;

- modernizing legal codes and training judges/court officials in the region in the administration of justice, anti-corruption, and protection of human and private property rights;
- supporting a regional women's initiative to enhance women's legal literacy;
- establishing medical research clinics in Northern Iraq to assess the effects of chemical and biological weapons attacks on the population and the environment;
- publicizing Iraq's abusive human rights record through efforts to establish a body of evidence including documentary and video archives as well as witness statements. These efforts will be the basis for creating a commission of experts or an international war crimes tribunal.

Foundations

NEA usually fully funds the grantee and does not seek supplemental funding from foundations and private donors. The exception has been activities carried by the regime change grantees, wherein they—not the USG—are encouraged to secure outside funding, and in some cases, participate in match grants.

Resources

Grants are the preferred instrument for working with nonprofits, as complemented by in-kind services in the form of grants administration guidance offered by the Department, and in certain cases, by the implementing agency overseas, USAID. On a case-by-case basis, grants administration guidance has also extended to helping nonprofits understand the terms of and comply with varied OMB Circulars and related administrative requirements. In collaborating with new nonprofits on regime change activities, NEA has contracted with varied accounting firms to provide nuts and bolts technical training. In FY99, NEA received \$14.5 million in Congressional appropriations for projects largely executed by nonprofits—with appropriations increasing to \$30 million in FY00, again with the major share going to nonprofits for program execution.

Communication

Reciprocal contact between the Department and nonprofits is maintained by a combination of e-mail, fax, postal mailings, web sites, and in-person meetings. All nonprofits working on regime change programs have web sites. For the same activity, the Department participates in an e-mail list serve on the former USIA web page (i.e., interested parties can add their address to the list to receive mailings). At this time, NEA does not participate in the Nonprofit Gateway web site.

Competition

Only the regime change program has attached to it a Congressional requirement that the Department work with a specific nonprofit service delivery. NEA relies on nonprofits for service delivery in the four identified program areas.

To date, NEA has not shifted any recurring programs from nonprofits to for-profits contractors.

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Divider Title: _____

**Response to
White House Survey of Federal Agencies' Relationships with
Nonprofits and Government**

U.S. DOS

Bureau of Oceans, and International Environmental and Scientific
Affairs

Introduction

A. *Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?*

OES offices maintain an active relationship primarily with non-governmental organizations involved in environmental, science, technology, and health issues (E/NGOs), not all of which are non-profit. This consists of discussions, informational exchanges, and formal, public sessions announced in the Federal Register. E/NGOs aid the Bureau in developing positions on policy issues and preparing for negotiations. Occasionally E/NGOs can function as advisors to US delegations at international meetings, such as conferences of the UN Framework Convention on Climate Change and the Intergovernmental Panel on Climate Change.

Technical Assistance/Training

A-D. Not applicable. No offices within OES provide technical assistance or training to non-profits.

Relationships With Non-profits

A. Not applicable. E/NGOs are not typically service organizations.
B. *Are there any model relationships that are particularly effective in achieving the critical goals of your bureau?*

OES works closely with E/NGOs before major negotiations to develop policy and solicit feedback on negotiating positions. Pursuing these close lines of communication has proven to be a valuable experience that ensures US policy adequately addresses the full range of public concerns. These relationships with E/NGOs have also resulted in a reciprocal flow of information regarding future events, new environmental issues, and the efficacy of US policy.

In addition to NGO outreach activities related to specific negotiations, OES arranges for E/NGOs to meet with our Assistant Secretary or the Under Secretary for Global Affairs to discuss emerging issues or on-going concerns.

C. *Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?*

Opposition to US policy positions was cited as the major obstacle to better cooperation between OES and the NGOs, but this is understood by both sides to be largely a result of institutional perspectives. In fact, this opposition has given the impetus to encourage dialogue rather than suppress it.

Due to the policy-oriented nature of OES, the "leaking" of conversations between officials and NGOs to the media has threatened to reduce candor, but so far these transgressions have been relatively minor.

Foundations

A-D. Not applicable. OES works primarily with non- or not-for-profit E/NGOs.

Resources

A-D. Not applicable. OES does not provide grants, services, or training.

Public Policy

A-B. *Do you have a working relationship with nonprofits when it comes to developing public policy (e.g. regulatory and budgetary matters)?*

All OES offices work closely with the most relevant and active NGOs in their field. As described above, exchanges of information are usually meetings and de-briefings following major negotiations. The utility of these meetings is twofold: NGOs are assured that our positions are informed and transparent in their delivery, and lead negotiators directly involved in policy-making receive input from non-profits.

C. Not applicable. Developing effective working relationships with non-profits on public policy matters is a key concern.

- D. No means of improving participation with NGOs was apparent because of the necessarily close working relationship which exists between OES and NGOs.

Communication

- A. *How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?*

Ad hoc, informal dialogues through telephone calls, emails and faxes are the most common means of communication. Meetings between NGOs and the relevant official occur, but are far less frequent. Formal lines of communication are accomplished through notices published in the Federal Register.

- B. *Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your bureau participate in the Nonprofit Gateway (<http://www.nonprofit.gov>)? If so, what types of resources does it take to keep information current?*

OES maintains a web site with information regarding negotiations on environment, science, technology, and health issues as well as policy information for public consumption. While NGOs are not specifically targeted (with the exception of Federal Register notices), they benefit from press releases and other material available on the site. The OES site is available through the State Department link on www.nonprofit.gov.

- C. *What changes would you suggest to improve communications with nonprofits?*

Because email is the most popular means of communication between NGOs and OES, offices have made a conscious effort to gather and update email addresses for members of the NGO community. A central database of government and NGO contacts and email addresses, kept updated, would be a valuable resource.

Competition

- A. Not applicable. OES is not a service-providing bureau.
B. Not applicable.

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Divider Title: _____

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF PERSONNEL, OFFICE OF CAREER
DEVELOPMENT AND ASSIGNMENTS (PER/CDA)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

PER/CDA's (Bureau of Personnel, Office of Career Development and Assignments) interaction with nonprofits is by assigning a limited number of Foreign Service officers each year on detail to nonprofits, generally on a non-reimbursable detail. In February 1999 we had 24 individuals on detail to non-governmental organizations. Of these, 12 were diplomats-in-residence at universities throughout the United States. Five non-reimbursable details were made to NGOs that focus on global issues. The particular NGOs selected each year for these details may change. 7 additional detailees work each year, again largely non-reimbursable, at organizations such as Export-Import Bank, National Democratic Institute, Pan American Development Foundation, African Development Foundation and the United Nations Relief and Works Agency (UNRWA).

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Not applicable.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

Diplomats in residence are located at universities; the non-reimbursable details at other NGOs involve organizations with a focus on global issues (environment, population, migration, human rights, etc.), economic development in the international arena, or the furtherance of democratic values.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

In each instance, we provide a single officer on detail, selected because of his/her overseas expertise in the work of the organization.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

Given the limited linkage between PER/CDA and non-profits, we are not able to identify obstacles that hinder more effective relationships between federal agencies and nonprofits.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

Not applicable.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

A. Do you have a working relationship with foundations or other private donors?

Other than detailing individual staff from time to time, we have no working relationship with foundations.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

We provide individual Foreign Service Officers on non-reimbursable detail.

B. How can nonprofits find out about the resources you make available to them?

An office in PER/CD/SL, the Office of Career Development and Training (CDT) is the locus of information about detailing Foreign Service employees, and can provide information of NGOs anxious to explore the possibility of receiving a detailee.

C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

Not applicable.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Information on our detail program is available through the annual publication of a brochure, and through private written and phone communication with NGOs anxious to explore the possibility of receiving a detailee from the Department of State.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

The web site is not used extensively for this modest program.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Unknown.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF PERSONNEL, OFFICE OF CIVIL SERVICE
PERSONNEL MANAGEMENT (PER/CSP)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

PER/CSP (Bureau of Personnel, Office of Civil Service Personnel Management) interacts with nonprofit organizations in connection with the Welfare to Work Initiative. The organizations provide candidates for our hiring efforts and some provide support to individuals we have hired as they make the transitions from welfare to world of work.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

PER/CSP provides informational training on the Federal employment process so that the job developers and job coaches in the organizations better understand the process and can better advise their clients. We also provide guidance on how to prepare an application for Federal employment so the job coaches can advise their clients and improve their chances of being found among the Best Qualified.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Personnel Management Specialists, usually the Welfare to Work Program Manager, provide these information briefings. Thorough knowledge of the subject matter and strong oral communication skills are characteristics necessary for success.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

The organizations provide human services, job skills and job readiness training, placement assistance, and support for new hires. Their clients are receiving unemployment compensation and welfare benefits. Some also provide additional support and guidance such as legal aid or financial management advice.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

We have very successful relationships with ConServe, Inc. and SOME (So Others May Eat).

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

Because the Welfare to Work Initiative did not provide any special hiring authority, CSP cannot accept referrals directly from nonprofit organizations. Their clients must apply through competitive examining procedures and be selected from among the best-qualified candidates.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

None.

- B. How can nonprofits find out about the resources you make available to them?

Not applicable.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

Not applicable.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

The Welfare to Work Program Manager has regular telephone contact with the nonprofits with whom we routinely interact. We advise them by telephone and fax when we are preparing to announce positions of interest to their clients.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

No. The purpose of our web site is to provide information on available jobs and application procedures to all potential applicants. We are not aware that CSP participates in the Nonprofit Gateway.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Not applicable.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE—BUREAU OF PERSONNEL, FAMILY LIAISON OFFICE
(M/DGP/FLO)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

M/DGP/FLO (Bureau of Personnel, Family Liaison Office). The Family Liaison Office Director, Education and Youth Officer and Program Assistant alternate attendance at advisory board meetings for the Foreign Service Youth Foundation (FSYF), a private nonprofit organization in support of projects that improve the quality of life, adjustment to life overseas and repatriation for Foreign Service youth.

The Family Liaison Office also has liaison with the AAFSW (Association of the Foreign Service Worldwide), formerly Association of American Foreign Service Women. AAFSW is a nonprofit organization that can lobby Congress on matters of importance to the Foreign Service community. They maintain an online chat room dealing with relocation and repatriation issues which is a service not only to the Foreign Service Community but also to anyone moving internationally.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

FSYF: FLO assists by working with the advising board, supporting programming, supervising monthly Newsletter meetings for youth, printing and assisting in distribution of the Newsletter. AAFSW: Director or Deputy often attends monthly board meetings to keep membership informed of FLO advocacy agenda and to hear issues.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

FSYF: FLO staff members, Education and Youth Officer, Program Assistant, Director have assisted board in defining its role and tasks in support Foreign Service Youth that lie outside direct FLO involvement. AAFSW: none.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

FSYF: Provides support during transition to Foreign Service Youth, and parent education programs on raising internationally mobile children. AAFSW: Provides support during evacuations to employees and family members safe-havened in the Washington area. AAFSW volunteers meet evacuees at the airport and provide ongoing support during the evacuation. AAFSW provides interest and support groups for employees and family members relocating to the Washington area, and support for many retired and widowed spouses. AAFSW also sponsors a group for former Community Liaison Office Coordinators in Washington and offers support to FLO during local conference and training sessions for current CLO Coordinators. AAFSW's fundraising efforts support many local charities.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

Both AAFSW and FSYF are supporting interest groups that mirror FLO's client base.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

No.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

No.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

Not applicable.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

Yes.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

The Department of State benefits from liaison with both AAFSW and FSYP because both organizations can raise money and support activities that FLO could not. Examples: selection of Youth Award winner, publication projects. The relationship works well when roles are clear.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

Primarily FLO helps by publicizing the services of FSYP and AAFSW to the Foreign Service Community at home and abroad.

- B. How can nonprofits find out about the resources you make available to them?

Not applicable.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

Not applicable.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Not applicable.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

Not applicable.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Not applicable.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

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Divider Title: _____

SURVEY QUESTIONS FOR FEDERAL DEPARTMENTS/AGENCIES/BUREAUS
DEPARTMENT OF STATE--BUREAU OF PUBLIC AFFAIRS (PA)

Introduction

- A. Define your relationship to nonprofits—in what ways does your agency/bureau interact with non-profit organizations?

The Bureau of Public Affairs (PA) establishes and maintains relationships with key leaders of non-governmental organizations. As part of that effort, the Bureau of Public Affairs develops special “issues” briefings/seminars for NGO groups to provide an opportunity for dialogue with the Secretary of State and senior Department policymakers, and to build greater support/awareness of US policy positions. The bureau also works with NGOs to keep them apprised of our work and/or to enlist their support for our policies.

Technical Assistance/Training

- A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Not applicable.

- B. Who provides the assistance? Provide some examples of technical assistance providers who your agency/bureau views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Not applicable.

- C. What types of technical assistance or training are not currently being provided but should be?

Not applicable.

- D. If applicable, list other ways your bureau improves the efficacy of the non-profit organizations it works with?

Not applicable.

Relationship With Non-profits

- A. What types of services do non-profits that you partner with provide (health, human serves)?

As a collaborative effort, NGO leaders are invited to participate in the Department's Town Meetings by either providing a speaker or co-sponsoring the event. Also, annually, the Department develops an agenda with core member of key NGO organizations for a daylong national foreign policy program for representatives across the country.

- B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency/bureau?

The Bureau of Public Affairs' monthly briefing series provides a forum for Washington-based representatives to discuss foreign policy concerns and issues as well as share information with Department officials. As a courtesy, the bureau also invites NGO representatives to special press briefings conducted by the Secretary of State and other senior officials.

- C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and nonprofits?

No.

Public Policy

- A. Do you have a working relationship with nonprofits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

Although regulations prevent advocating of policies to NGOs, Public Affairs does work with these nonprofits to keep them informed of key foreign policy issues.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with nonprofits on public policy matters?

None known.

- D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing public policy?

Not applicable.

Foundations

- A. Do you have a working relationship with foundations or other private donors?

Not applicable.

- B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Not applicable.

- C. If not, what are the barriers to developing a working relationship with foundations and other donors?

Not applicable.

- D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

Not applicable.

Resources

- A. What resources do you provide to the nonprofit community (e.g., grants, in-kind services—if possible give amounts)?

Resources are made available to nonprofits, primarily through mass mailings of Department of State speeches, fact sheets, brochures and graphics/charts. NGO representatives can learn about these resources through the Department's NGO Coordinator and its monthly briefing series.

- B. How can nonprofits find out about the resources you make available to them?

See above.

- C. Do you provide any support services to help nonprofits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-123)? If so, what are these?

Not applicable.

- D. What steps is the bureau taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regards to streamlining grant applications and reporting requirements?

Not applicable.

Communication

- A. How do you reach nonprofits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

Reciprocal contact between the Department of State and nonprofits is maintained by a combination of e-mail, fax, postal mailings and in-person meetings. The bimonthly meetings held with key NGO leadership, is necessary for program development and planning, staying in tuned with their foreign policy concerns, as well as getting out the Department's message.

- B. Does your web site provide information specifically for nonprofits to use? If so, what are some examples of how your web site responds to nonprofit needs? Does your department/agency/bureau participate in the Nonprofit Gateway <http://www.nonprofit.gov>? If so, what types of resources does it take to keep information current?

The Department of State's web site is one of the most user friendly. The information posted is a valuable tool for NGOs to reference and distribute among their members. Through it, nonprofits can obtain the most current speeches/press releases by key Department speakers, fact sheets, and figures on pertinent foreign policy issues.

- C. What changes would you suggest to improve communications with nonprofits?

None.

Competition

- A. To what extent does the department/agency/bureau require nonprofit participation in the delivery of services?

Not applicable.

- B. Please provide examples of contracts/grants/services that your agency/bureau formerly provided through nonprofit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

Not applicable.

SURVEY ON THE ROLE OF NONPROFIT ORGANIZATIONS IN THE WORK OF THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

Introduction

The U.S. Agency for International Development (USAID) has a strong and productive relationship with nonprofit organizations, including U.S.-based private voluntary organizations, nongovernmental organizations, cooperatives, and universities. The relationship is based on the premise that nonprofit organizations, by virtue of the American values they represent, have a vital role in U.S. foreign assistance activities. The Agency interacts with these organizations on a variety of levels, from consultation in the formulation of policies and programs to delivery and assessment of development and humanitarian assistance. A significant portion of development assistance funds - approximately half of the total estimated cost of grants and contracts awarded each year - is channeled through nonprofits. In many cases, nonprofits are the sole implementers of USAID programs in the field. USAID also supports the development of indigenous nongovernmental organizations to encourage the growth of civil society and to help ensure a sustainable base for locally financed development.

USAID interacts with nonprofit organizations in at least five major ways:

- Nonprofits implement USAID development and humanitarian relief programs. As an important subset of the broader USAID partner community (which also includes for-profit contractors, higher education institutions, and local NGOs and institutions), nonprofits implement a sizeable portion of the USAID portfolio in all development sectors.
- Strengthening local nonprofits is a primary focus and/or outcome of many USAID programs. Over the past decade, increased understanding of the role of civil society in development has elevated capacity-building of the nonprofit sector to new operational prominence. USAID interventions target capacities in the areas of nonprofit governance and organizational development, technical expertise and service delivery, and networking and advocacy as “constituencies for reform.”
- Nonprofits help inform USAID strategies and operations as key interlocutors in the strategy development process and as appointed advisors to the Administrator. As required by GPRA and because it is good development practice, USAID consults broadly with nonprofits in developing its goals, strategic objectives and indicators. Nonprofits serve on expanded Strategic Objective teams, as well as on various working groups focused on Agency programs and policies. In addition, through the Advisory Committee on Voluntary Foreign Aid, development experts affiliated with (but not representing) nonprofits are appointed to help advance the Agency’s partnership with the private voluntary community.

- Nonprofits form a core constituency for foreign assistance, and are vital USAID partners in domestic outreach. With their links to millions of Americans via extensive networks of donors, members and supporters, nonprofits help USAID communicate the importance of foreign assistance to the American public.
- Nonprofits are increasingly active players in the international fora in which USAID participates (e.g., the United Nations conferences on population, environment, social development, women, etc.). Both in parallel NGO fora and as members of official U.S. delegations, nonprofits advance positions that are reflected in conference Programmes of Action, which ultimately affect USAID strategies and programs.

USAID maintains a formal relationship with nonprofits through the Advisory Committee on Voluntary Foreign Aid (ACVFA), a federally chartered advisory body of private citizens that provides advice to the USAID Administrator on matters affecting the role of private voluntary organizations in development and humanitarian assistance.

USAID's Office of Private and Voluntary Cooperation within the Bureau for Humanitarian Response registers U.S. private voluntary organizations, certifying that they qualify for funding and monitoring the level of private contributions they maintain.

Technical Assistance/Training

The provision of technical assistance and training is an important component of USAID programs that are geared to developing local institutional and service delivery capacity. Local nongovernmental organizations receive technical assistance and training in organizational development, managerial skills, financial accountability and sustainability, and operational (service delivery) capacity. In many cases, U.S.-based nonprofits that have successfully designed and transferred their own organizational development models deliver this type of technical assistance. In 1999, for example, the PVO Child Survival Grant Program of USAID supported 29 PVOs with 72 projects in 32 countries, for a total life-of-program portfolio of \$65 million. These programs achieved significant community-level impact in the areas of immunization and use of oral rehydration therapy for children with diarrhea, reaching more than 850,000 mothers and children under five.

Through a variety of programs, USAID provides training for host country individuals employed in public and private entities to develop their leadership and technical skills and enhance their professional performance. USAID's Office of Private and Voluntary Cooperation and Office of Food for Peace provide resources to U.S.-based PVOs to strengthen their capacity to carry out effective development and humanitarian programs overseas. These resources may be used for management support and other organizational development needs.

Building the capacity of nonprofits in the developing world is an important goal of USAID. USAID sponsors a program entitled NGO Networks for Health, which is an innovative five-year global health partnership created to meet the burgeoning demand for quality family planning, reproductive health, child survival and HIV/AIDS information and services

around the world. Partners include ADRA (Adventist Development and Relief Agency), CARE, PLAN International, PATH (Program for Appropriate Technology in Health), and Save the Children/US. The partnership serves as an exciting vehicle to test and inform new models of partnership development, by upgrading the technical capacity of partner organizations, and documenting and disseminating project experiences.

The Agency uses several technical assistance and training techniques, from intensive, long-term on-site relationships to distance learning and Internet-based communications. The Center for Development Information and Evaluation in the Bureau for Policy and Program Coordination compiles information on successful models and providers.

1. Examples of technical assistance for program delivery include:

- MACRO International's Child Survival Technical Support contract to nonprofit grantees implementing the Office of Private and Voluntary Cooperation (BHR/PVC's) Child Survival Grants. This technical assistance includes the latest advances in the standard child survival interventions; assistance on monitoring and evaluation; and methodologies for enhancing local partner delivery of services.
- SEEP (Small Enterprise Employment Promotion Network), a USAID supported coalition of microenterprise practitioners, whose publications and meetings help to inculcate and advance best practices in microenterprise lending.
- Disaster training programs offered to humanitarian nonprofits by the USAID Office of Foreign Disaster Assistance.

2. Examples of technical assistance for organizational development, management and resource mobilization include:

- The Global Excellence in Management Initiative (GEM), a USAID-funded capacity-building program with the Case Western Reserve University's Weatherhead School of Management. GEM provides management training and consulting services to USAID nonprofit partners (both U.S. nonprofits and local NGOs).
- Sustainable Development Services (SDS), a USAID-funded initiative to help nonprofits adopt more business-like procedures. SDS helps nonprofits understand and develop cost recovery strategies (e.g., fee for service) across development sectors.

3. Examples of training on Agency policies and procedures include:

- The Reaching 4 Results training for Agency staff, in which partners also participated. It is expected that the computer-based training now being developed for Agency managers will also be made available to nonprofits.

- Monthly Partnership briefings convened by the Bureau for Legislative and Public Affairs on such topics as use of the Partner Resource page on the USAID website; the Role of the Procurement Ombudsman; the Agency's Results Review and Resource Request process.
- Periodic briefings arranged by the Bureau for Legislative and Public Affairs at InterAction, the coalition of U.S. development nonprofits, regarding USAID policies and procedures.

Relationship with Nonprofits

Nonprofit organizations play a critical role in achieving USAID's development and humanitarian goals. Recognizing the values that nonprofits bring to development work, the Agency strives for a mutually productive partnership with these organizations. The Agency works actively, through mechanisms such as ACVFA and the Office of the Procurement Ombudsman, to implement "nonprofit friendly" policies and procedures and to address constraints to the relationship.

Examples of successful public-private partnerships with nonprofits are increasing throughout USAID's programs in every sector and region, from housing in Eastern and Central Europe to Vitamin A distribution in Asia. USAID has also developed new initiatives to facilitate partnerships between nonprofits and the private sector.

One of USAID's most effective partnerships over the years has been with Rotary International and other NGOs in a common effort to eradicate polio. A decade ago, there were an estimated 350,000 cases of polio and the disease was found in more than 130 countries. In 1996 the Global Polio Eradication Initiative was launched, dedicated to the goal of interrupting poliovirus transmission by 2000. Once polio is eradicated, global savings can equal more than \$1.5 billion each year. By 1998, there were fewer than 6,000 reported polio cases, and polio remains endemic in only 30 countries. There is no question that we would not have seen such dramatic results without the unprecedented size and strength of this partnership.

Another example is CARE International, one of the world's largest private relief and development agencies which prior to 1990 had virtually no family planning activities. Through an eight-year partnership with USAID, CARE institutionalized family planning within its programs. With a portfolio of 59 family planning and reproductive health projects in 32 countries and a committed core of family planning professional staff, CARE now provides information and/or services to 4 million couples who might otherwise not have had access to these services.

There are a number of obstacles or potential irritants in our relationships. For example, a number of our nonprofit partners have expressed concern that the Government Performance and Results Act has placed excessive emphasis on quick quantitative results and undervalued longer-term qualitative results. These nonprofits believe that USAID is

increasingly using contracts (as opposed to grants) and working with for-profit organizations as a consequence of the new "managing for results" culture. While this is not the case, we take the perceptions seriously and are working to dispel them.

Other obstacles and/or irritants include:

- Different organizational ethos, mission, and culture. These fundamental differences underlie many of the tensions that exist in our relationship.
- Increased competition due to a combination of factors: budget cuts; more nonprofits competing for fewer resources; strategic planning outcomes that reduce program portfolios in some countries at the disadvantage of certain sector-specific nonprofits; increasing capacity and competitiveness of local NGOs; apparent trend toward larger awards (if not toward acquisition, on which the data is still pending), resulting in fewer nonprofit awardees.

Public Policy

USAID has a longstanding commitment, originating with the establishment of ACVFA in 1946, to ensure that nongovernmental organizations play a significant role in foreign policy related to development and humanitarian assistance. This commitment has only increased in recent years as the Agency has reengineered its policies and practices under the Government Performance and Results Act of 1993 and the National Performance Review to become customer focused and grounded in public participation. The Agency supports many fora for nonprofit participation, including:

- quarterly ACVFA public meetings,
- bi-monthly partner briefings sponsored by the Bureau for Legislative and Public Affairs,
- town meetings held throughout the country by the Office of Procurement,
- annual Partnership Conferences sponsored by regional bureaus, the Bureau for Humanitarian Response, and the Global Bureau, and
- formal and informal meetings held regularly with nonprofit associations such as InterAction, the Association Liaison Office for University Cooperation in Development, and the Overseas Cooperative Development Council.

ACVFA provides a very successful model of constructive collaboration with the nongovernmental community for advice on public policy related to foreign assistance.

Foundations

USAID has longstanding cooperative relationships with foundations. Efforts at cooperation have increased in recognition of the opportunities created by the growing number of foundations (Gates, Soros, Packard, MacArthur, Rockefeller, and the United Nations Foundation, to name just a few) that are channeling enormous resources to global

development problems. US foundations are now providing more resources for health activities in the developing world than is USAID. Foundations are represented on ACVFA through individuals who serve on the Committee.

Resources

USAID provides financial resources to nonprofits in the form of grants, contracts for services, and cooperative agreements, most of which are awarded competitively; USAID occasionally provides property (resources in kind) as well.

How can nonprofits find out about resources available to them?

The Procurement page on the USAID website lists nearly all RFAs and RFPs; there are bidders conferences held by various missions and bureaus; the new practice of posting DRAFT solicitations for comment is receiving a positive response from nonprofits and other partners; and increased use of the Annual Program Statement also provides nonprofits with information on program parameters, if not specific budgets. In addition, annual Partnership Briefings on the USAID Budget and on USAID Appropriations help inform nonprofits about potential funding levels by sector and geographic region.

Improved communications

USAID is constantly challenged to reach nonprofits "beyond the beltway," and to engage them in program consultation as well as public outreach. Notwithstanding budgetary constraints, expanded communication with our partners and other nonprofits beyond the mid-Atlantic region is a high priority for USAID. Other areas for improvement include: joint training on new policies and procedures; initiating consultation further "upstream" in the strategy development process; and debriefing unsuccessful funding applicants in order both to improve future applications and to expand their understanding of USAID priorities.

USAID maintains a steady flow of information to nonprofits, through various communication media. This includes:

- Monthly Partnership Briefings on Agency-wide issues as described above, on topics ranging from the Agency Strategic Plan to Acquisition and Assistance, to Managing for Results, to an upcoming briefing on new USAID Policy Guidance on Non-Presence Programming.
- Partnership meetings held annually by USAID/Washington bureaus
- Partnership meetings held periodically by USAID field missions
- Briefings convened or co-sponsored with InterAction, the Society for International Development, the Overseas Development Council, the U.S. Institute of Peace, the Wilson Center, and sector-specific nonprofits

- Events on Capitol Hill that feature the USAID-nonprofit partnership in such areas as Humanitarian Response, Vitamin A, Microenterprise, etc.
- Expanded use of the USAID website, which includes substantial information resources in a special Partner section.
- Expanded circulation of USAID's monthly magazine, "Front Lines" to over 500 U.S. nonprofits
- Placement of articles and interviews in nonprofits' magazines and communications media
- Extensive personal meetings with nonprofits and placement of USAID senior and program staff as speakers at nonprofit conferences
- Use of the Lessons Without Borders conferences around the United States to link international development nonprofits with their colleagues working on similar challenges here at home

The Bureau for Legislative and Public Affairs provides information resources through the Agency's website (www.info.usaid.gov), publications, speeches, brochures, fact sheets, and graphics/charts, that can be accessed electronically, at public fora, and through mass mailings. This information is supplemented by similar information produced by individual Agency offices. For example, the Office of Private and Voluntary Cooperation produces the annual compendium, "Report of American Voluntary Agencies Engaged in Overseas Relief and Development Registered with the U.S. Agency for International Development" (copy attached).

USAID provides full and open access to the resources of the USAID Library and historical documentation. Agency partners make heavy use the specialized knowledge base of the USAID Library to strengthen their efforts and plan their activities. Also, through the on-line Development Experience Clearinghouse, agency partners have access to over 100,000 technical and programmatic documents representing past agency activities and best practices.

Through the USAID Information Center, nonprofits are given the opportunity to "speak" directly with the U.S. public by providing publications and other public affairs materials for distribution to a diverse audience. The Information Center also provides meeting and small conference space free of charge and exhibit space for longer-term public affairs efforts. For example, the USAID Information Center is currently hosting an exhibit by the World Council of Credit Unions and will, this summer, host an exhibit by Helen Keller International in honor of their 85th anniversary.

Competition

USAID ensures the participation of nonprofits in the Agency's programming through restricted eligibility criteria. For example, there are several USAID programs for which only registered Private Voluntary Organizations (PVOs) may compete. These include the Matching Grants, Child Survival, and Ocean Freight Reimbursement programs of USAID's Office of Private and Voluntary Cooperation. One of the criteria for USAID PVO registration is status as a 501(c)3 nonprofit organization. In addition to BHR/PVC, other operating units within USAID, including USAID missions, restrict certain portfolios to nonprofits, because of the unique skills and characteristics of these organizations, and because the Agency seeks to work with a variety of implementers on behalf of the American taxpayer.

USAID has support staff who deal with cost issues and with A-133 audit issues. Staff in these branches answer questions for nonprofit organizations, and from time to time they participate in training sessions. USAID has not yet determined to what extent the requirements for streamlining applications and reporting requirements apply to its programs, since its programs are not included in the Catalogue of Federal Domestic Assistance. We will be looking more closely at the issue.

USAID has a basic requirement for some cost-sharing from nonprofits which it supports. The amount of cost sharing is determined in each specific case, and the requirement can be waived. While USAID does not set aside a portion of all competitive procurements for nonprofits, its many Requests for Assistance and matching grant competitions are designed to minimize impediments to participation by nonprofits (e.g., requirements for matching can be met with matches in kind).

facsimile transmittal

To: Ms. Melanne Verveer Fax: 202.456-6244
From: Maxine Brown for Ryan Conroy Date: March 10, 2000
Re: Survey - NonProfits Pages: 10 (including this cover
CC:

☒ Urgent ☐ For Review ☐ Please Comment ☐ Please Reply ☐ Please Recycle

Notes:

Attached is an advance copy of USAID's reply to the January 21, 2000, tasking to Agencies for input into the survey questions for Federal Departments and Agencies.

Enclosures 2 and 3 will come with the hard copy, which we deliver by hand to the White House Mail Room in NEOB later today.

If you have any questions, please do not hesitate to contact me at 202.712.0700.

FAXED EARLIER





U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

March 10, 2000

The Administrator

Ms. Melanne Vermeer
Chief of Staff
Office of the First Lady
The White House

Dear Ms. Vermeer:

Melanne,

I am pleased to provide you with responses to the survey on our work with nonprofit organizations. As you will see, the U.S. Agency for International Development works extensively with nonprofits, and we value the important contribution that they make to our work.

In addition to the survey responses, I would like to share two publications, which will give you more detail on the extent of our involvement with nonprofit organizations. The first is the directory of organizations supported by USAID's Private and Voluntary Cooperation Office, entitled 2000 BHR/PVC Portfolio. The second is our 1999 report on USAID Child Survival and Disease Programs Fund Progress Report, programs in which nonprofits figure prominently.

I trust you will find the enclosed information of interest.

Sincerely,

Brady

J. Brady Anderson

Enclosures:

1. Survey on the Role of Nonprofit Organizations in the Work of the U.S. Agency for International Development
2. 2000 BHR/PVC Portfolio
3. 1999 Report on USAID Child Survival and Disease Programs Fund Progress Report

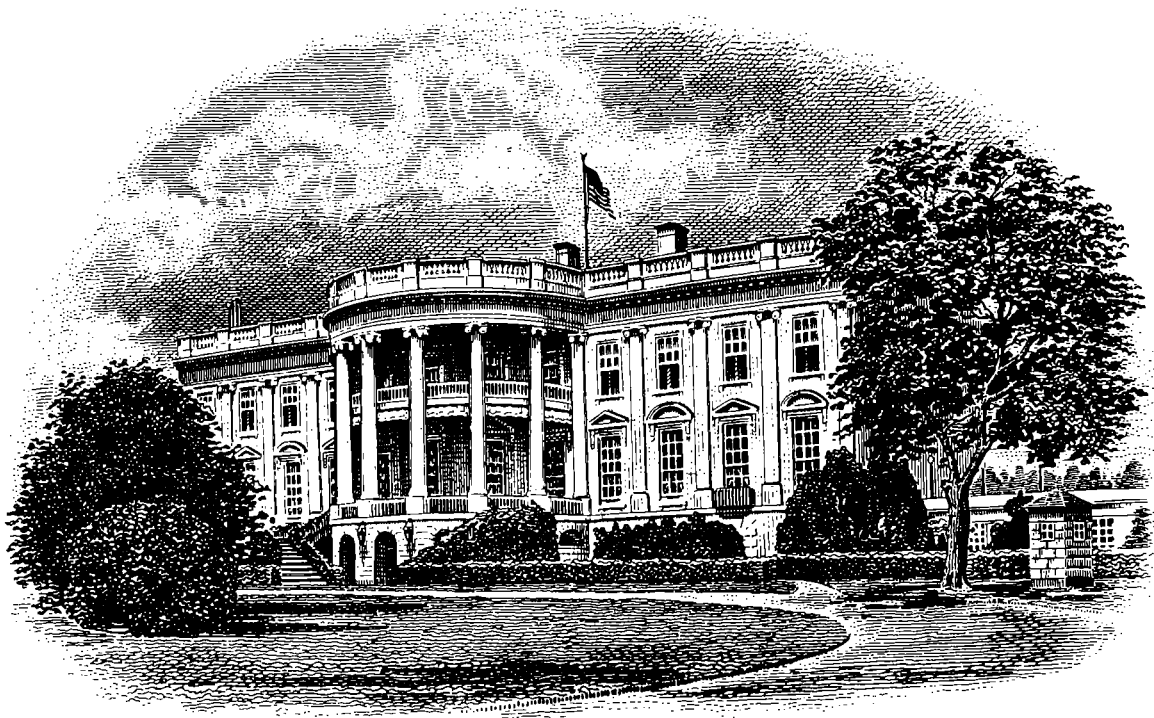
Clinton Presidential Records Digital Records Marker

This is not a presidential record. This is used as an administrative marker by the William J. Clinton Presidential Library Staff.

This marker identifies the place of a publication.

Publications have not been scanned in their entirety for the purpose of digitization. To see the full publication please search online or visit the Clinton Presidential Library's Research Room.

The White House Conference on Philanthropy



October 22, 1999