



UNITED STATES INSTITUTE OF PEACE

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GRANT PROGRAM

APPLICATION BOOKLET

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Attachment: Fall 2004 Solicited Grant Topics

SECTION I: GENERAL INFORMATION

Overview

The United States Institute of Peace is an independent, nonpartisan federal institution created by Congress to strengthen the nation's capacity to promote the peaceful management and resolution of international conflicts. Established by Congress in 1984, the Institute has its origins in the tradition of American statesmanship that seeks to limit international violence and to achieve a just peace based on freedom and human dignity.

The Institute meets its congressional mandate to expand available knowledge about ways to achieve a more peaceful world through an array of programs including a grant program, a research and studies program, a fellowship program, development of library resources, a variety of citizen education activities, and special initiatives. The Institute is governed by a board of directors appointed by the president of the United States and confirmed by the Senate.

The Grant Program

Through its two principal grantmaking components—Unsolicited Grants and Solicited Grants—the United States Institute of Peace provides funding for research, education and training projects, and for the dissemination of information on international peace and conflict resolution anywhere in the world. It does not support any aspect of graduate or undergraduate study. Unsolicited Grants are provided for any topics that fall within the Institute's broad mandate. Solicited Grants are awarded for special priority topics identified in advance by the Institute. A searchable database of previously funded projects is available on the Institute's web site at www.usip.org/grants.

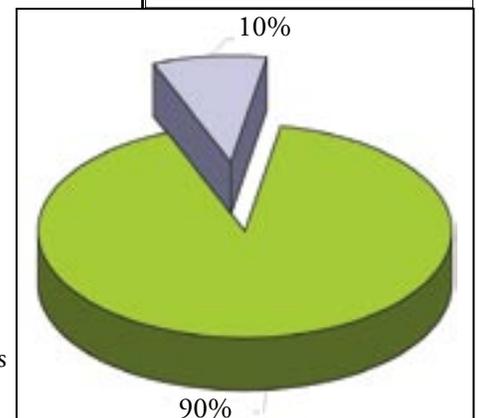
The Institute gives high priority to projects that are likely to generate findings interesting and accessible to policymakers and practitioners and that show promise of having a substantial impact on the field. Projects that appear likely to generate findings of broad relevance beyond the cases upon which they are based, and that focus on violent conflict, are also more likely to receive support. Counterfactual cases, however, also merit attention: reviewers frequently note the importance (and relative lack) of case studies about conflicts in which violence might have occurred, but did not. Conflicts in countries that do not typically attract much attention from the international community are also intrinsically interesting exactly because they are rarely studied and/or may hold answers to questions of significance in other parts of the world. Projects that result in findings made widely available to the public—through published writings, manuals or curricular materials, web sites, documentary films, and so forth—are more likely to be funded than those that do not.

Unsolicited Grants

Grants are available for any project that falls within the Institute's broad mandate of international conflict resolution. Unsolicited Grants are offered across a broad range of relevant disciplines, skills, and approaches. Topic areas of interest to the Institute include, but are not restricted to, the origins of conflict, the role played by religious, ethnic, economic, political, social, and environmental factors in generating or accelerating conflict within, between, or among states; international conflict management; diplomacy; negotiation theory; "Track Two"

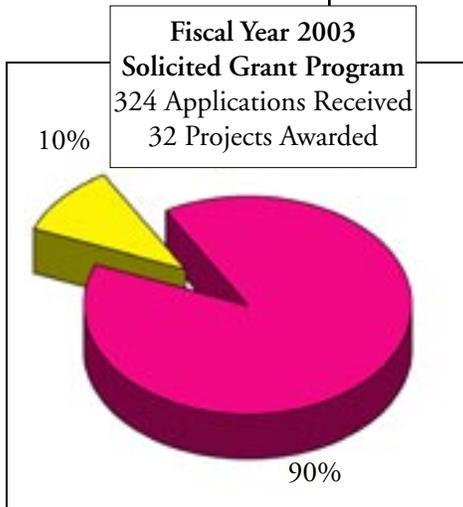
The United States Institute of Peace is an independent, nonpartisan federal institution.

Fiscal Year 2003
Unsolicited Grant Program
447 Applications Received
42 Projects Awarded



(unofficial) diplomacy; methods of third-party dispute settlement; international law; international organizations and collective security; deterrence and balance of power; arms control; psychological theories about international conflict; the role of nonviolence and nonviolent sanctions; moral and ethical thought about conflict and conflict management; the role of peacekeeping, humanitarian intervention, and postconflict peacebuilding; and theories about relationships among political institutions, human rights, and conflict. The Institute sets no disciplinary restrictions. It welcomes proposals of an interdisciplinary or multidisciplinary nature. Priority is accorded to projects that have practical applications and that may be useful for policymakers. If your project fits the current solicitation described in the enclosed insert, you must submit your application to the Solicited Grant program.

Solicited Grants



In addition to providing support for Unsolicited Grant projects, the Institute solicits proposals that focus attention on topics of special interest identified in advanced by the Institute. Only applications that address the topics of the current solicitation are eligible. Solicited Grant topics are announced twice a year, in May and November. The enclosed insert describes the current Solicited Grant topics.

The topics of previous Solicited Grant competitions remain of interest to the Institute. Proposals on these subjects are invited for submission to the Unsolicited Grant competitions. A list of previous Solicited Grant topics and brief descriptions of previously funded projects can be found at our web site: www.usip.org/grants.

Types of Projects Funded

The Institute supports research, education and training programs in the United States and around the world.

In both the Unsolicited and Solicited competitions, the Institute generally invites proposals for projects that will:

1. Carry out policy oriented research on the causes of war and other international conflicts; on the ways in which conflicts have been or can be prevented, contained, transformed, or terminated; and on the condition and character of peace among states and peoples.
2. Develop curricula and texts for high school through postgraduate study and conduct teacher training institutes, workshops, and seminars on the causes of war, the processes of peacebuilding, and the conditions of peace.
3. Conduct training, symposia, and continuing education programs for practitioners, policymakers, policy implementers, and the public that will develop their skills in conflict management and war avoidance.
4. Undertake public information efforts, including development of video and radio projects, speakers' programs, community forums, debates, and the creation of complementary print or audiovisual materials to enhance public awareness of peacebuilding and its complexities.

5. Increase information on international peace and conflict resolution and enhance access to this information through the strengthening of library resources, the development of bibliographic databases and indexes, and the expansion of cooperative efforts in resource sharing.

Eligibility Criteria

The Institute may provide grant support to nonprofit organizations, public institutions, and individuals—both U.S. and foreign—including the following: civil society organizations; institutions of secondary, postsecondary, and community education; public and private education, training, or research institutions; libraries; and public departments and agencies (including U.S. state and territorial departments of education and commerce). Government officials, whether U.S. or foreign, are not eligible to receive Institute funds. Other U.S. government employees should contact the Grant Program staff prior to submission of an application to determine their eligibility.

Because of the limited amount of Institute funding, and except in special circumstances, the Grant Program does not support institutional development projects or organizations' core operating expenses. It does not fund ongoing services or activities, such as legal aid for human rights victims. Instead, the Grant Program confines its support to research, education, and training projects that can be carried out within a limited period of time.

The Institute will not accept applications that list as participants, consultants, or project personnel individuals who are members of the Institute's board of directors or staff. For a current list of USIP board members go to www.usip.org/aboutusip.

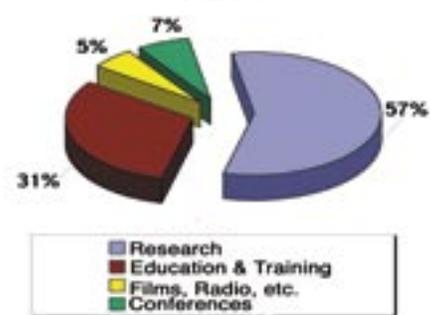
The legislation that established the Institute prohibits its support for projects that focus on conflict within the United States. If such a focus is only one part of a larger study, and Institute funding is not sought for that portion dealing with U.S. domestic conflict, the Institute may consider providing support for the other portions of the project.

The Institute does not take positions on policy issues pending before the U.S. Congress and foreign legislatures, the executive branch, or other domestic or international bodies and does not fund "Track I" (official) mediation of international disputes. Therefore, the Institute will not fund grant proposals of a partisan political nature or proposals that would inject the grantee or the Institute directly into the policy processes of the United States government or of any foreign government or international organization. Projects that lead to policy recommendations for governments, international organizations, or nongovernmental organizations are welcome and indeed encouraged, although such recommendations will be those of the grantee and not the Institute. In accord with the United States Institute of Peace Act, Section 1709(b), the Institute does not use political tests or political qualifications in selecting or monitoring any grantee.

Individuals who are currently working as Institute contractors may not be eligible to apply for grant support. To determine eligibility prior to submitting an application, please contact the Grant Program staff.

The Grant Program does not provide support for costs, such as tuition, associated with earning educational degrees. Inquiries about support for dissertation research should be directed to the Institute's Jennings Randolph (JR) Program for International Peace. The

Fiscal Year 2003 - Types of Projects Funded



The Institute will not accept applications that list as participants, consultants, or project personnel individuals who are members of the Institute's board of directors or staff.

JR Program has two programs—Senior Fellowships, which provide opportunities for individuals to generally spend ten months in residence at the Institute carrying out their research projects, and Peace Scholar Dissertation Fellowships, which support Ph.D. candidates in American universities preparing their dissertations. To learn more about the JR Program, please visit our web site at www.usip.org/fellows.

In any given grant cycle, individuals may apply only to **one** grant competition: either the Unsolicited or the Solicited Grant competition.

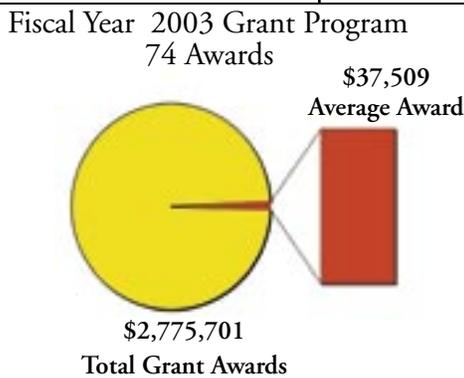
The same project director may submit only **one** application per grant cycle. Organizations applying for grant funding may submit more than one proposal to the same grant cycle so long as the projects and project personnel are completely different.

If a project falls within the themes and topics identified for the current Solicited Grant competition, the application must be submitted to the Solicited Grant competition.

Applications must be submitted in English.

Tenure, Amount, and Terms of Grants

Most awards are one to two years in duration. Unsolicited grant awards fall in the range of \$25,000 to \$45,000 although somewhat larger or smaller grants are also awarded. Solicited grant awards may be higher, and grant periods may be longer, depending on the type of activities required under the solicitation. The amount of any grant is based on the proposed budget and on negotiations with successful applicants. When applicants are employed by an eligible institution or organization, the Institute favors grants to the institution rather than to the individual.



Audit Requirements

For all awards over \$40,000, the grantee must arrange for a financial audit consistent with federal requirements for grant expenditures. If a grant recipient currently performs an audit in compliance with OMB Circular A-133, it may be used to satisfy the Institute's audit requirement.

Review Process

Most grant proposals are vetted through a rigorous, multi-stage process of review, which may include consideration by independent experts and professional staff at the Institute. (This is why we require ten copies of your application.) The final authority for decisions about grants rests with the Board of Directors.

Most proposals are grouped by theme or regional focus and sent to relevant external experts for their evaluation. The Institute then convenes panels of these experts to read, discuss, and recommend proposals for further consideration by staff and the Board of Directors. Review panelists come from a variety of professional backgrounds and include academics, policymakers, journalists, human rights experts, development professionals and attorneys. New review panels are constituted for each cycle, but reviewers typically are familiar with the activities, publications, and related work of the Institute. It is important to remember that the review process is confidential. The anonymity of panelists is critical to a candid and effective review process. While staff will answer general questions about the nature and timing of the review process, they are prohibited

from discussing the names and identities of reviewers and the status of applications under review. All applicants receive written notification of the status of their applications at the completion of the review process.

Conflict of Interest and Recusal

Institute directors, officers, and employees recuse themselves from the consideration of any grant application with which they have a conflict of interest or that might reasonably present the appearance of conflict of interest. To assist the Institute in identifying possible conflict of interest situations, the Institute asks that grant applicants and grantees bring to its attention possibly relevant personal or institutional relationships. The responsibility for monitoring and addressing issues of conflict of interest, however, is the Institute's and not the applicant's or the grantee's.

Resubmitting a Previously Rejected Proposal for Funding

There are many more projects worthy of funding than the Institute has the resources to support. It is only natural then that applicants sometimes choose to resubmit a proposal after their first request was denied. Occasionally, grants are given to projects on their second submission to a competition.

Unsuccessful applicants to previous Grant Program competitions may not submit the same application unless it has been substantially revised. We do not recommend that you resubmit a proposal without first consulting with Grant Program staff, who are available to share information with you about the evaluation of your proposal. If you are considering a resubmission, it is important to allow sufficient time for staff to review your file and provide some feedback, and for you to revise the application for submission by the deadline. Such requests should be made at least one month prior to the deadline.

Publication of Grant Products

Grant projects sometimes result in an Institute book or report but, more often, lead to products—books and journal articles—issued by publishing houses other than the Institute, as well as databases, training manuals, curriculum materials, documentaries, and so forth.

SECTION II: GUIDE FOR PROJECT DEVELOPMENT

The purpose of this section is to help you prepare your proposal.

Writing a successful grant application is a time-consuming task. Successful applicants tell us that completion of a successful proposal often takes weeks or even months. Accordingly, we advise you to start working on your proposal well before the deadline, share drafts of your proposal with colleagues for comment, and allow plenty of time for revisions before the application deadline.

Unsuccessful applicants to previous Grant Program competitions may not submit the same application unless it has been substantially revised.

It is important for you to articulate the relevance of your work to the Institute's mandate rather than assume that reviewers will see the link.

There is no single formula for preparing a sound proposal, but many successful applications—whether describing research, education, or training projects—have certain elements in common. These elements are outlined in detail below.

Institute's Mandate and Priorities

The first step is to determine whether your project fits within the Institute's mandate. That mandate is described earlier in this publication.

It is important for you to articulate the relevance of your work to the Institute's mandate rather than assume that reviewers will see the link. Remember that the mere assertion of a link between your work and the Institute's mandate is far less compelling than a proposal that provides evidence of a clear connection. For instance, in a case study of democratization in country X, citing the thesis—that democracies are less likely to go to war with each other than non-democracies—is not a sufficient explanation of the relevance of your work to Institute concerns. Does your study ask questions about the effect of democratization on the level and nature of conflict in a society? What are the mechanisms through which this relationship evolves? If your proposal does not address such questions, you may need to reconsider whether the Institute is an appropriate source of funding for your work.

Components of a Successful Proposal

Proposal Abstract

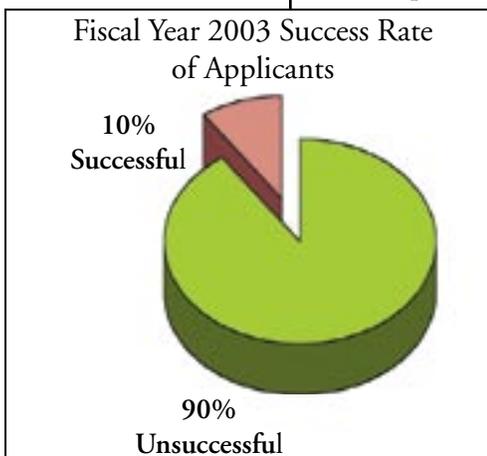
The abstract or summary of the proposal is a crucial part of the application. It is the first item that most reviewers read about the substance of a project, and reviewers consider an application incomplete without it. The abstract should make the best case possible, in the allotted space, about what the project will accomplish, its uniqueness, and its connection to the Institute's mandate. We recommend that you prepare your abstract only after completing the proposal, and only after deciding which aspects of your project are the most compelling and innovative. Lifting text from the proposal verbatim is not recommended.

If you are seeking funding for a research project, the abstract should contain the core hypotheses and research agenda. If the proposed activity is a training or education project, the abstract should outline the main activities being planned, who the audience for the project is, and what impact it is likely to have. All proposals should identify any concrete products or other outcomes associated with the project.

If you are seeking funding for research or related conferences or workshops, your proposal should address the following:

Project Focus and Objectives

You should set the stage by describing the questions, problems, or needs that your project will address and the larger context within which these issues have relevance. What questions will you research and what will the project teach us that is not already known? What conclusions do you expect to draw from your research, and why are they significant? Vague abstractions are especially noticeable and counterproductive in this section. A statement such as, "I will examine the relationship between ethnic violence and economic competition



among ethnic groups” is no substitute for specifying precisely what questions you will pose in your project.

You may choose to state your research questions in the form of hypotheses. Hypotheses are propositions that posit a relationship between one observation or variable and another: “Ethnic violence is more likely to occur between ethnic groups that compete with each other for jobs than those that do not.” Good hypotheses posit a relationship that is precise and easily observable or measurable. Hypotheses are not statements of belief: “The international community must work to stop ethnic violence” is a matter of opinion, not an observable relationship, and thus not a hypothesis.

Research proposals should include a review of the relevant literature on your subject. How are the questions you are researching similar to, or different from, those addressed in the existing literature? How will the proposed research fill important gaps, or challenge findings, in the existing literature?

Research proposal should also include a detailed bibliography that demonstrates your familiarity with all the important literature on your subject.

Research Methodology

Your proposal should outline precisely how you will undertake your project. This section is often the most challenging for applicants. Done properly, it helps to demonstrate that you are ready to implement your project because you have thought through the necessary steps to answer the questions outlined in the previous section of your proposal.

If your project involves research, what is the analytical framework within which the research will be conducted? What specific research methods will you use to sift evidence and arrive at conclusions? Why is the methodology you have chosen appropriate for addressing the questions raised by your research? What materials—documents, personal interviews, newspaper articles, databases—will you gather or compile to answer the research questions you are posing? Reviewers will find research projects that involve genuine inquiry more compelling than ones in which the researcher has already drawn the conclusions and is unprepared to consider and accept unexpected conclusions and alternative explanations. Any indication that an applicant has already pre-judged the outcome of his/her research, or is only searching for evidence to confirm initial assumptions, will give rise to strong objections about the value of the proposed research.

Developing an appropriate research methodology is often the most challenging aspect of a good proposal. Scholars seeking research support will want to refer to the methodologies specific to their disciplines while avoiding the use of jargon that may confound reviewers trained in other fields. Non-academic applicants need to convince reviewers that they have thought about the challenges and intellectual ambiguities involved in social science research and have developed adequate plans to find answers to the questions they are investigating. If you intend to employ a specialized, technical, or esoteric methodology, it is imperative to provide evidence that you can communicate your findings in a clear and meaningful fashion to an intelligent lay audience.

Reviewers will make judgments about whether the methodology you have proposed is appropriate and feasible, and whether you have identified information sources that will help you find the answers to your research questions. They will also look for evidence that you have access to those sources. If you are planning to conduct interviews or undertake survey research, it may be appropriate to describe the key questions you will ask and how the answers are likely to shed light on your research hypotheses. You may also

Developing an appropriate research methodology is often the most challenging aspect of a good proposal.

How will your project build upon, and learn or depart from, relevant projects undertaken by others?

want to describe whether you anticipate any problems gaining access to those you want to interview and how you plan to overcome such problems.

Often, research is based on case studies. It is important to describe how and why you have selected certain cases and not others, and how the focus on those particular cases might influence the findings.

Some research projects also include workshops or conferences. In such cases, it is important to provide a draft agenda for the proposed event, a list of those you plan to recruit to speak, and selection criteria for other participants.

Reviewers will also be looking for answers to some very basic and practical questions in the methodology section. For example, is the scope of the project significant but unachievable? How much of the project work, if any, will you have already completed by the start of the award? How much remains to be done? Can you complete the project during the term of the award? Does your project require special skills—such as knowledge of a foreign language—and do you have those skills? Does this research build upon research you have already undertaken? What qualifications do you bring to the project? If there is more than one researcher involved in the project, what is the division of labor?

Projects designed to share your findings widely are more likely to receive funding. Will the project result in concrete products—such as journal articles, monographs or books—that will be completed by the end of the grant period? If you are planning a book, it is best to include a chapter outline.

If you are seeking funding for an **education or training project**, your proposal should address the following:

Project Focus and Objectives

What issues, problems, or needs will your project address, and why are they of compelling significance? What are the overarching aims and objectives of your project? What is the larger context within which the problems arise?

How will your project build upon, and learn or depart from, relevant projects undertaken by others? What services will your program provide that are not already available? Your proposal will be far more compelling if you demonstrate familiarity with related projects undertaken by others in your field. If, for example, your project aims to improve communication and understanding between Catholic and Protestant high school students in Northern Ireland, what lessons—for good or ill—can be learned from similar projects tried there or elsewhere? Proposals should also include a bibliography in which you demonstrate your familiarity with written materials that are relevant to your project.

What are the different components of your project, and what is involved in implementing each component? If you are organizing a conference or workshop, you should provide a detailed agenda for the event, describe the substantive focus of the topics that will be discussed, identify the likely speakers or facilitators, identify the audience for your project, and outline the materials that you will use or develop. Who is likely to participate, and what criteria will you employ to select participants?

Reviewers are likely to find more compelling those projects whose benefits will be shared widely, or that have multiplier effects. If you are proposing a training workshop,

for example, will the impact of the program be limited to those participating directly in the event, or will you be preparing a training manual that will guide others interested in running similar programs in other settings? If you are planning a video or radio documentary, what arrangements have been made to air the program?

Reviewers will be looking for projects proposed by organizations with significant track records. What experience does your organization have in implementing activities similar to those for which funding is being sought? What are the qualifications of the project director(s) and the key participants involved in the project? If your project involves participants from groups in conflict with each other, reviewers will want evidence that individuals from all the relevant groups were involved in the conceptualization of the project and will play leading roles in its implementation.

Measuring Project Goals and Impact

It is important that your project describe how you will determine whether the completed project succeeds or fails to achieve its goals. Projects with well-designed evaluation components are more likely to receive support from the Institute. Accordingly, we have included some guidelines designed to help you construct a strong evaluation plan. If you are seeking funding for a research project, your project description should indicate how you will assess whether or not your project accomplishes its goals. If you are seeking funding for education and training projects or for activities such as workshops and conferences, you should complete the evaluation form provided on page 22 of this application.

Guidelines outlined in this section are especially relevant to practice-oriented projects (such as education and training projects), but may also be relevant in part to research proposals. If you are seeking funding for a research project, your proposal should indicate how you will assess whether or not your project was completed successfully.

We recommend that you develop your evaluation plan at the same time that you develop the rest of your proposal design, rather than adding it in later. Integrate evaluation into your project. Whenever possible, include members of the target community as part of the evaluation team (from development of your project and evaluation plan, to implementation, to data collection to evaluate and interpret results and impact).

Questions you should include in your project design and evaluation plan:

Audience(s)

Who is the target audience or population for your project, and how do you intend to reach that audience or population? How will you assess who within the target audience is not being reached by your project? What problems or barriers prevent members of the target audience from participating?

Tools for Evaluation

What tools or methods will you use to evaluate your project? Will they be quantitative, qualitative or some combination of the two? What specific indicators will you use to determine the success or failure of your project? If your tools will produce qualitative results, how will you analyze the information to determine project outcomes? What methods will you use to evaluate the larger or longer-term impact of your project?

Develop your evaluation plan at the same time you develop the rest of your proposal design rather than adding it in later. Integrate it into the project.

Conducting the Evaluation

Who will be responsible for conducting the evaluation? Will your group conduct the evaluation itself, or will you ask someone outside your group to conduct an external evaluation of your project? At what stage(s) of the project will you conduct the evaluation? For example, will you undertake an interim evaluation to inform your operations before their conclusion? If so, how will you feed back findings from an interim evaluation into further implementation of your project? How will your evaluation findings be reported back to your target audience(s)?

A well-constructed project evaluation will help you answer two basic questions: What goals was your project designed to achieve and how will you know whether it achieved them? A comprehensive evaluation plan will include both “process” and “impact” evaluation components. Each component implies a different set of questions:

Process Evaluation

A process evaluation asks whether the basic activities that are scheduled to take place during the grant project have occurred. It also assesses whether or not you reached your intended audience. Additionally, if your project does not work out as expected, a process evaluation will enable you to assess whether your project suffered from poor project design versus poor project implementation, or both. The following questions are asked during a process evaluation:

To what extent has your project been implemented as planned?

What factors caused your project to be implemented differently than planned, or not implemented the same way at all? How might those factors be addressed?

To what extent has your project reached its intended (target) audience or population?

Who within the target audience is not being reached by your project, and what are the obstacles to participation for these individuals/groups/communities?

Impact Evaluation

An impact evaluation of your project goes beyond the questions of whether or not you carried out the main activities of your project as planned and reached your target audience. Instead, it tries to assess the impact of your project on that audience. The following questions are asked during an impact evaluation:

How well did the project achieve its goals and objectives?

Who benefited most from the project, or what components of the project had the greatest impact?

Are there longer-term effects that are important to measure?

Did the project have unintended consequences, positive or negative?

What was learned that would inform future interventions or similar projects?

Example of How To Design Process and Impact Evaluations:

Let's suppose that your grant proposal indicates a plan to improve teacher and student understanding at the high school level about the origins of violent ethnic conflict in the Middle East. Your project includes the following specific elements: (a) development of a manual for teachers; (b) development of curricular materials to be used by the students of those teachers; (c) organization of a training workshop for 25 teachers in your school district; (d) incorporation of your materials/approaches into the curriculum for all high school students in your district; and (e) dissemination of the manual and cur-

ricular materials to a wider audience of teachers and students. The goals, objectives and means for assessing the anticipated impact of your project can be outlined in the following chart:

Goals	Objectives (Process Indicators)	Impact Measures
1. Improve teacher and student knowledge in your school district about ethnic conflict in the Middle East	Develop teachers' manual Develop curricular materials about ethnic conflict in the Middle East Organize a training workshop for teachers	Before and after tests of teacher knowledge about ethnic conflict in the Middle East Before and after tests of student knowledge about ethnic conflict in the Middle East Assessment of teacher skills based on classroom observation
2. Persuade your district to incorporate your teaching techniques and materials into the required curriculum for high school students in your district	Make a presentation to the person responsible for curriculum development in your school district	Determine whether your approach is adopted by your school district
3. Share techniques, materials, and findings with a larger audience	Make presentation at national conference for social science teachers Publish article about process involved in developing your project Develop website from which educators can download your manual and curricular materials	Keep track of the teachers who attend your presentation to assess whether they use your materials Keep track of the number of "hits" on your website to download your manual and curricular materials

A well-constructed project evaluation will help you answer two basic questions: What goals was your project designed to achieve and how will you know whether it achieved them?

Work Samples

The Grant Program requires applicants to submit no more than two work samples that display their analytical and writing skills. Ideally, the samples should relate to the subject of the grant proposal. For example, applicants who seek funding to produce a film or video should provide either a sample of a similar earlier product or a script (if appropriate). Submit no more than **two (not ten)** copies of audio or video materials.

Applicants who seek funds for books, articles, or other written products should provide

The Institute's Grant Program receives hundreds of applications each year. As a result, instructions about page length, font size, spacing, sequence and numbering of sections, and other aspects of the application format are important since they help regularize the collection of information about funding requests.

writing samples in related areas. Applicants seeking funds for training or education projects may submit training or educational materials that they have developed. Attach **ten** copies of no more than **two** representative writings to the application. Do not submit whole manuscripts or books as samples. Previous grantees should also submit one (1) copy of any product(s) resulting from the earlier grant. All work samples should be in English.

Note: Work samples will not be returned.

Consulting with Institute Staff About Your Proposal

You may feel that you need to discuss your application personally with an Institute Grant Program staff member before submitting it. Before doing so, please review **all** of the information provided in this publication. Familiarity with this document will make for a more fruitful exchange with a staff member. Please keep in mind that the staff can answer questions about the relevance of applications to the Institute's mandate and funding priorities, but they cannot predict the outcome of the review or suggest topics for research.

The Grant Program can be reached at 202-429-3842 or grants@uisp.org.

SECTION III: FORMS AND PROPOSAL SUBMISSION

Instructions for Submitting a Complete Application

The application contains all the information you will need to submit a grant application. Applications not submitted using the proper forms and/or incomplete applications will not be accepted for consideration.

Proposal Forms (starting at page 14 in this publication)

As much as possible, the application forms try to anticipate questions you may have about completing and submitting the application. The forms prompt you to provide concise and thorough information about the nature of the project you propose and your qualifications to undertake it. The Institute's Grant Program receives hundreds of applications each year. As a result, instructions about page length, font size, spacing, sequence and numbering of sections, and other aspects of the application format are important since they help regularize the collection of information about funding requests. Following these instructions helps reviewers who read many dozens of applications in one competition to fairly evaluate and compare proposals. Doing so will also greatly reduce the likelihood of confusion about the goals and activities of your project and the nature of your request.

Proposal Attachments: Every proposal for a grant from the Institute must include the following attachments:

1. A complete project description as discussed in Section II of this document, not to exceed 10 double-spaced typed pages, standard font size no smaller than 10 points, which includes the following items (please number all pages):

- the problem or issue(s) to be addressed;
- a review of previous, related work done by you or others on this issue, and a discussion of how your project will contribute to improved understanding of the issue or problem;
- the methodology or approach to be taken;
- a work plan;
- if a book is proposed as the final product, a preliminary outline or table of contents;
- if a workshop or conference is proposed, a preliminary agenda for the event(s), including a list of tentative speakers and criteria for identifying other participants;
- where appropriate, a plan for disseminating the project's materials and for the continuation of programs beyond the tenure of the grant.

2. A bibliography

3. Work samples

- Please see instructions provide at page 11.

4. Resumes or vitae

- Submit resumes or curriculum vitae for the primary project personnel listed on page 21 no. 1. In addition, provide biographical summaries, not to exceed one page, for each individual who will play a significant role in the substantive work of the project. Resumes are not required for support staff.

**Submit resumes
or curriculum
vitae for the
primary project
personnel.**

COVER SHEET INSTRUCTIONS

Please note that responses to questions contained in the application forms must be limited to the space provided on the forms.

1. Status of Applicant (check one):

Applications may be submitted by nonprofit organizations, public institutions, and individuals. The Institute will not accept applications or make grants to for-profit entities.

If the application is being submitted under the auspices of a [nonprofit organization or public institution](#), enter the name and mailing address of the organization and provide the name and telephone number of the institution's contact person for grant administration.

If the application is from an organization/institution other than a college or university, information **must** be provided that describes the purpose, structure, and governance of the organization/institution.

Institutions approved for funding are required to provide evidence of nonprofit status. All [foreign](#) institutions and organizations are required to provide evidence of nonprofit status with the grant application submission.

If the application is being submitted by an [individual](#), proceed to no. 2 on the application cover sheet. When applicants are employed by an eligible institution such as a college or university, the Institute strongly prefers that grants be submitted through the institution.

2. Project Director(s): Provide the name, title (Dr., Mr., Ms., etc.), mailing address, and telephone number(s) of the individual(s) directing the proposed project. Such individuals should be fully knowledgeable about the proposal and available to answer questions that may arise during the evaluation and review process.

3. Grant Competition and Cycle: Please check the box for either Unsolicited or Solicitation A, B to indicate the competition you have selected for your project. Before selecting a cycle, please read the information listed below under "Grant Period."

4. Project Title: Provide a title for your project. *Do Not Leave Blank.*

5. Grant Period: Give the month and year of the proposed beginning and ending dates of the project. Most Institute grants are one-to-two years in duration. Short-term undertakings are also welcome. **Note:** Projects may begin as **early** as one month or as **late** as one year from date of notification of an award. USIP grant funds cannot be used to cover project costs that occur prior to notification of an award.

6. Amount Requested: Give the amount requested from USIP (from page 17 no. 1).

7. Project Abstract: Provide an abstract of the detailed project description, not to exceed 200 words. The abstract is very important and should report the basic elements of the proposal clearly and succinctly (see page 6 for more details about the abstract).

A computer disk of the abstract (*one disk only*) should also be submitted. The disk version should be identical to the version provided on page 15 no. 7 and should be in either Microsoft Word, WordPerfect, or Rich Text Format (RTF). Please label the disk so that it can be identified with your project.

The detailed project description should be attached as described in Section II.

COVER SHEET (print or type). Do not attach documents in front of this sheet.

1. Status of Applicant, Name, and Address

Nonprofit Organization or Public Institution
(Complete organization information below.)
Individual Applicant (Proceed to no. 2.)

Name of Organization or Institution

Address

City, State, Zip/Postal Code, Country

Institutional Contact Person, Name, Position, and
Telephone Number (include area/country code)

2. Project Director(s)

Name

Title

Complete Mailing Address

City, State, Zip/Postal Code, Country

Telephone Numbers (include area/country code)

day

fax

e-mail address

3. Competition and Cycle

Unsolicited

Solicited A

B

Deadline for Receipt of Applications

Notification Date

Spring Cycle

March 1

September 30

Fall Cycle

October 1

March 31

4. Project Title

5. Grant Period

6. Amount Requested

From _____

To _____

U.S. Dollars

7. Project Abstract: Please read instructions before completing this section. Do not Leave Blank. Use font sizes: 10 or 12 pts.

FINANCIAL INFORMATION INSTRUCTIONS

Questions 1 and 2 apply to **all** applicants. Questions 1a and II are not applicable if you are applying as an individual, nor to colleges and universities.

I. Overall Project Costs

On the opposite page, provide information on the project's total cost during the grant period.

1. Total USIP Request. List the total funds being requested of USIP for the project.

a: This item seeks information about the size of the project in relation to your organization's overall budget.

Provide the percentage that the request to USIP represents of your organization's annual budget. For example, if you are requesting \$35,000 from USIP and your organization's annual budget is \$400,000 the request to USIP would represent 8.8 or 9 percent of your annual budget ($\$35,000/\$400,000$).

2. Total Other Sources of Funding (if applicable)

Committed funds should be those funds secured for the project during the *grant period*.

Anticipated/pending funding should be a list of organizations or individuals that you have approached to fund the project. The sums of committed and anticipated funds must correspond to the figures provided on the Budget Form (page 19).

II. Institution Financial Information

Provide information on the top sources of support for the work of your organization. This information will only be shared with individuals reviewing the project.

FINANCIAL INFORMATION FORM

All amounts should be in U.S. dollars only.

A. Overall Project Cost

1. Total USIP Request: _____

a. Percentage of Request to Organization's Annual Budget: _____

2. Total Other Sources of Funding: _____

Committed Funding: Name of Funder(s) and Contribution Amount(s):

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Anticipated/Pending Funding: Name of Organization(s) and Amount(s):

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

3. Total Project Cost (1 and 2 above): _____

II. Institution Financial Information

Please provide the names of your organization's top sources of financial support (in no particular order).

BUDGET FORM INSTRUCTIONS

Project Costs

The budget page shows totals, by category, of the overall budget for the project. There are two columns, one for funds requested from the Institute and the other for funds already committed or anticipated from other sources per the information provided on page 17.

A more detailed breakdown of the budget, which shows the types of individuals, items, and activities to be covered, **must** be attached to the budget page. The detailed breakdown should explain the expenditures in relation to the amount being requested of each donor.

A. Direct Costs

Salaries and Wages: State the amount of funds necessary to cover all personnel costs for the project (including assistants and support staff). An itemized breakdown of personnel costs should be provided in the detailed explanation of the budget. Applicants should indicate in the budget narrative whether the amount requested in this category is for salary replacement or for a salary supplement. Monies requested must correspond to the percentage of time to be devoted to the project (as indicated on page 21 no. 1).

Fringe Benefits: Amount that is paid for social security, health insurance, etc.

Consultant Fees: State the amount of funds necessary to cover costs of individuals who serve as consultants for the project.

Travel/Per Diem: Describe all anticipated travel for personnel and participants (if applicable) directly or indirectly involved in the program. Travel must be performed on a U.S. carrier when such service is available. The Institute will carefully scrutinize any request for travel support to ensure that it is necessary and appropriate.

Printing and Reproduction: Self-explanatory

Supplies, Materials, and Other Costs: The purchase of equipment (such as computers, equipment for reproduction, printing, and data processing) will be approved only in exceptional circumstances. The Institute may, at its sole discretion, reserve the right to request the transfer of title and the return of such equipment to itself, or some third party of its designation, if the acquisition cost of the equipment is \$500 or more and the equipment is no longer needed to carry out the purposes of the project for which funding was approved.

Expenditures in this category should not include travel, per diem, salaries or other expenditures that can be associated with one of the categories listed above. **Note:** Institute funds **may not** be applied toward the cost of entertainment and beverages. Food costs are allowable only as provided under per diem for individuals in travel status. Such costs should **only** appear in the travel/per diem category above and should correspond to the number of travelers identified.

BUDGET FORM

Project Costs: Summary Budget for Grant Period (in U.S. Dollars Only)

(Attach a separate detailed budget explanation.)

A. Direct Costs	1) USIP	2) OTHER SOURCES OF FUNDING	
		Committed	Anticipated/Pending
Salaries and Wages	_____	_____	_____
Fringe Benefits	_____	_____	_____
_____ % of _____			
Consultant Fees	_____	_____	_____
Travel/Per Diem	_____	_____	_____
Domestic: \$ _____			
Foreign: \$ _____			
Printing and Reproduction	_____	_____	_____
Supplies, Materials, and Other Costs	_____	_____	_____
B. Indirect Cost*	NA _____	_____	_____
C. Totals	_____	_____	_____

TOTAL PROJECT COSTS _____

(From columns 1 and 2 above. Same as no. 3 on page 17.)

*The Institute does not award funds for indirect costs. This rule will be waived only in exceptional circumstances.

PROPOSAL SUMMARY QUESTIONNAIRE

Provide the following information in the spaces on page 21.

1. Personnel

Identify the personnel who will carry out the proposed project. Specify how much time project personnel will actually devote to the project. (For example, “Researcher A will be released from half of his/her teaching responsibilities at University X and will spend 50 percent of his/her work time on the project during the grant period; researcher B will work full time on the project from August 15 to September 30, a total of 23 work days; assistant C will devote one day a week to the project during the first half of the project and two days a week during the second.”)

2. Products

As noted previously, the Institute is more likely to look with favor on a proposal in which a final product of enduring value is envisioned. While grant products may be produced in languages other than English, an English translation of each product must be submitted to the Institute.

3. Project Impact

This item assists the Institute in its efforts to avoid spending public funds for projects that may duplicate existing work. Proposals that appear to overlap previous or ongoing research or training programs should be justified. This might be done by pointing to innovations or new approaches in design, special expertise or insights offered by the applicant(s), shortcomings in existing work, or the ability to reach new or markedly different audiences.

4. Previous Grants and Institute Contracts

The Institute will not accept new applications from directors of USIP-funded projects unless all requirements under the previous grant have been fulfilled, including the submission of final performance reports and products. Previous grantees should also submit an additional copy of any product(s) resulting from the earlier grant. The copy of the product(s) is in addition to the work samples described on page 11.

Any applicant who has been, soon will be, or currently is, an Institute contractor should disclose that information on page 21 no. 4 of this application form. Current or prospective Institute contractors are advised to contact the Grant Program staff prior to submitting an application in order to determine their eligibility to apply for a grant.

If you have served as an Institute reviewer or panelist, please do not provide the name or date of the panel on which you served or the product you reviewed. The year of service is all that is required.

QUESTIONNAIRE FORM (Do not write “see attached” in spaces below. Confine your answers to the spaces provided unless indicated otherwise. Please print or type.)

1. **Personnel.** Identify project personnel and percentage of time each will devote to this undertaking.

2. **Products.** What product(s) will result from this project? (Describe in detail: if a written product, provide working outline; otherwise, describe specific content. Attach outline if necessary.)

3. **Project Impact.** How does the proposed project add to or otherwise affect existing work in this field?

4. **Previous Grants and Institute Contracts.** List any previous grants from the United States Institute of Peace with which you have been involved as a principal investigator or as a participant (see instructions on opposite page). Also, list other Institute activities with which you have been, or likely will be, associated in any capacity, including contracts, consultancies, or other USIP awards.

EVALUATION FORM (print or type)

This form should be used primarily for education and training proposals, and is **not** required for research proposals. The information you provide below should identify how you plan to evaluate the project. For an example of how to fill out this form, please see pages 10-11. (Attach an additional page if necessary.)

Goals	Objectives (Process Indicators)	Impact Measures

CERTIFICATION SHEET

This sheet must be signed and dated by the principal institutional representative (if applying under nonprofit organization or public institution status) or by the project director(s) (if applying under individual status). By signing this form, the applicant certifies that (1) the information provided in the application is complete and accurate; (2) the applicant is not delinquent on any federal debt or debarred from receiving federal funds; and (3) the work will be conducted under drug-free workplace principles.

It is important that the certifying individual(s) realizes the seriousness of this act. Various statutes provide civil and criminal penalties for attempting to obtain public funds by fraud or deception, and the Institute will not hesitate to act decisively to prevent waste, fraud, or abuse in connection with its grant program and other activities.

Status—Institutional Applicants

Nondelinquency/Debarment: This institution certifies that it is not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.

Drug-free Workplace: This institution certifies that it has in place and will administer in good faith a drug-free workplace policy designed to ensure that the workplace is free from possession and use of illegal drugs.

Status—Individual Applicants

Nondelinquency/Debarment: I certify that I am not delinquent in repaying any federal debt.

Drug-free Workplace: I certify that I will not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in conducting any grant activity.

I certify that the information provided in this application is complete and accurate.

Institutional Status

Signature-Authorizing Official for Institution

Print or Type Name

Date

Individual Status

Signature-Project Director(s)

Print or Type Name

Date

PROPOSAL SUBMISSION

Please consult the Grant Program's homepage www.usip.org/grants for additional information and an online version of the application form. If you have further questions, contact the Grant Program at 202-429-3842 or e-mail us at grants@usip.org.

A complete application consist of ten (10) copies of the application forms and required attachments collated (put together) in the following order:

Cover Sheet (*Do not* attach documents in front of this sheet.)
Financial Information and Budget Forms and Required Explanation
Certification Sheet
Summary Questionnaire
Complete Project Description (not to exceed 10 pages)
Evaluation Form (if applicable)
A Bibliography
Work Sample(s)
Resume(s) or Vitae
Disk of Abstract (only **one** disk is required)

Do not bind applications or use covers, including plastic covers. Staples, clips, or separating each copy by colored paper is sufficient. Identify which copy has original signatures.

DEADLINES AND NOTIFICATION DATES

Unsolicited and solicited application deadlines are the same—March 1 and October 1 (or the next business day if the date falls on a weekend or a U.S. holiday). Please note these are **receipt** deadlines not postmark deadlines. The deadline will not be extended to accommodate postal processing delays.

Notification for applications received in March will be mailed no later than September 30, and for applications received in October, March 31.

All applicants—successful and unsuccessful—will be notified in writing about the outcome of their application.

MAILING YOUR APPLICATION

The Institute will not accept applications by fax or e-mail.

Mail application material to **arrive** no later than March 1 (Spring Cycle) or October 1 (Fall Cycle). Applications should be mailed to the following address:

United States Institute of Peace
Grant Program
1200 17th Street, NW • Suite 200
Washington, DC 20036-3011

Incomplete applications and applications received after the deadline will not be considered.

Incomplete applications and applications received after the deadline will not be considered.

FALL 2004 SOLICITED GRANT TOPICS

Deadline: October 1, 2004

Notification: March 31, 2005

The Institute invites applications on the following Solicited Grant topics.

Solicitation A: The Economics of War and Peace

Solicitation B: Southeast Asia

In an effort to enhance learning from grant activities, the Institute encourages applicants to build into their projects plans for public events and publications through which project findings can be shared and discussed—particularly events organized in Washington, D.C., that would be of benefit to policymakers and others. In some cases, the Institute may consider holding these events at its office or on Capitol Hill. Applications including plans for public events may budget additional funds to cover the cost of such events.

Solicitation A: The Economics of War and Peace

While significant attention has been paid to the role of economic factors in conflict (such as the relationship between poverty and conflict, and between natural resources and conflict), less is understood about the influence of external actors and factors (such as humanitarian relief organizations, foreign aid and private investment) in building peace or generating strife in conflict-prone or post-conflict societies. Humanitarian aid, if provided while a conflict is raging, may inadvertently sustain the conflict. Likewise, while foreign aid is often conditioned upon the fulfillment of goals outlined in peace negotiations or agreements, aid does not always dampen conflict and may instead solidify the capabilities of parties engaged in conflict. On the other hand, there is also evidence that well-designed economic assistance can play a critical role in bringing parties to conflict to the negotiating table, and can help create the economic conditions critical to post-conflict stabilization and peace-building. Private foreign investment is not conditioned upon political agreements but, like humanitarian assistance and foreign aid, it can exacerbate or ameliorate conflict. Corporations and analysts are paying increased attention to the “conflict impact” of investment, but a great deal of work remains to be done in this area.

Noting that the economic policy tools, strategies and options available to those interested in transforming or resolving conflict receive far less attention than they deserve, the Institute welcomes proposals that focus particularly on the impact of various economic actors and forces on violent international conflict, including civil conflict, and peace-building. Proposals may involve research, training or educational projects, including curriculum development. Research projects should address tools and options available to policymakers and others interested in addressing conflict. Funds will not be available for projects to promote economic development for its own sake. Topics may include, but are not limited to, issues raised in the following questions:

□ **The Economics of Peace-building:** During peace processes and in peace agreements, the role of economic factors can be particularly pivotal. How can economic incentives and sanctions be incorporated into negotiated settlements to ensure their implementation and improve their chances of success? What tools and options are available to actors—ranging from states and international organizations to corporations and civil society organizations—to promote peace-building through economic initiatives and policies? In transitions from conflict to peace, how can organized criminals, insurgents and paramilitary units be prevented from controlling important economic assets and benefiting from the absence of strong law enforcement? How does the problem of economic corruption contribute to instability and violent conflict, and what measures are effective in combating corruption? In what ways can states embroiled in war or uninformed external actors use or control economic resources to bring an end to conflict? What lessons, for example, can be learned regarding the impact of sanctions regimes? What role does revenue sharing play in peace settlements in resource rich countries? Should economic deals be incorporated into peace agreements and, if so, what forms should they take?

□ **Development and Reconstruction:** Practitioners engaged in development work and those pursuing post-conflict reconstruction activities (including government and military organizations) broadly represent two communities that are

critical to successful transitions from conflict to stability, the rule of law and economic growth. Despite their common interests, these two communities, which operate both at the local and international levels, often have different objectives, priorities, approaches and organizational cultures that sometime lead to difficulties in communicating and cooperating in settings emerging from conflict. What lessons can be learned from past experience about how these communities, with their distinctive approaches and priorities, work most effectively together in post-conflict reconstruction?

❑ **Humanitarian Assistance and Foreign Aid:** The relationship between foreign aid, humanitarian assistance and conflict, including the unintended consequences of such aid, increasingly have become the subject of study and concern by scholars and practitioners. To what extent and under what conditions does the delivery of humanitarian assistance and bilateral or international aid during a conflict contribute to sustaining, transforming or concluding the conflict? In what specific instances has the provision of foreign aid changed the nature or duration of a conflict, and what is to be learned from those cases? Working from perspectives formed in conflict zones, what are the most effective means of delivering foreign aid and humanitarian assistance to promote peace-building in post-conflict settings?

❑ **Non-State Actors:** What roles do non-state actors—including local and multinational private corporations, multilateral trade organizations, transnational economic institutions, NGOs, organized criminal groups, terrorist organizations, paramilitary organizations and insurgent groups—play in the dynamics of international peace and war? How can the policies of private corporations, international financial institutions, trade organizations and donor states be crafted to promote conflict prevention, management and transformation? How effective have been the efforts taken by national and international financial institutions to track and block the flow of funds to illegal organizations, such as terrorist groups and organized crime operations, that engage in violent conflict or contribute to circumstances leading to armed conflict? How might those efforts be improved? What measures have been tried to increase the transparency of financial transactions that affect peace and security, and how effective have these measures been? At the community level, what lessons are there to be learned from NGO programs designed to stabilize post-conflict settings and promote peace-building through economic strategies?

❑ **The Role of Education and the Media:** What impact have educational programs and the media had on public understanding of the relationship between economic issues and violent conflict? How can educational activities, both formal and informal, and the media help improve understanding of these complex issues?

Solicitation B: Southeast Asia

Southeast Asia is a region characterized by complex ethnic, religious and socio-economic diversity that forms the basis for tensions and conflicts throughout the region and poses serious challenges to governance. These conflicts are expressed in a variety of problems, ranging from transnational terrorism to violent separatist movements of an ethnic or religious character. The challenge of establishing or maintaining democratic government, including creating or stabilizing civilian institutions and political processes that effectively limit the role of the military, is made more complicated by the region's diversity.

Security threats have taken a variety of forms in the region. Separatist groups, such as the Moro Islamic Liberation Front in the Philippines and the Free Aceh Movement in Indonesia, have made territorial claims for autonomy or statehood. Islamic extremists in those and other countries in the region have become part of global terrorist networks that have launched significant attacks in their own countries and abroad. In neighboring Malaysia, relative economic prosperity has not prevented that country from being implicated as a safe haven for terrorist organizations operating in the region. In Burma, severe government repression of ethnic groups opposing the military government has threatened the survival of those groups. And yet, there has not been an outbreak of violence between states in the region since the border dispute between China and Vietnam in 1986.

Countries in the region continue to struggle with the legacy of past internal violence. For example, through recent elections and discussion about the establishment of a war crimes tribunal, Cambodia is exploring ways of moving beyond its genocidal past by strengthening democratic governance and organizing a mechanism for holding war criminals accountable. Having gained the status of an independent state after years of violent conflict, East Timor has begun the difficult process of establishing a functioning democracy, documenting war crimes through the establishment of a national truth commission, addressing abject poverty and investing in physical and social reconstruction. In contrast, Vietnam is developing its post-conflict political and economic systems without promoting democracy.

Some analysts have focused on weak or uneven economic development as the basis for violent conflict in Southeast Asia, while others have stressed the importance of political and religious factors, including the widespread problem of political corruption. Clearly, complex relationships among the region's ethnic groups, the spread of radical political Islam, uneven economic development, and poor governance practices have made the search for appropriate responses to violent conflict in Southeast Asia particularly challenging.

The U.S. Institute of Peace is soliciting grant proposals for policy-oriented research, education programs, training projects and Track Two initiatives that promote understanding about, and peaceful management and resolution of, conflicts in the Southeast Asian region. Topics may include, but are not limited to, the following themes:

❑ **Democratization/Governance:** With the end of the Cold War, formerly suppressed ethnic, cultural and religious differences within states have bubbled to the surface. Indeed, countries across Southeast Asia are struggling with governance issues complicated by the ethnic diversity of their societies. Indonesia, for example, is currently embarking on the world's largest political decentralization project. Discussions are underway in the Philippines about constitutional reform and possible federalist approaches to resolving the conflict in Mindanao. Based on insights gleaned from these and other countries, how can reforms help stabilize and democratize political systems in the region? What impact have reforms had on the ability of governments and non-governmental groups to prevent or resolve conflicts? What efforts have worked or not worked in addressing the widespread problem of corruption?

❑ **Civil-Military Relations:** The relationship between military and civilian officials and society at large is a particularly challenging one in several Southeast Asian states with legacies of military control over politics and economic planning. In Burma, the military continues to hold exclusive power, while in the Philippines it maintains a prominent role. In Indonesia, where military interests are among the most powerful economic forces, military participation in formal governance structures has been reduced, yet the establishment of civilian control over the military is far from complete. What are the prospects for military reform and civilian control of the military in Southeast Asian countries? Have these and other countries in the region effectively addressed past abuses by the military, and with what impact on the transition to civilian rule and the stabilization of democratizing states?

❑ **Ethnic and Religious Conflict:** Virtually every country in Southeast Asia has been plagued by ethno-religious conflicts, and yet most parts of this strikingly diverse region remain peaceful. What local, regional and international factors account for this variation? What approaches and political reform initiatives have alleviated tensions between and among ethnic groups in these countries? How has the struggle to control natural resources, such as timber and gems, been complicated by ethnic and religious tensions and conflict? What is the relationship between the decline in the region's environmental health and ethnic conflict? How can religious and ethnic minorities be empowered, economically and politically, thus enabling them to protect their interests, identity and culture through non-violent means? New initiatives aimed at deepening mutual understanding between conflicting communities or enhancing non-violent approaches to managing or resolving conflict are particularly welcome.

❑ **Terrorism:** As a target of terrorism and a hub for locally and internationally linked terrorist organizations, Southeast Asia has emerged as a major venue in the "war on terrorism." What are the relationships between national and international legal mechanisms to combat terrorism in Southeast Asia? What impact does the recent surge in terrorist activity have on governance and the movement toward or away from democracy?

❑ **Small Arms Trade:** Southeast Asia has become a major nexus of the small arms trade, fueling ethnic conflict, the drug trade and other illicit activity in the region and beyond. What options are available to policymakers, international organizations and civil society groups to reduce the trade in small arms and its negative consequences, and how successful have past initiatives been?

❑ **Regional Powers:** Major powers, particularly China and Australia and others outside the region, have deep political and economic interests in, and influence on, countries throughout Southeast Asia. For example, China is one of several claimants to the Spratly Islands, strategically located near primary shipping lanes in the central South China Sea, which remain a potential flashpoint for violent conflict. Economic opportunities in the region arising from economic growth in China are counter-balanced by growing worries about Chinese economic domination. What roles do external powers and organizations play in building or undermining peace and security throughout Southeast Asia?

❑ **Regional Organizations:** ASEAN is the one organization that includes all of the states in the region. In contrast to other international organizations it is weakly institutionalized. To what extent has ASEAN contributed to better international political and economic relations in Southeast Asia? Is it merely a discussion forum, or has it altered the policies of specific countries? Is the "ASEAN plus 3" concept one that will lead to greater cooperation within East Asia? What would the implications of the concept be for stability in East Asia as a whole as well as with outside actors, including the United States? What lessons are to be learned from initiatives undertaken by regional organizations to promote stability—such as ASEAN's efforts to prevent terrorism, piracy, drug trafficking and other problems plaguing the region—and their failure to grapple successfully with other issues, such as continuing military domination in Burma? Is the ASEAN Regional

Forum (ARF) an effective institutional innovation to monitor and manage inter-state conflicts in the region? Can other mechanisms, such as the Asia-Pacific Economic Cooperation (APEC) forum, provide more effective “early warning” and management of regional conflict?

□ **Education and the Media:** In countries across the globe, informal and formal educational programs and the media have been used to develop national cohesion, create or reinforce national narratives, and strengthen national values and identities. But in ethnically diverse societies, such as those in Southeast Asia, education efforts and the media sometimes also work to exacerbate ethnic tensions, convey and reinforce negative stereotypes, and stir hatred of other groups. What impact have education programs and policies and the media had on conflict and peacemaking in different countries in the region? How can media and education programs build greater understanding between conflicting parties and prevent the outbreak of violence?