

DD-ABD-458
152-14423

AGENCY FOR INTERNATIONAL DEVELOPMENT
UNITED STATES OF AMERICA A. I. D. MISSION
TO EL SALVADOR
C/O AMERICAN EMBASSY.
SAN SALVADOR, EL SALVADOR, C. A.

September 30, 1991

Mr. R. Bruce McColm
Executive Director
Freedom House
321 Pennsylvania Ave, SE Suite 200
Washington, D.C. 20003

SUBJECT: Cooperative Agreement No. 519-0794-A-00-1197-00

Dear Mr. McColm:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, and the Federal Grant Cooperative Agreement Act of 1977, (P.L. 95-224), the Agency for International Development (hereinafter referred to as "A.I.D." or "Grantor") hereby enters into a Cooperative Agreement with Freedom House (hereinafter referred to as "Recipient") for the sum of \$120,000 to provide support to the program described in Attachment I entitled "Schedule", and Attachment II entitled "Program Description", of this Agreement. The total estimated cost of this program is \$120,000.

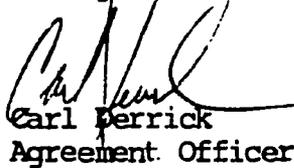
This Cooperative Agreement is effective September 1, 1991 and obligation is made as of the date of this letter, and shall apply to commitments made by the Recipient in furtherance of project objectives during the period beginning with the effective date and ending January 31, 1992.

This Cooperative Agreement is entered into with Freedom House with the understanding that the funds will be administered in accordance with terms and conditions set forth in Attachment I, entitled "Schedule"; Attachment II, entitled "Program Description"; and Attachment III entitled "Standard Provisions", which have been agreed to by your organization.

Please sign the original and six (6) copies of this letter to acknowledge receipt and return the original and five (5) copies to USAID/El Salvador.

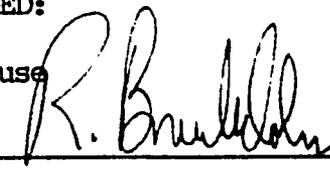
Please accept the assurance of my highest esteem and consideration.


John Lovaas
Acting Mission Director


Carl Derrick
Agreement Officer

ACKNOWLEDGED:

Freedom House

By :  R. Bruce McColm

Title : Executive Director

Date : October 9, 1991

FISCAL DATA

Appropriation	:	72-110/11037
Budget Plan Code	:	LES091-25519-KG13
Amount	:	\$120,000
Project Number	:	519-0794
Total Estimated Amount	:	\$120,000
Total Obligated to Date	:	\$120,000
Funding Source	:	USAID/El Salvador/519-0794

COOPERATIVE AGREEMENT SCHEDULE

A. AUTHORITY, PURPOSE AND PROGRAM DESCRIPTION

This Cooperative Agreement is entered into pursuant to the Foreign Assistance Act of 1961, as amended, and the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-229). Freedom House requested USAID assistance and funding for a survey and evaluation of Salvadoran civic and issue-awareness organizations which support, directly or indirectly, participation in Salvadoran elections. The purpose of surveying these organizations is to assess their coverage and capacity to become more responsive and more effective in support of the broader democratic and electoral process in El Salvador. The activity proposed by Freedom House, as set forth in Attachment II, entitled "Program Description", is the basis for this Cooperative Agreement.

B. FUNDS OBLIGATED, PAYMENT, ESTIMATED COST AND COST SHARING

1. A.I.D. hereby obligates the amount of \$120,000, for purposes of this Cooperative Agreement. Funds obligated hereunder are available from the date of this letter through the period of the Agreement for program expenditures as set forth in the Financial Plan contained herein. The total estimated amount of the A.I.D. contribution to this agreement is \$120,000, which will encompass a period from the effective date of this Agreement until January 31, 1992.

2. Payment shall be made to the Recipient in accordance with the procedures set forth in the Standard Provision entitled "Payment - Periodic Advance," contained in Attachment No. III, entitled Standard Provisions for U.S. Non-Governmental Grantees.

3. The Recipient will submit to A.I.D. a cash needs projection by month for the initial 90 day period following the effective date of this Agreement and three SF-1034 forms, one requesting an advance for each of the months during which services are to be provided. A.I.D. will advance these funds prior to the beginning of each monthly period.

4. Throughout the period of the Agreement, the Recipient will be advanced funds for each succeeding 30 day period based upon projections of cash needs, liquidations of prior advances to the Recipient, and timely submission of monthly reports to A.I.D. of actual disbursements and updated projections of cash needs.

3'

5. Ten days after the end of each month beginning with October 31, 1991, the Recipient shall submit a report of actual disbursements made in accordance with the Standard Provisions. At the same time, the Recipient shall submit an updated cash needs projection reflecting funds already advanced, disbursements made, and funds needed for the succeeding 30 day period.

6. Approximately 5 days before the beginning of each month, A.I.D. will advance the net amount of cash required for the Recipient's operations for the next 30 day period.

C. SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

Primary USAID responsibility for project management will rest with the USAID/ES Project Manager who will report to the Director of the Office of Democratic Initiatives, or her designate. The USAID Mission, through regular contact with the Recipient, will provide policy guidance and directions in such areas as the design of the final survey instrument, travel restrictions on agreement financed personnel in country, and approval of key personnel. The role of the USAID Mission will include standard oversight and project management responsibilities. These functions will include, but not be limited to:

- a. Oversight of all the activities of the Recipient;
- b. Participation in selected field visits to civic organizations at Mission discretion;
- c. Review of Recipient narrative reports, statistical reports, and financial statements;
- d. Participation in Opening Strategy Session in Washington;
- e. Approval of all U.S. and third country advisors and consultants and issuance of necessary clearance cables; and
- f. Approval of final survey instrument and final report format.

D. PERIOD OF AGREEMENT

The effective date of this Agreement is September 1, 1991 to recognize pre-grant expenses not exceeding the amount of \$5,000. The period of this Cooperative Agreement is from the effective date through January 31, 1992, unless subsequently amended by mutual agreement of the Recipient and A.I.D.

E. REPORTS AND EVALUATIONS

1. Project Status Reports The Recipient will submit to A.I.D. a draft and final evaluation reports, with timing for submission as specified in Attachment II of this Cooperative Agreement. These reports will provide narrative detail of results of the survey and evaluation activities, analytical treatment, summary data, and recommendations, as described in Attachment II.

2. Financial Reports The financial reporting requirements are set forth in the Standard Provision entitled "Payment - Periodic Advance" and in Paragraph B above. The financial reports shall be submitted to the Office of the Controller, USAID/El Salvador on a monthly basis within ten (10) days after the end of each month.

F. NEGOTIATED INDIRECT RATES

Overhead costs will not be reimbursed under this Agreement. A fixed Fringe Benefit Rate shall be reimbursed as follows:

<u>Organization</u>	<u>Rate</u>	<u>Base</u>
Freedom House	46.00%	US Direct Employee Staff Only
NRI*	37.65%	US Direct Employee Staff Only
NDI*	47.71%	US Direct Employee Staff Only
SWVRI*	31.00%	US Direct Employee Staff Only

The foregoing rates are fixed for life of this Agreement. The Recipient agrees that the foregoing rates are consistent with each organizations accounting practices for fringe benefit.

G. FINANCIAL PLAN

The following is the Agreement budget. Revisions to this budget shall be made in accordance with the Standard Provision of this Agreement, entitled "Revision of Grant Budget."

Illustrative Budget

Personnel**	\$ 56,000
Travel and Per Diem	\$ 25,000
Other Direct Costs	<u>\$ 39,000</u>
<u>TOTAL</u>	<u>\$120,000</u>

** Fringe Benefit is included in the personnel line item.

5

H. SPECIAL PROVISIONS

1. Procurement of Goods and Services/Authorized Geographic Code. Procurement of goods or services with the requirements contained in the Optional Standard Provision number 6 entitled "Procurement of Goods and Services (November 1985)", and Additional Standard Provision number 7 entitled "AID Eligibility Rules for Goods and Services (November 1985)" as it pertains to procurement totaling no more than \$250,000 over the life of this Agreement.
2. Drug-Free Workplace Requirements - The Recipient shall maintain a drug-free workplace in compliance with the certification provided to A.I.D. prior to the signing of this agreement. Violations of the requirements to maintain a drug-free workplace may subject the Recipient to suspension of disbursements, termination or suspension of this agreement, ineligibility to receive further grant assistance and such other remedies as A.I.D. may consider appropriate. Violations include the failure to comply with the certification, presentation of a false certification, or evidence that such a number of employees have been convicted of violation of criminal drug statutes for acts occurring in the workplace as to indicate that the Recipient has failed to make a good faith effort to provide a drug-free workplace.
3. U.S. citizen employees of the Recipient, as well as the U.S. citizen employees of its sub-recipients and subcontractors, who are in El Salvador solely for the purpose of working under the Grant, may be granted access to the commissary operated by the American Employee Association in El Salvador (AEASS) in accordance with the policies of the Department of State and the U.S. Embassy to El Salvador.
4. Logistic Support. All logistic support shall be provided or arranged by the Recipient.
5. Cooperating Country Liaison Officials. USAID/ES Project Manager who will report to the Director of the Office of Democratic Initiatives, or her designate.

I. STANDARD PROVISIONS

The Mandatory and Optional Standard Provisions for U.S. Nongovernmental Grantees contained at Attachment III hereof, are applicable to this Cooperative Agreement, with the exception of the provisions listed below:

- a. Payment - Letter of Credit
- b. Payment - Cost Reimbursement

- c. Patent Rights
- d. Ocean Shipment of Goods
- e. Negotiated Indirect Costs Rates - Predetermined
- f. Negotiated Indirect Costs Rates - Provisional
- g. Care of Laboratory Animals
- h. Title to and Care Property (U.S. Government Title)
- i. Title to and Care of Property (Cooperative Country Title)
- j. Title to and Care of Property (Grantee Title)
- k. Cost Sharing (Matching)
- l. Participant Training
- m. Voluntary Population Planning
- n. Protection of the Individual as a Research Subject
- o. Government Furnished Excess Personal Property

*National Republican Institute (NRI)

*National Democratic Institute (NDI)

*Southwest Voter Research Institute (SWRI)

1

PROGRAM DESCRIPTION

A. PROJECT AND ACTIVITY PURPOSE

Freedom House, in an unsolicited proposal, requested USAID assistance and funding for a survey and evaluation of Salvadoran civic and issue-awareness organizations which support, directly or indirectly, participation in Salvadoran elections. The purpose of surveying these organizations is to assess their coverage and capacity to become more responsive and more effective in support of the broader democratic and electoral process in El Salvador. The activity proposed by Freedom House, as set forth herein, is the basis for this Cooperative Agreement.

B. PROJECT ACTIVITIES

1. General:

During the March 1991 municipal and Legislative Assembly elections in El Salvador, four U.S. Private Voluntary Organizations (Freedom House, National Republican Institute for International Affairs, National Democratic Institute for International Affairs, and Southwest Voter Research Institute, Inc.: hereafter, Cooperating USPVOs) provided observation teams to monitor the elections and provide follow-up analysis on development of the electoral process. Each of these project-funded delegations noted the urgent need for broad civic education to bolster the democratic process. Several incipient efforts are underway, but no evaluative treatment of the various programs exists, nor is systematic data available on the numerous other civic-oriented PVOs now in operation. This survey and evaluation activity, responding to an unsolicited proposal by Freedom House, is designed to fill this gap and provide USAID, as well as USPVOs, with information on local civic organizations, their capability and potential.

All logistic support will be provided or arranged by Freedom House. Overall activity leadership and coordination will be provided by Freedom House (FH) to guide and concert efforts of four USPVOs to be involved in the survey/assessment, as well as local hire Salvadoran collaborators to assist in interviewing organizations. FH will conduct and guide an opening strategy meeting in the U.S. and closure briefings in El Salvador, and will be responsible to synthesize and finalize inputs from the team of USPVO and local collaborators, and to compile survey data and produce a draft and final evaluation report. Elements of the final report are further specified below, Section C.

9

2. Assessment Team Composition

Freedom House will be responsible to provide specialist services of one employee and one independent consultant, as described below, and arrange and finance participation of specialists from three other Cooperating USPVOs for all phases of the evaluation activity. Freedom House will also obtain and pay for the services of Salvadoran specialists, and support staff, to collaborate in implementation of the evaluation. The Coordinator/Methodologist, hired by FH as an independent consultant, should be experienced in social research and fluent in Spanish. The selection of this individual will be approved in advance, by USAID.

3. Opening Strategy Session

Freedom House will organize an opening strategy session in the U.S. for all USPVO collaborators and, if available, a representative of USAID, to develop an approach and survey instrument. In this task phase, FH will have the responsibility to synthesize the input of collaborators and produce:

- a. proposed criteria for inclusion of organizations to be surveyed and evaluated under the activity, and
- b. a draft survey/evaluation instrument. This will include summary data, a question reference guide for evaluators, and a weighted evaluation checklist of organizational capacities. Both criteria and the draft instrument will be reviewed and approved by USAID/El Salvador prior to their finalization and the start-up of the survey/evaluation.

4. Establishment of Evaluation Targets

During the first week in El Salvador, the FH Coordinator and Civic Participation Specialist will establish an inclusive preliminary list of civic organizations and groups that may be the targets of the evaluation, according to criteria established under step 3, above. After the arrival of Specialists from the other Cooperating USPVOs, a revised list will be established in a joint meeting of USAID with all Cooperating USPVOs. This list will define targets according to criteria previously established, and include:

- a. civic and issue-awareness organizations with national-level (or potential national-level) scope or coverage, subdivided into primary and secondary target groups, the latter to be surveyed if time permits; and
- b. local civic associations and interest groups, with a representative sample of these selected for survey and evaluation by the team.

5. Survey and Evaluation

The Coordinator and FH Civic Participation Specialist will arrive in El Salvador one week in advance of other USPVO partners, and will be responsible to engage Salvadoran collaborators and arrange logistic support in advance of survey activities that will begin during the second week. At the beginning of the second week, other Cooperating PVO team members will arrive in the country. The Coordinator, USPVO Specialists, and Salvadoran collaborators will carry out the survey and evaluation of civic organizations, and present to USAID draft executive summary and analytical sections of the report at the beginning of the fifth week. The final report will be presented to USAID prior to the departure of the team at the end of the sixth week. The roles of specific team members and reporting requirements follow:

a. The Coordinator will direct the methodological process required to carry out above tasks and to assure comparability of data. He/she will guide the division of labor among the Cooperating USPVOs and Salvadoran team members, establish reporting deadlines, and hold periodic meetings with team members to review progress of survey activities. The Coordinator and USPVO specialists will meet weekly with U.S. Mission Officers from the USAID Office of Democratic Initiatives and Embassy Political Section. On request, the team will also meet with other Mission officials. Timing of these meetings will be established jointly by the Coordinator and USAID Project Officer or designate.

No later than the beginning of the fifth week, the Coordinator will provide USAID a draft executive summary and analytical report (Chapters 1 and 2) outlining preliminary evaluation results. This draft will summarize the team's findings and recommendations for measures to increase the effectiveness of Salvadoran civic and issue-awareness organizations in promoting political awareness and participation in the Salvadoran democratic process. It will reflect the consensus of USPVO representatives or indicate points of disagreement. The draft will be discussed with USAID during the fifth week, and will incorporate USAID suggestions for presentation and discussion of findings in preparation of the final evaluation report.

The Coordinator will compile data collected and synthesize written inputs by team members, oversee the analysis of information and be responsible for producing the draft and final evaluation reports. The final report will be submitted to the USAID Office of Democratic Initiatives prior to departure of the Coordinator from El Salvador. (A further description of elements of the final evaluation report is provided in Section C, below.)

b. The FH Civic Participation Specialist will be responsible for all sub-contracting and logistical arrangements to be completed the first week. Additionally, he/she will be responsible for activities in c. below.

c. USPVO Civic Participation Specialists, and Salvadoran team members, will provide to the Coordinator written input from interviews and suggested recommendations for inclusion in the draft report. They will be responsible for participating in weekly progress meetings and discussion of the final report with USAID, and in the final debriefing of U.S. Mission officials.

6. Final Debriefing

Prior to departure, the Coordinator and USPVO Civic Participation Specialists will provide a final debriefing for USAID and U.S. Embassy staff.

C. FINAL REPORT

The final report will evaluate the role of Salvadoran civic and issue-oriented organizations in recent elections and, beyond the course of the 1991 campaign, poll their effectiveness in the broader arena of civic awareness, democratic participation, and the electoral process. In addition to an analysis of the collective role of these civic organizations, the evaluation report will provide an assessment of the individual capacities of organizations surveyed to extend their coverage and increase their effectiveness to more broadly and continuously support civic awareness and democratic participation in El Salvador.

The report will recommend potential activities that Salvadoran groups, USAID, USPVO or other donor agencies might assist in order to strengthen such a role by Salvadoran civic organizations. In addition to evaluative analysis, the final report will provide summary information on organizations surveyed, as well as those not fully surveyed and evaluated. At a minimum, the report will include the following sections and provide topical analysis in areas indicated:

a. Executive Summary

b. Synthetic Analysis of Salvadoran Civic Organizations

- i.a., generic role; issue and group coverage; gaps
- Typology, organizational strengths and weaknesses

c. Analysis of Major Players

- Location in issue spectrum and affiliations; current outreach and estimate of potential; capacity to develop role in non-partisan activities of civic and electoral awareness
- Analysis of staff/volunteer resources; experience in implementing of projects, management of budgets
- Organizational effectiveness, capacity to increase effectiveness

d. Recommendations

e. Summary data sheets (annex)

- Name of organization, date organized, juridical status
- Address and telephone; branch offices
- Formal, informal affiliations (international groups, local political or interest organizations, prominent personalities, etc.)
- Names of officers, and (if applicable) governing board members
- Statement of organizational purpose
- Descriptive summary of activities and issue coverage, evaluation of outreach and organizational capacity