

United States Agency for
International Development (AID)
Quito, Ecuador



(598-0794)
Agencia de los Estados Unidos para
el Desarrollo Internacional (AID)
Quito, Ecuador

PD-ABF-544
15N 81506

September 5, 1990

Mr. Robert Buschbacher, Director
Tropical Forestry Program
World Wildlife Fund
1250 24th Street N.W.
Washington, DC 20037

Subject: Grant 512-0784-G-00-0042-00

Dear Mr. Buschbacher:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D." or "Grantor") hereby grants to the World Wildlife Fund, (hereinafter referred to as "WWF" or "Grantee") the sum (\$425,000) in support of a program related to cooperation in reducing factors contributing to global climate change as more fully described in Attachment 1 of this grant entitled "Schedule" and Attachment 2, entitled "Program Description".

This grant is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Grantee in furtherance of program objectives through the estimated completion date of September 30, 1993. Funds disbursed by A.I.D. but uncommitted by the Grantee at the expiration of this period shall be refunded to A.I.D.

This grant is made to the WWF on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment 1, the Schedule, Attachment 2, the Program Description, and Attachment 3, Standard Provisions, which have been agreed to by your organization.

**DUPLICATE
ORIGINAL**

Please sign the original and each copy of this letter to acknowledge your receipt of the Grant. Keep one copy for WWF, and send one to Mr. Helman in Brasilia. Return the original and all other copies to me in Quito, Ecuador.

Sincerely yours,


James C. Dunlap
Regional Grant Officer

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED:

World Wildlife Fund

BY: 

TYPED NAME: 27 September 1990

TITLE: Lawrence J. Amon
Vice President for
Finance and Administration

DATE: _____

FISCAL DATA:

This Obligation:	\$425,000
Total Estimated Amount:	\$425,000
Technical Office:	USAID/Brasilia
Funding Source:	AID/W/FM/PAFD
PIO/T No.:	512-0784-3-00021
Appropriation Nos.:	72-1101021
Budget Plan Code:	LDNA-90-25512-KG12
Reservation Ctl No.	R000027

SCHEDULE

A. Purpose of Grant

The purpose of this grant is to provide support for Grantee's program related to cooperation in science and technology, as more specifically described in Attachment 2 to this Grant entitled "Program Description."

B. Period of Cooperative Agreement

The effective date of this Agreement is the date of the cover letter. The estimated completion date is September 30, 1993.

C. Amount of Agreement and Payment

1. A.I.D. hereby obligates the amount of \$425,000 for the purposes of this grant.
2. Payment shall be made to the Recipient in accordance with procedures set forth in Attachment 3 Standard Provision No. 1, entitled "Payment - Letter of Credit."

D. Grant Budget

1. The following is the Grant Budget, including local cost financing items (local cost financing is authorized). Revisions to this budget shall be made in accordance with the Standard Provision of this Grant, entitled "Revision of Grant Budget." The Grantee may adjust direct line item amounts as deemed necessary but the total obligated amount may not be exceeded.

Grant Budget Preface

WWF has requested \$425,000, from the USAID Bureau for Latin America and the Caribbean for the proposed activities. WWF will raise an additional \$425,000 to be expended on these and related activities in Brazilian Amazonia that will lead to reduction of deforestation through policy reform, conservation and demonstration of alternative land uses. This funding will go directly to project activities in Brazil. USAID funds will be expended only at the rate which matching funds are raised and expended.

Both AID and WWF funds will be spent over the three year life of the project and the line items are for the three year totals. Annual expenditures may be estimated at roughly one-third of the total costs.

Grant Budget

	<u>per year</u>	<u>3 years</u>
A. Staff Time		
Forestry Program Director (2 months)	\$ 2,500	\$ 7,500
Program Officers (15 months)	13,333	40,000
Secretary/Program Assistant (4 months)	2,666	8,000
Benefits (40% of salaries)	7,333	22,200
Subtotal Staff Time	\$ 25,900	\$ <u>77,700</u>
B. Grants and Subcontracts		
Environmental Impact Assessment	13,333	40,000
Amapa extractive reserves	20,000	60,000
Env't ed. and ecotourism with FVA	16,666	50,000
Strengthening NGOs	20,000	60,000
Support to IBAMA and SEMA	10,000	30,000
Field representative (9 months)	7,333	22,000
Subtotal Grants and Subcontracts	\$ 87,333	\$ <u>262,000</u>
C. Other Direct Costs		
International Travel	4,000	12,000
Communications, etc.	1,333	4,000
Field office costs	1,100	3,300
Subtotal Other Direct Costs	6,433	\$ <u>19,300</u>
D. Indirect Costs		
Overhead	7,766	23,300
General and administrative	14,233	42,700
Subtotal Indirect Costs	\$ <u>22,000</u>	\$ <u>66,000</u>
<u>Grand Totals</u>	\$141,666	\$ <u>425,000</u>

4

E. Reporting

1. Financial Reporting

a. Financial reporting requirements shall be in accordance with the Standard Provision of this grant entitled "Payment-Letter of Credit" as shown in Attachment 3.

b. The original and two copies of all financial reports shall be submitted to AID, Office of Financial Management, Program Accounting and Finance Division (FM/PAFD), Washington, D.C. 20523-3230. In addition, three copies of all financial reports shall be submitted to the AID Representative, Brasilia.

2. Program Performance Reporting

a. The Grantee shall submit quarterly program performance reports, and a final report, which briefly presents the following information:

(1) A comparison of actual accomplishments with the goals established for the period, including types of trainees placed consistent with the listed priority areas specified in the grant, number of participants in training, rate of implementation of all components and estimated expenditures under the program.

(2) Between the required performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Grantee shall inform AID as soon as the following types of conditions become known:

Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives or prevent the meeting of time schedules and goals. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any AID assistance needed to resolve the situation.

Favorable developments or events which enable required linkages to be established.

b. If any performance review conducted by the Grantee discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of this grant entitled "Revision of Grant Budget", the Grantee shall submit a request for budget revision.

c. Three copies of each program performance report shall be submitted to the office of the AID Representative, U.S. Embassy, Brasilia.

3. Special Reports

The Grantee shall provide special reports as requested by the AID Representative. All reports shall include detailed, pertinent information related to activities of the Fulbright Commission and the Conservation Foundation.

F. Indirect Cost Rates

Pursuant to the Standard Provision of this grant entitled "Negotiated Indirect Cost Rates - Provisional, a rate of rates shall be established for each of the Grantee's accounting periods which apply to this grant. Pending establishment of revised provisional or final indirect cost rates for each of the Grantee's accounting periods which apply to this grant, provisional payments on account of allowable indirect costs shall be made on the basis on the following negotiated provisional rate (s) applied to the base(s) which are set forth below.

<u>Type</u>	<u>Rate</u>	<u>Base</u>	<u>Period</u>
Provisional Overhead	85%	salaries and fringe benefits	Fr: 7/1/89 until amended

G. Special Provisions

For purposes of this Grant the Grant Office is understood to be either the Regional Contracting (Grant) Officer, currently in Quito, Ecuador, or the AID Representative for Brasilia.

H. Title to Property

Title to items purchased under this Grant shall vest in the Grantee.

PROGRAM DESCRIPTION

A. BACKGROUND

Global Climate Change and Amazon Deforestation

Recent Brazilian Government policies emphasize the conservation and sustainable use of the Amazon region. Brazil is interested in implementing appropriate land use measures in this tropical forest region which has been the site of large scale development efforts, rapid settlement and accelerating deforestation over the last two decades. This new environment policy favors collaboration between Brazilian and U.S. organizations to develop technical and political conditions for implementing development policies for sustainable natural resource use.

U.S. interest in sustainable development for the Amazon region stems in part from concern about the impact of deforestation (which releases CO₂) on global warming. Brazil is the fourth country in the world for volume of carbon dioxide emissions, contributing an estimated 5.5% of the worldwide emissions. Carbon released through deforestation burning (excluding other sources such as fossil fuels) accounts for the vast majority of Brazil's carbon dioxide emissions; this represents over 20% of the global emissions from this carbon dioxide source. Tropical deforestation also affects the atmosphere indirectly through its effects on rainfall.

Deforestation is underway in the Amazon region at alarming rates that appear to be accelerating in some states. Only a small portion of the vast area has been cleared thus far, because deforestation has been concentrated in the states of Mato Grosso, Para and Rondonia near roads and other development projects. Over time, land clearing penetrates into more remote areas due to land speculation, resource exhaustion and population movement. Implementing more sustainable resource management systems in these developing areas is essential in order to stabilize local populations and reverse the trend of accelerating Amazon deforestation.

In the 1990 Foreign Assistance Appropriation Act, the U.S. Congress mandated support for programs in key countries to address issues related to global climate change. Brazil's current interest in developing and implementing appropriate policies and technologies to reduce Amazon deforestation provides a natural basis for collaboration. The World Wildlife Fund proposes to work with Brazilian institutions and organizations towards these common goals; they will build on relationships they have already established in their past and present work in Brazil to carry out a coherent set of projects.

B. OBJECTIVES

The program seeks to mitigate global warming by reducing the net transfer of greenhouse gases to atmospheric systems by carrying out activities to reduce deforestation in Brazilian Amazonia. This will be accomplished through two principal approaches. First, sustainable land management systems will be promoted so that there will be economic incentives for preserving forest cover. Second, the analysis and dissemination of land management alternatives will be undertaken so that policy makers and other decision-makers will have the appropriate basic information to develop policies for sustainable land use. All activities will improve the ability of Brazilian NGOs and government institutions to collaborate with each other with the goal of ensuring continuity and progress in protection of forest resources.

C. PROGRAM COMPONENTS

The program will have seven components, five of which are included in this proposal for AID/LAC funding. The components are:

1) Assessing potential for extractive reserve promotion in Amapa: WWF will do preparatory work regarding feasibility of extractive reserves and sustainable alternatives to them in Amapa by working with NGOs to initiate community organization, land tenure studies and forest resource assessments.

2) Improving the environmental impact assessment process in Acre: WWF will bring together and collaborate with technical experts and the environmental regulatory agency (IMAC) to develop objectives and a coherent set of guidelines to serve as a basis for generating policies.

3) Supporting environmental education and ecotourism activities of the Fundacao Victoria Amazonica: WWF will support the work of FVA, a new organization with potential to play a role for forest conservation in Amazonas. WWF will strengthen the FVA and assist in developing its environmental education and ecotourism activities. Assistance in developmental implementation of two projects, Noah's Park and the Novo Airao and Jau Project, will be done to determine the feasibility of these two projects. (Noah's Park is a facility under lease agreement between FVA and IBAMA where wildlife may be viewed in their natural habitat and serve as a center for environmental education for the Manaus and international communities and for scientific study on wildlife management.)

4) Strengthening capacity of NGOs to influence policy: WWF will provide selected NGOs with training, assistance with strategic management and planning, basic infrastructure needs, and direct support for public awareness and field projects so that the institutions move toward self-sufficiency and become effective in influencing policy. The program will seek to enhance information exchange not only among NGOs and government agencies. Policy-intermediating NGOs, although few and relatively new, will receive priority.

5) Supporting strategic planning of SEMA and IBAMA: WWF will facilitate strategic planning and policy development by supporting travel and technical assistance of SEMA (Special Environmental Secretariat) and IBAMA, its implementing agency.

D. COMPONENT ACTIVITIES

- 1) Assessment of potential for extractive reserve in Amapa:
 - a) Assess economic opportunities for product diversification within an area of AMAPA being considered for an extractive reserve.
 - b) Conduct a diagnosis of community needs, building an experience of the Conselho Nacional dos Seringueiros (CNS) in Acre with input of technical assistance from Brazilian institutions such as Brazilian Agroforestry Network (REBRAF), Ecumenical Center for Indigenous Documentation (CEDI) and IEA.
 - c) Collaborate with Institute for Amazon Studies (IEA), CNS, and appropriate government agencies (IBAMA and INCRA) to integrate community needs into evolving policies on extractive reserves and carry forth the legal preparations necessary for establishing reserves.

d) Strengthen CNS in Amapa, including support for office equipment, training of personnel and support for organizational and community work.

e) Conduct a preliminary analysis of the economic basis for extractive reserves or alternatives thereto in Amapa through activities such as research and analyses on product availability, processing, marketing and agri-business management.

f) Produce an overall feasibility analysis on extractive reserves or alternative sustainable land use in Amapa based on all the above activities.

2) Increasing Effectiveness of EIA Process:

a) Bring together and collaborate with appropriate state regulatory agencies to generate objectives and a coherent set of guidelines for land use such that the EIA process has a basis from which to become effective and to consider measures to improve the EIA preparation and review process.

b) Establish a working group of scientists knowledgeable in Amazon ecosystems and other Brazilians experienced in EIA implementation to develop technical criteria and parameters for analysis of EIAs in logging and conversion of forest to pasture or agriculture.

c) Hold workshops on environmental dispute resolution and role of public participation to improve EIA process.

d) Carry out a public awareness campaign to increase knowledge of rights and responsibilities for protection of forest resources.

e) Identify and support other non-formal approaches of promoting enforcement of environmental laws, such as the environmental education and the environmental dispute resolution activities.

3) Supporting Environmental Education and Ecotourism Activities of the Fundacao Victoria Amazonica:

a) Assist FVA in ordering its project priorities, allowing FVA to decide their own direction based on their statement of mission. This includes support and/or assistance in carrying out the Noah's Park and Novo Airao-Jau projects.

b) Assist in developing a management and project strategy for FVA's future activities and institutional sustainability, both short-term and long-term.

4) Strengthening GCC NGOs:

a) Identify and assist NGOs intermedeating or carrying out policy impacting research and practical demonstrations which will play a role in the GCC program.

b) Build capacity of NGOs within the Amazon region who have or may potentially have a role in execution of program components by: (i) training of staff for improved performance of their professional functions; (ii) training and providing operating support for priority global climate change tasks; (iii) providing office equipment and improving communications and outreach to communities (to the extent possible, this will be funded by matching funds). Examples of these NGOs include: CNS, FVA, SOPREN, GEDEBAM, SOS Amazonia.

c) Provide support to NGOs in developing, monitoring, implementing and networking related to field projects and also in collaborating with government agencies and researchers (e.g., IEA, REBRAP).

d) Offer short-term training in technical areas to make NGOs more effective in affecting policy and carrying out field projects.

E. MONITORING AND EVALUATION

WWF will organize a meeting of the monitoring organization, USAID, all other grantees under the GCC program and Brazilian colleagues involved in the program components to set objectives and benchmarks as well as establish mechanisms and relationships for coordination. The monitoring organization will be responsible for data management with participants providing data from their own activities.

F. MATCHING CONTRIBUTION

WWF will commit an amount of funds, from non-AID sources, not less than that committed by AID under the present

agreement. WWF's matching contribution will be applied to activities specified in the GCC Program for Brazil and on related activities within the strategy to be identified as the program develops during the year. This flexibility will allow WWF to maximize their capability of raising matching funds from international organizations, particularly European WWF national organizations and their national bilateral assistance agencies, and respond to opportunities which arise.

Related activities are those which fall within the GCC strategy. Examples of activities that will be considered are: development of managements plans and other conservation activities in protected areas such as extractive reserves in Amapa and Jau National Park; research projects on forest management for timber and extractive products; institutional support to non-governmental organizations (e.g. proposal writing workshop for NGOs; training and strategic planning assistance to SEMA, IBAMA and select state level organizations; environmental education and development of materials to build local support for protected area conservation; and WWF time and expenses on these activities.

G. COORDINATION BETWEEN WWF AND OTHER ACTORS OF THE GCC STRATEGY

WWF will coordinate with other components of AID's GCC Program in Brazil in order to achieve maximum impact for the Program as a whole. They will work closely with other projects and make recommendations on technical aspects, facilitate communications between relevant groups, and promote interactions among researchers and policy makers. WWF will coordinate informally with the: World Resource Institute on national level resource economics policy seminars; Smithsonian Institution on long-term ecological research; Woods Hole Oceanographic Institute on research and training on agroforestry and reforestation; and the University of Florida/PESACRE group on applied research on management of tropical forests.

Also, WWF will try to identify opportunities for technical and policy exchanges on environmental and forestry issues between Brazilian institutions and U.S. government agencies. For example, WWF will seek ways to facilitate cooperation between USDA/FS with IBAMA, FUNTAC and EMBRAPA/CPATU by working with USDA/FS to identify opportunities for training activities, exchange of personnel, etc.

H. EVALUATION

Two internal evaluations are envisaged. An initial evaluation will be carried out during the project's second year by a team of two persons from different disciplinary backgrounds, based in Brazil. The final evaluation will be carried out after the end of the project by a three person team. A.I.D. may elect to participate in these evaluations or to conduct separate evaluations. These evaluations will be coordinated with the evaluation plan for the overall A.I.D. program on Global Climate Change in Brazil.

MANDATORY AND OPTIONAL STANDARD PROVISIONS
(Appendix 4C, AID Handbook 13)

The following Mandatory and Optional Standard Provisions for Non-U.S., Non-Governmental Grantees in effect as of the effective date of this Grant are incorporated herein by reference with full force and effect as though fully set forth herein:

A. Mandatory Standard Provisions

- | | |
|--------------------------------------------------------------|-----------------|
| 1. Allowable Costs | (May 1986) |
| 2. Accounting, Audit, and Records | (May 1986) |
| 3. Refunds | (May 1986) |
| 4. Revision of Grant Budget | (May 1986) |
| 5. Termination and Suspension | (May 1986) |
| 6. Disputes | (November 1985) |
| 7. Ineligible Countries | (May 1986) |
| 8. Debarment, Suspension and other
Responsibility Matters | (March 1989) |
| 9. Nondiscrimination | (May 1986) |
| 10. U.S. Officials Not to Benefit | (November 1985) |
| 11. Nonliability | (November 1985) |
| 12. Amendment | (November 1985) |
| 13. Notices | (November 1985) |

B. Optional Standard Provisions

- | | |
|-------------------------------------------------------|-----------------|
| 1. Payment - Letter of Credit | (November 1985) |
| 3. Air Travel and Transportation | (May 1986) |
| 5. Procurement of Goods and Services | (May 1986) |
| 6. A.I.D. Eligibility Rules for Goods
and Services | (May 1986) |
| 8. Subagreements | (November 1985) |
| 9. Local Cost Financing | (November 1988) |
| 11. Publications | (May 1986) |
| 13. Negotiated Indirect Cost Rates-
Provisional | (May 1986) |
| 15. Participant Training | (May 1986) |
| 20. Title to and Use of Property
(Grantee Title) | (November 1985) |
| 24. Cost Sharing (Matching) | (May 1986) |
| 25. Conversion of U.S. Dollars to
Local Currency | (November 1985) |

(C028X)

AID 1350 I
(3 87)

*PIO/T

AGENCY FOR
INTERNATIONAL DEVELOPMENT

PROJECT IMPLEMENTATION
ORDER/TECHNICAL
SERVICES

1. Cooperating Country

Brazil

Page 1 of 19 pages

2. PIO:T No.

512-0784-3-000021

3. Original or
 Amendment No. _____

4. Project Activity No and Title

Environment/Global Climate Change
598-0784

DISTRIBUTION

5. Appropriation Symbol

72-1101021

6. Budget Plan Code

LDNA-90-25512-7612

7. Obligation Status

Administrative Reservation

Implementing Document

8. Project Assistance Completion Date

(Mo., Day, Yr.) 9/30/93

9. Authorized Agent (Brazil)

A.I.D. Representative

10. This PIO:T is in full conformance with PRO/AG No.

Date N/A

11a. Type of Action and Governing AID Handbook

AID Contract
(HB 14)

AID Grant or
Cooperative Agreement
(HB 13)

PASA/RSSA
(HB 12)

Other

11b. Contract/Grant/Cooperative Agreement/
PASA/RSSA Reference Number (if this is
an Amendment)

N/A

12. Estimated Financing (A detailed budget in support of column (2) is attached as Attachment No. _____)

Maximum AID Financing Available	A. Dollars	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
					\$425,000
	B. U.S.-Owned Local Currency				

13. Mission
References

14A. Instructions to Authorized Agent

Contracting officer is instructed to execute a grant agreement with the World Wildlife Fund in the amount indicated in Block 12 to accomplish the statement of work in Attachment 2. An illustrative budget is provided in Attachment 1. Justification for non-competitive contractor selection is in Attachment 3.

R000027

14B. Address of Voucher Paying Office

M/FM/PAFD

15. Clearances - Include typed name, office symbol, telephone number and date for all clearances.

A. The Project Officer certifies that the specifications in the statement of work or program description are technically adequate.

Howard B. Helman *HBB*
AID/Representative/Brazil

Phone No.

Date 8/27/90

B. The statement of work or program description lies within the purview of the initiating office and approved agency programs.

Howard B. Helman *HBB*
AID/Representative (Brazil)

Date

8/27/90

C. James Dunlop (Quito, Ecuador)
Regional Contracting Officer

Date

8/31/90

D. Funds for the services requested are available
Paul Kramer
Regional Controller (Lima, Peru)

Date

16. For the Cooperating Country: The terms and conditions set forth herein are hereby agreed to

Signature _____ Date _____

Title

17. For the Agency for International Development

Signature *Howard B. Helman* Date 8/31/90

Title AID/Representative/Brazil

*See HB 3, Sup A, App C, Att B, for preparation instructions. Note: The completed form contains sensitive information whose unauthorized disclosure may subject an employee to disciplinary action.

18. Statement of work or program description for this project is described in Attachment No. _____.

19. Special Provisions

- A. Language Requirements (specify) Resident personnel and Project Manager must be fluent in Portuguese.
(If marked, testing must be accomplished by AID to assure desired level of proficiency.)
- B. Access to classified information will will not be required by technical specialists. (Indicate level) _____.
- C. Duty post(s) and duration of technical specialist(s) services at post(s) (months) There will be a resident project manager in country who may be either Brazilian or U.S. National throughout life of project.
- D. Dependents will will not be permitted to accompany technical specialist(s).
- E. Geographic code applicable to procurement under this PIO/T is 000 899 935 941 Other (specify) Brazil
(If other than authorized in HB 1, Sup B, Chap 5, Para 5A1d, attach waiver(s).)
- F. Salary approval(s) to exceed FS-1 salary ceiling are attached in process N/A.
- G. Cooperating country acceptance of this project (applicable to AID/W projects only)
 has been obtained is in process is not applicable to services required by PIO/T.
- H. Justification for use of external resources for consulting services is attached N/A.
- I. Clearance for procurement of ADP equipment, software, and services is attached in process N/A.
- J. OMB approval of any report to be completed by ten or more members of the general public under the statement of work is attached in process N/A.
- K. Participant training is is not being funded as part of this PIO/T.
- L. Requirement (contracts only) is recommended for small business set-aside SBA 8(a) Program neither.
- M. Other (specify).

20. Provisions for Logistic Support

A. Specific Items (Insert "X" in applicable column at right. If entry needs qualification, insert asterisk and explain below in C. "Comments")

	IN KIND SUPPLIED BY		FROM LOCAL CURRENCY SUPPLIED BY		TO BE PROVIDED OR ARRANGED BY SUPPLIER	N/A
	AID	COOPERATING COUNTRY	AID	COOPERATING COUNTRY		
(1) Office Space						X
(2) Office Equipment						X
(3) Housing and Utilities						X
(4) Furniture						X
(5) Household Appliances (Stoves, Refrig., etc.)						X
(6) Transportation in Cooperating Country						X
(7) Transportation to and from Country						X
(8) Interpreter Services/Secretarial						X
(9) Medical Facilities (Health Room)						X
(10) Vehicles (official)						X
(11) Travel Arrangements/Tickets						X
(12) Nightwatchman for Living Quarters						X
(13)						
(14)						
(15)						

(OTHER SPECIFY)

20. Provisions for Logistic Support (Continued)

B. Additional Facilities Available From Other Sources

Diplomatic pouch

PX

Commissary

Other (specify, e.g., duty free, entry, tax exemption)

C. Comments

N/A

21. Relationship of Contractor or Participating Agency to Cooperating Country and to AID

A. Relationships and Responsibilities

B. Cooperating Country Liaison Officials

C. AID Liaison Officials

Office of the A.I.D. Representative
c/o American Embassy
Brasilia, Brazil

22. Background information (additional information useful to authorized agent)

23. Summary of attachments that accompany the PIO/T (check applicable boxes)

A. Detailed budget estimate in support of increased funding (Block 12) Attachment 1

B. Evaluation criteria for competitive procurement (Block 14A)

C. Justification for procurement by other than full and open competition or noncompetitive assistance Attachment 3

D. Statement of work or program description (Block 18) Attachment 2

E. Waiver(s) justification(s), clearance(s), certification(s) (Block 19) (specify number _____)

Illustrative Budget

BUDGET EXPLANATION

As discussed in the proposal supplement under "program implementation," WWF's approach to conservation and sustainable management of tropical forests does not focus on externally-driven projects that are carried out and "owned" by WWF. Instead, we work by supporting and encouraging local institutions, both governmental and non-governmental, to develop and carry out activities themselves, which WWF supports both financially and technically.

In essence, the "staff time," "other direct costs" and "indirect costs" portions of this budget refer to the technical assistance and oversight activities carried out by WWF professionals, while the "grants and subcontracts" section of the budget refers to financial support that will be provided to Brazilian partner institutions for implementation of field activities under each component of the program. [The one exception is that the field representative included under grants and subcontracts represents technical rather than financial support; this was done to clearly separate staff expenses, on which benefits and indirect costs are charged, from consultants, which do not.]

1. Staff Time

The forestry program director is Robert Buschbacher, who has designed the program strategy for Brazil. Buschbacher will work on all components of the program, providing general management and oversight. He will have final responsibility for the direction of the program, and will interact extensively with Brazilian and U.S. organizations involved with the program.

Three WWF program officers will work on this program, as detailed in the proposal supplement section on "personnel." Gary Sattarian, the new program officer within the Tropical Forestry Program, will work full time on activities in support of the USAID Global Climate Change Program in Brazil, approximately one-half on this project and one-half on the project with the USAID Bureau of Science and Technology (thus 6 months time is budgeted here). He will be responsible for day to day implementation of the program, including working with Brazilian and US collaborating institutions, and reporting to USAID. John Butler of WWF's Brazil regional program will work primarily on the second and third components of the program, Amapa and FVA. He will spend about 2 months time on each of those, for a total of 4 months. Program Officers from the WWF Organizational Development program will support the "strengthening NGOs" and "support to IBAMA and SEMA" components of

the program. These staff members (both the program director and a program officer who will focus on Brazil) will provide training, assistance in strategic planning, and other forms of support to the target organizations as detailed in the proposal and supplement. An estimated 4 months of time will be devoted to these activities. One additional month of program officer time is budgeted, either for staff of the environmental dispute resolution program (to provide technical assistance to NGOs and in the area of environmental impact assessment); or for the director of the Brazil program (who will focus particularly on supporting IBAMA and SEMA); or for additional time needed by the other program officers described above.

The secretary, Alicia Thompson, works with the Tropical Forestry Program. She will provide general typing, administrative and clerical support to all program activities. If necessary, the Tropical Forestry Program will contract a program assistant during the coming year to supplement Ms. Thompson's work. A program assistant would provide general assistance to program officers in terms of administrative functions, routine correspondence, research, etc. The total time needed for this set of support functions is four months.

Benefits are computed at the standard WWF rate of 40 percent of salaries.

B. Grants and Subcontracts

For each component of the program, WWF will administer one or more grants to our partner institutions in Brazil. The maximal duration of these grants is one year, but many will be for shorter periods. In all cases, grants will be made in response to proposals prepared and submitted by Brazilian institutions. Thus, the specifics of each proposal can not be detailed exactly here. However, there is a great deal of detail in the "Work Plan" included in the proposal supplement that discusses step by step the specific activities that will be carried out.

The field representative line item refers to Brazilian consultants who will assist the WWF staff by providing technical support directly to the Brazilian partner organizations we are working with. This is the same type of technical assistance (including training, technical analysis of project ideas from economic and environmental viewpoints, etc.) provided by WWF staff; having Brazilian consultants who can do some of this work is a cost-effective and flexible means to provide technical assistance, while providing a challenging and rewarding professional opportunity for those Brazilians. Another responsibility of the local representatives is to facilitate networking among the various institutions working on the ground to implement various components of this program.

International travel is budgeted at \$2000 per trip, including air fare and an average of two weeks in country. Two trips are planned for both the forestry program director and the Tropical Forestry Program program officer responsible for implementing the program. [Note that an additional two trips each is budgeted for the Bureau of Science and Technology funded portion of this program.] In addition, one trip each is budgeted for program officers from the Brazil regional program and the Organizational Development program. In total, therefore, six international trips are planned.

Communications includes telephone, telex, postage, copying, and facsimile transmission. The amount was estimated based on the current activities of the WWF Tropical Forestry Program in Brazil, taking into account the major scaling up that will occur.

Field office costs are the expenses of in-country consultants, including transport within the region, per diem, and communications.

D. Indirect Costs

Indirect costs are calculated as a standard percentage, approved by USAID, of staff salaries and benefits. No indirect costs are billed on grants and subcontracts, consultants, or other direct costs. Overhead refers to operational costs like rent and utilities which provide support to WWF projects but which are not specifically allocated to any one project; thus they are distributed among all projects on a percentage basis. Similarly, "general and administrative" costs are for management and administrative personnel costs of the organization as a whole which support projects but are not specifically allocatable among projects.

WWF has requested \$425,000 from the USAID Bureau for Latin America and the Caribbean for the proposed activities. WWF will raise an additional \$425,000 to be expended on these and related activities in Brazilian Amazonia that will lead to reduction of deforestation through policy reform, conservation and demonstration of alternative land uses. This funding will go directly to project activities in Brazil. USAID funds will be expended only at the rate which matching funds are raised and expended.

Both A.I.D. and WWF funds will be spent over the three year life of the project and the line items are for the three year totals. Annual expenditures may be estimated at roughly one-third of the total costs.

Proposed Three Year A.I.D. Budget

	<u>per year</u>	<u>3 years</u>
A. Staff Time		
Forestry Program Director (2 months)	2,500	7,500
Program Officers (15 months)	13,333	40,000
Secretary/Program Assistant (4 months)	2,666	8,000
Benefits (40% of salaries)	7,333	22,200
Subtotal Staff Time	\$25,900	<u>\$77,700</u>
B. Grants and Subcontracts		
Environmental Impact Assessment	13,333	40,000
Amapa extractive reserves	20,000	60,000
Env't ed. and ecotourism with FVA	16,666	50,000
Strengthening NGOs	20,000	60,000
Support to IBAMA and SEMA	10,000	30,000
Field representative (9 months)	7,333	22,000
Subtotal Grants and Subcontracts	\$37,333	<u>\$262,000</u>
C. Other Direct Costs		
International travel	4,000	12,000
Communications, etc.	1,333	4,000
Field office costs	1,100	3,300
Subtotal Other Direct Costs	6,433	<u>\$19,300</u>
D. Indirect Costs		
Overhead	7,766	23,300
General and administrative	14,233	42,700
Subtotal Indirect Costs	22,000	<u>\$66,000</u>
<u>Grand Totals</u>	141,666	<u>\$425,000</u>

Illustrative Budget for Application of WFP Funds

Related activities are those which fall within the overall strategy of the USAID GCC program in Brazil: policy impacting research and practical demonstration projects aimed at linking researchers, resource users and policy makers. Related activities will complement the activities in this proposal. Examples of the types of activities that will be considered are: development of management plans and other conservation activities in protected areas; research projects of forest management for timber and extractive products; institutional support for NGOs; training and strategic planning assistance to government agencies; environmental education and development of materials to build local support for protected area conservation; etc.

For illustrative purposes, outlined below is a possible list of matching activities and general budget ranges. The actual set of projects will depend on opportunities identified during the year and on the progress of project development for each item.

Research and dissemination on the economics and management of virola timber in the Amazon estuary region...\$20,000

Research and dissemination on the economics and management of acai palm in the Amazon estuary region...\$15,000

(Note: both virola and acai are abundant and economically important in the Belem region and Amapa.)

Publication of manuals of Amazonian fruits and palms...\$17,000

Research and dissemination on silvicultural methods for Amazon terra firme forest...\$15,000

Improving the environmental impact assessment process in Acre...\$30,000

Outreach and environmental education to citizens groups involved in the environmental impact assessment process in Acre...\$30,000

Environmental dispute resolution training to government and nongovernmental leaders involved in Amazon resource management issues...\$25,000

Preparation of environmental dispute resolution case studies and other training materials, including translation of materials into Portuguese...\$20,000

Preparation and distribution of other environmental education materials...\$20,000

Core support to key Amazon-based activists NGOs, including training, strategic planning, provision of computers and communication equipment...\$30,000

Support for the establishment of a computer network linking environmental NGOs from the Amazon region with NGOs from other parts of Brazil (and possibly other Latin American or North American countries)...\$30,000

Support to the INPA Biological Dynamics of Forest Fragments project (formerly Minimum Critical Size project)...\$100,000

Support for NGO participation and monitoring of the ITTO-funded model extractive reserve research and development project in Acre...\$40,000

Support for baseline studies, community organization, preparation of management plans and protection of protected areas; areas under construction are Jau National Park, extractive reserves in Amapa and/or Alto Jurua extractive reserve in Acre and the adjacent Serra de Divisor National Park and 4 Indian reserves; the approach taken in protected area management will be integrating conservation with development and income generating activities from the forest...\$100,000

Salary and travel expenses of WWF staff from Organizational Development, Brazil, and Dispute Resolution programs working on the above projects as well as the USAID-funded portion of the program...\$40,000

Wang#6299E

ATTACHMENT 2 - PIOT # 512-0784-3-000021

STATEMENT OF WORK

A. BACKGROUND

Global Climate Change and Amazon Deforestation

Recent Brazilian Government policies emphasize the conservation and sustainable use of the Amazon region. Brazil is interested in implementing appropriate land use measures in this tropical forest region which has been the site of large scale development efforts, rapid settlement and accelerating deforestation over the last two decades. This new environment policy favors collaboration between Brazilian and U.S. organizations to develop technical and political conditions for implementing development policies for sustainable natural resource use.

U.S. interest in sustainable development for the Amazon region stems in part from concern about the impact of deforestation (which releases CO₂) on global warming. Brazil is the fourth country in the world for volume of carbon dioxide emissions, contributing an estimated 5.5% of the worldwide emissions. Carbon released through deforestation burning (excluding other sources such as fossil fuels) accounts for the vast majority of Brazil's carbon dioxide emissions; this represents over 20% of the global emissions from this carbon dioxide source. Tropical deforestation also affects the atmosphere indirectly through its effects on rainfall.

Deforestation is underway in the Amazon region at alarming rates that appear to be accelerating in some states. Only a small portion of the vast area has been cleared thus far because deforestation has been concentrated in the states of Mato Grosso, Para and Rondonia near roads and other development projects. Over time, land clearing penetrates into more remote areas due to land speculation, resource exhaustion and population movement. Implementing more sustainable resource management systems in these developing areas is essential in order to stabilize local populations and reverse the trend of accelerating Amazon deforestation.

In the 1990 Foreign Assistance Appropriation Act, the U.S. Congress mandated support for programs in key countries to address issues related to global climate change. Brazil's current interest in developing and implementing appropriate policies and technologies to reduce Amazon deforestation provides a natural basis for collaboration. The World Wildlife Fund proposes to work with Brazilian institutions and organizations towards these common goals; they will build on relationships they have already established in their past and present work in Brazil to carry out a coherent set of projects.

B. OBJECTIVES

The program seeks to mitigate global warming by reducing the net transfer of greenhouse gases to atmospheric systems by carrying out activities to reduce deforestation in Brazilian Amazonia. This will be accomplished through two principal approaches. First, sustainable land management systems will be promoted so that there will be economic incentives for preserving forest cover. Second, the analysis and dissemination of land management alternatives will be undertaken so that policy makers and other decision-makers will have the appropriate basic information to develop policies for sustainable land use. All activities will improve the ability of Brazilian NGOs and government institutions to collaborate with each other with the goal of ensuring continuity and progress in protection of forest resources.

C. PROGRAM COMPONENTS

The program will have seven components, five of which are included in this proposal for AID/LAC funding. The components are:

- 1) Assessing potential for extractive reserve promotion in Amapa: WWF will do preparatory work regarding feasibility of extractive reserves and sustainable alternatives to them in Amapa by working with NGOs to initiate community organization, land tenure studies and forest resource assessments.
- 2) Improving the environmental impact assessment process in Acre: WWF will bring together and collaborate with technical experts and the environmental regulatory agency (IMAC) to develop objectives and a coherent set of guidelines to serve as a basis for generating policies.

3) Supporting environmental education and ecotourism activities of the Fundacao Victoria Amazonica: WWF will support the work of FVA, a new organization with potential to play a role for forest conservation in Amazonas. WWF will strengthen the FVA and assist in developing its environmental education and ecotourism activities. Assistance in developmental implementation of two projects, Noah's Park and the Novo Airao and Jau Project, will be done to determine the feasibility of these two projects. (Noah's Park is a facility under lease agreement between FVA and IBAMA where wildlife may be viewed in their natural habitat and serve as a center for environmental education for the Manaus and international communities and for scientific study on wildlife management.)

4) Strengthening capacity of NGOs to influence policy: WWF will provide selected NGOs with training, assistance with strategic management and planning, basic infrastructure needs, and direct support for public awareness and field projects so that the institutions move toward self-sufficiency and become effective in influencing policy. The program will seek to enhance information exchange not only among NGOs and government agencies. Policy-intermediating NGOs, although few and relatively new, will receive priority.

5) Supporting strategic planning of SEMA and IBAMA: WWF will facilitate strategic planning and policy development by supporting travel and technical assistance of SEMA (Special Environmental Secretariat) and IBAMA, its implementing agency.

D. COMPONENT ACTIVITIES

- 1) Assessment of potential for extractive reserve in Amapa:
 - a) Assess economic opportunities for product diversification within an area of AMAPA being considered for an extractive reserve.
 - b) Conduct a diagnosis of community needs, building an experience of the Conselho Nacional dos Seringueiros (CNS) in Acre with input of technical assistance from Brazilian institutions such as Brazilian Agroforestry Network (REBRAP), Ecumenical Center for Indigenous Documentation (CEDI) and IEA.
 - c) Collaborate with Institute for Amazon Studies (IEA), CNS, and appropriate government agencies (IBAMA and INCRA) to integrate community needs into evolving policies on extractive reserves and carry forth the legal preparations necessary for establishing reserves.

d) Strengthen CNS in Amapa, including support for office equipment, training of personnel and support for organizational and community work.

e) Conduct a preliminary analysis of the economic basis for extractive reserves or alternatives thereto in Amapa through activities such as research and analyses on product availability, processing, marketing and agri-business management.

f) Produce an overall feasibility analysis on extractive reserves or alternative sustainable land use in Amapa based on all the above activities.

2) Increasing Effectiveness of EIA Process:

a) Bring together and collaborate with appropriate state regulatory agencies to generate objectives and a coherent set of guidelines for land use such that the EIA process has a basis from which to become effective and to consider measures to improve the EIA preparation and review process.

b) Establish a working group of scientists knowledgeable in Amazon ecosystems and other Brazilians experienced in EIA implementation to develop technical criteria and parameters for analysis of EIAs in logging and conversion of forest to pasture or agriculture.

c) Hold workshops on environmental dispute resolution and role of public participation to improve EIA process.

d) Carry out a public awareness campaign to increase knowledge of rights and responsibilities for protection of forest resources.

e) Identify and support other non-formal approaches of promoting enforcement of environmental laws, such as the environmental education and the environmental dispute resolution activities.

3) Supporting Environmental Education and Ecotourism Activities of the Fundacao Victoria Amazonica:

a) Assist FVA in ordering its project priorities, allowing FVA to decide their own direction based on their statement of mission. This includes support and/or assistance in carrying out the Noah's Park and Novo Airao-Jau projects.

b) Assist in developing a management and project strategy for FVA's future activities and institutional sustainability, both short-term and long-term.

4) Strengthening GCC NGOs:

a) Identify and assist NGOs intermedeating or carrying out policy impacting research and practical demonstrations which will play a role in the GCC program.

b) Build capacity of NGOs within the Amazon region who have or may potentially have a role in execution of program components by: (i) training of staff for improved performance of their professional functions; (ii) training and providing operating support for priority global climate change tasks; (iii) providing office equipment and improving communications and outreach to communities (to the extent possible, this will be funded by matching funds). Examples of these NGOs include: CNS, FVA, SOPREN, GEDEBAM, SOS Amazonia.

c) Provide support to NGOs in developing, monitoring, implementing and networking related to field projects and also in collaborating with government agencies and researchers (e.g., IEA, REBRAAF).

d) Offer short-term training in technical areas to make NGOs more effective in affecting policy and carrying out field projects.

E. MONITORING AND EVALUATION

WWF will organize a meeting of the monitoring organization, USAID, all other grantees under the GCC program and Brazilian colleagues involved in the program components to set objectives and benchmarks as well as establish mechanisms and relationships for coordination. The monitoring organization will be responsible for data management with participants providing data from their own activities.

F. MATCHING CONTRIBUTION

WWF will commit an amount of funds, from non-AID sources, not less than that committed by AID under the present

agreement. WWF's matching contribution will be applied to activities specified in the GCC Program for Brazil and on related activities within the strategy to be identified as the program develops during the year. This flexibility will allow WWF to maximize their capability of raising matching funds from international organizations, particularly European WWF national organizations and their national bilateral assistance agencies, and respond to opportunities which arise.

Related activities are those which fall within the GCC strategy. Examples of activities that will be considered are: development of managements plans and other conservation activities in protected areas such as extractive reserves in Amapa and Jau National Park; research projects on forest management for timber and extractive products; institutional support to non-governmental organizations (e.g. proposal writing workshop for NGOs; training and strategic planning assistance to SEMA, IBAMA and select state level organizations; environmental education and development of materials to build local support for protected area conservation; and WWF time and expenses on these activities.

G. COORDINATION BETWEEN WWF AND OTHER ACTORS OF THE GCC STRATEGY

WWF will coordinate with other components of AID's GCC Program in Brazil in order to achieve maximum impact for the Program as a whole. They will work closely with other projects and make recommendations on technical aspects, facilitate communications between relevant groups, and promote interactions among researchers and policy makers. WWF will coordinate informally with the: World Resource Institute on national level resource economics policy seminars; Smithsonian Institution on long-term ecological research; Woods Hole Oceanographic Institute on research and training on agroforestry and reforestation; and the University of Florida/PESACRE group on applied research on management of tropical forests.

Also, WWF will try to identify opportunities for technical and policy exchanges on environmental and forestry issues between Brazilian institutions and U.S. government agencies. For example, WWF will seek ways to facilitate cooperation between USDA/FS with IBAMA, FUNTAC and EMBRAPA/CPATU by working with USDA/FS to identify opportunities for training activities, exchange of personnel, etc.

H. EVALUATION

Two internal evaluations are envisaged. An initial evaluation will be carried out during the project's second year by a team of two persons from different disciplinary backgrounds, based in Brazil. The final evaluation will be carried out after the end of the project by a three person team. A.I.D. may elect to participate in these evaluations or to conduct separate evaluations. These evaluations will be coordinated with the evaluation plan for the overall A.I.D. program on Global Climate Change in Brazil.

6291E

ATTACHMENT III - PIOT # 512-0784-3-000021

Justification for Non-Competitive Award to the World Wildlife Fund - The Conservation Foundation for Work in the Global Climate Change Program in Brazil

Rationale for Justification:

WWF/CF has activities and relationships within Brazil which afford access to leaders. It has the ability to organize and manage programs for which there is no comparable institution; the advantages are of such importance to realization of the GCC program as to be critical to performance of the scope of work.

Legal Basis for Non-Competitive Award:

Non-competitive selection of WWF/CF for work in the GCC program in Brazil is justified under AID Handbook 13 (283b) which allows exceptions to the requirement of competition:

"Assistance awards for which one recipient is considered to have exclusive or predominant capability, based on experience, specialized facilities or technical competence, or based on an existing relationship with the cooperating country or beneficiaries."

Nature of the Task:

The GCC strategy considers activities in two sectors: energy conservation and forestry preservation. WWF/CF based on its experiences and relationships in Brazil qualifies to carry out activities in the forestry sector. In the forestry sector, the strategy states that AID will support:

"Amazon based efforts at policy analysis and actions aimed at: eliminating incentives for reforestation; creating parks, protected areas, extractive reserves and sustainably managed forests; generating effective information on sustainable and economically viable land use options; and strengthen linkages between scientists, non-governmental organizations, and key people in the private and public sector involved in the formation, implementation and evaluation of policy." (pp. 5-6)

This nature of the activity is to be policy-influencing and requires experience in such a policy-impacting focus within the realm of forestry sector activities. Policy dialogue and technology transfer have the highest priority for Agency action. Carrying out such a strategy not only requires experience but also would be facilitated by relationships already established with the diverse parties which must be involved to carry out this strategy component successfully.

Suitability of WWF/CF to Carry Out Task:

WWF/CF clearly has the background critical to carrying out the task successfully. The uniqueness of WWF's approach in Brazil is based upon the acceptance, access and understanding it has developed based on their broad scope of work and highly effective use of their presence to become a part of

the evolving responses to GCC concerns. WWF activities include a strong policy-influencing component; both the scope and the policy-influencing elements fit perfectly with the GCC strategy. The activity of WWF/CF in Brazil matches well the objectives sought in the GCC program. This compatibility and suitability of WWF/CF for carrying out work of the GCC strategy is founded on the history of their activities in Brazil. Not only is their level of presence unique but also their types of experiences and the contacts developed with Brazilian institutions and beneficiaries which qualify them for carrying out this work.

WWF/CF Tropical Forestry Program's experiences in Brazil are unique in that they go beyond traditional conservation strategies by attempting to develop viable land-use management practices; it seeks to close the gap between economic development and biological diversity conservation through forest management. Since 1987, WWF/CF has worked on two critical management challenges in Brazil, agroforestry and urban environment. Their program objective has been to help governmental and non-governmental organizations build a national consensus on a policy agenda and encourage a collaborative approach among the different sectors. These activities represent a policy-influencing component which complements the traditional range of field projects carried out in Brazil; WWF/CF thus significantly broadened their impact on tropical forest management issues.

WWF/CF also satisfies other strategic considerations of the GCC program. These include:

- Financial leverage opportunities from other institutions and agencies;
- "Building on existing technical and institutional capacity... emphasis on individuals and institutions that can get results now within their existing capacities;"
- Bulk of support going to "NGOs and individuals in the Amazon region and should when possible be built on existing linkages between U.S. and Brazilian institutions."

The WWF/CF has the potential to draw in funds from bi-lateral institutions and other organizations. It has itself strong existing linkages with Brazilian institutions as witnessed in their past and on-going activities in Brazil. The work of WWF/CF has had a history of strong focus on working with and building on existing Brazilian institutional and technical capacity as evidenced by the close liaisons and dependency on Brazilian organizations for WWF/CF activities. The appendix contains a summary of their activities and work with Brazilian institutions which illustrate perfectly their significant level of experience and wide range of contacts within Brazil.

Consideration of Alternative Institutions:

A careful review has been made of alternative institutions. A few might have the avocation but not the presence in Brazil needed for the critical role to be played by the selected institutions in the startup of the GCC program. Most are institutions with narrower agendas than is called for by the task scope. A review of these organizations follows.

Conservation International, a spin-off from WWF, has visited Brazil but is only now beginning activities. The World Resources Institute is a major force on the international scene but is not operative on the ground level in

Brazil. The Nature Conservancy is working in Brazil but at a modest level primarily focused on data management for bio-diversity. The National Wildlife Federation is concerned principally with advocacy activities. The Smithsonian Institute conducts research on bio-diversity and forest management. The New York Botanical Garden and Missouri Botanical Garden have research and training activities. The University of Florida at Gainesville, U.C.L.A. and other university groups will participate in the GCC programs and have been working in Brazil, but previously as research institutions. Their areas of interest would be limited to research and strengthening of capacity of institutions aside from individual research and training programs.

Findings Regarding Justification for Non-Competitive Selection:

The scope of the task of the GCC Program calls for:

- 1) access to and working with institutions at all levels of sophistication, public and private;
- 2) making institutions with sensitive roles, public (SEMA, IBAMA, FUNAC, IMAC) and private (NGOs: policy, topical and community-based) effective and helping them to clarify missions and basis for preparing for future;
- 3) helping the informal research collaboration process, the networking among institutions and the various parties participating in this new agenda to be effective;
- 4) understanding the history and position of persons and institutions, having access and being effective in intermediating with them.

A multi-faceted, rapidly building program is to be introduced, where early effectiveness is imperative. A few critical directions which are performant is the sine qua non to success. The ability to intermediate effectively within the present environment is critical and can only be made effective by contacts, experience and respect. WWF has established this locally within the region.

There is no alternative institution that has the preparedness and the presence in the region to meet the task scope effectively; the nature of the role played by this key program component is that the program move broadly and the effectiveness of other components are critically dependent upon success of this work. Therefore, it has been shown that WWF/CF has predominant capability to accomplish the activity scope defined.

CONTRACT INFORMATION MANAGEMENT SYSTEM (CIMS)

DIRECT ACTION DATA FORM

(For awards to U.S. individuals and Third Country Nationals (not FSNs) with a TEC less than or equal to \$25,000, only the shaded items on pages 1-5 of the form need to be completed.)

SECTION 1: GENERAL AWARD INFORMATION (All Actions)

1a. Basic Award Number 512-0784-G-00-0042-00	1b. Basic Mod Number	1c. Order Number	1d. Order Mod Number
-------------------------------------------------	----------------------	------------------	----------------------

AWARD NUMBER COMPONENTS [Items 2-6] NOTE: For modifications and orders — these items refer to the Basic Award.

2. Country/Office (Award Prefix) 518	3. Project Number 598-0784
-----------------------------------------	-------------------------------

4. Procurement Instrument: Report one of the following codes to identify the type of action. For a work order or a modification to a contract or work order, indicate the category of the basic contract.

<input type="checkbox"/> A - Cooperative Agreement	<input type="checkbox"/> N - Other Federal Schedule Order
<input type="checkbox"/> B - Basic Ordering Agreement (BOA)	<input type="checkbox"/> O - Purchase Order (PO)
<input type="checkbox"/> C - Contract (Other than BOA, DQC, IQC, PO, RC, PSC)	<input type="checkbox"/> P - Participating Agency Service Agreement (PASA)
<input type="checkbox"/> D - Definite Quantity Contract (DQC)	<input type="checkbox"/> Q - Requirements Contract (RC)
<input type="checkbox"/> E - Blanket Purchase Agreement (BPA)	<input type="checkbox"/> R - Resources Support Services Agreement (RSSA)
<input checked="" type="checkbox"/> G - Grant	<input type="checkbox"/> S - Personal Services Contract (PSC)
<input type="checkbox"/> I - Indefinite Quantity Contract (IQC)	<input type="checkbox"/> X - Ribbon PASA
<input type="checkbox"/> M - GSA Schedule Order	<input type="checkbox"/> Z - Ribbon Contract (Buy-In)

5. Participating Agency (PASA/RSSA only)	6. FY of Award 1990
------------------------------------------	------------------------

7. Award Description

Grantee will conduct a program related to cooperation in reducing factors contributing to global climate change.

8. Principal Place of Performance a. A.I.D. Country Code or Name 512 - Brazil	U.S. ONLY <input type="checkbox"/>	b. ENTERED	c. State	d. Zip Code
-------------------------------------------------------------------------------------	------------------------------------	-------------------	----------	-------------

9. Benefiting Country (A.I.D. Country Code or Name)
512 Brazil

NOV 17 1990

10. Project Officer

Entry Code/Org. Symbol or A.I.D./W Org. Symbol 512 AID Rep	Last Name Helman	First Howard	MI B
---------------------------------------------------------------	---------------------	-----------------	---------

11. Requirement Received by Procuring Office (MMDDIYY) 08/20/90	12. Date Award Signed by A.I.D. (MMDDIYY) 09/05/90	13. Effective Date of Award (MMDDIYY) 09/05/90	14. Estimated Completion Date (MMDDIYY) 09/30/93
--------------------------------------------------------------------	-------------------------------------------------------	---------------------------------------------------	-----------------------------------------------------

BASIC AWARDS ONLY

15a. SIC Code 8999	15b. Is This Vendor a Small Business for the SIC of Award? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	16. Product/Service Code F099
-----------------------	-----------------------------------------------------------------------------------------------------------------------------------	----------------------------------

BASIC AWARDS AND ORDERS ONLY

17. Procurement Type

<input checked="" type="checkbox"/> A - Technical Services To A.I.D.	<input type="checkbox"/> F - Participant Training
<input type="checkbox"/> B - Technical Services to Host Country	<input type="checkbox"/> G - Procurement Service Agent (PSA)
<input type="checkbox"/> C - Commodities	<input type="checkbox"/> H - Research
<input type="checkbox"/> D - Training Services to A.I.D.	<input type="checkbox"/> I - Architect and Engineering Services
<input type="checkbox"/> E - Training Services to Host Country	<input type="checkbox"/> J - Construction

18. Negotiator (Last, First, MI) DUNLAP, James J.	Country Code & Org. Symbol or A.I.D./W Org. Symbol 518 RCO	Signature
------------------------------------------------------	---------------------------------------------------------------	-----------

19. Contract Officer (Last, First, MI) DUNLAP, James J.	Country Code & Org. Symbol or A.I.D./W Org. Symbol 518 RCO	Signature
------------------------------------------------------------	---------------------------------------------------------------	-----------

CONTRACT INFORMATION MANAGEMENT SYSTEM (CIMS) DIRECT ACTION DATA FORM

GENERAL INSTRUCTIONS

Use this data form for reporting all contracts, DQCs, RCs, GSA and other Federal Schedule Orders, POs, PSCs and Ribbon Contracts with a total estimated cost (TEC) greater than \$25,000. Use this form to report all BOAs, BPAs, IQCs, Cooperative Agreements, Grants, PASAs, RSSAs, and Ribbon PASAs, regardless of dollar amount. Use this form to report all awards to U.S. individuals and Third Country Nationals (not FSNs), including PSCs and POs, regardless of the dollar amount. It should also be used to report any orders or modifications to all of the above awards, regardless of the dollar amount of the modification or order. Complete the appropriately labeled sections for different types of awards.

For awards to U.S. individuals and Third Country Nationals (not FSNs) with a TEC less than or equal to \$25,000, only the shaded items on pages 1-5 of the form need to be completed. If the TEC is greater than \$25,000, all of the items pertaining to awards must be completed.

When all parts of this form have been completed send one copy, along with the requirement document(s) and the award to:

CIMS Section
MS/OP/PS/SUP
Room 1472, SA-14
Agency For International Development
Washington, DC 20523-1418

For detailed instructions, consult the Contract Information Management System (CIMS) Data Form Instruction Manual.

SECTION 1 - INSTRUCTIONS

1a. **Basic Award Number:** Enter the award number of the award. For a modification, report the basic award number in block 1a. and the modification number in block 1b. For actions such as IQC delivery orders, report the award number of the basic contract in block 1a. and the order number in block 1c. For a modification to an order, report the basic award number in block 1a., the order number in block 1c. and the order modification number in block 1d.

For item numbers 2 through 6, see the latest version of the Contract Information Bulletin (CIB) on the Uniform Numbering System for A.I.D.-Direct Procurement Documents, for instructions and a list of codes. A list of codes is also provided in the CIMS Data Form Instruction Manual. **NOTE:** For modifications or orders these items refer to the basic award.

2. **Country/Office (Award Prefix):** Report the Country or A.I.D./W Procurement Office Code as specified in the CIB.

3. **Project Number:** Enter the last four digits of the seven-digit project number funding the award. For awards funded by operating expense money or money other than project funds, enter "0000" (zeros).

5. **Participating Agency (PASA/RSSA only):** For PASA/RSSA type actions, report the code of the participating U.S. Government Agency providing services under the agreement. A list of codes is provided in the CIMS Data Form Instruction Manual and in the CIB on Uniform Numbering Systems.

7. **Award Description:** The award description shall consist of a brief one-sentence description of the products or services being procured. The sentence shall start with the phrase "Contractor/Grantee/Recipient shall provide/assist/support..." Fill in the Award Description for all basic Awards, Orders, and modifications to PASA/RSSA awards.

8. **Principal Place of Performance (Country):** Report the A.I.D. country code, if available, or the name of the area where the work for this award will be primarily performed. For products, report the code for the country where the product is manufactured. If the place of performance cannot be determined, report the vendor's billing location.

9. **Benefiting Country:** Report the A.I.D. Country Code, if available, or the name of the country receiving technical assistance from this award.

12. **Date award signed by A.I.D.:** Enter the date on which this action (basic award, order or modification) was signed by A.I.D.

15a. **SIC Code:** Enter the Standard Industrial Classification (SIC) code that best describes the product or service acquired in this basic award. See FAR 19.102 for codes. A short list containing the codes most often used in A.I.D. is also provided in the CIMS Data Form Instruction Manual.

15b. **Small Business (Y/N)?:** Check "Yes" if the vendor is classified as "small" for the SIC of the award.

16. **Product or Service Code:** Enter the Principal Product or Service code that best describes the product or service acquired in the basic award. A short list containing the codes most often used in A.I.D. is provided in the CIMS Data Form Instruction Manual. See the FPDS Product and Service Codes Manual for a complete listing, if necessary.

17. **Procurement Type:** Check the box next to the code which best describes the category of service or commodity being procured under this award.

SECTION 2: DATA REQUIRED FOR SPECIFIC TYPES OF ACTIONS

GRANTS AND COOPERATIVE AGREEMENTS ONLY

20. Grant/Agreement Type

- | | |
|---------------------------------------------------------------------------|-------------------------------------------------------------------------|
| <input type="checkbox"/> A - Disaster Assistance | <input checked="" type="checkbox"/> C - Other Specific Support Programs |
| <input type="checkbox"/> B - American Schools and Hospitals Abroad (ASHA) | <input type="checkbox"/> D - Title XII Authority |
| | <input type="checkbox"/> E - Other than A, B, C, or D |

21. Total Amount of Non-Federal Funds pledged to this Grant/Agreement

\$ 425,000

GSA & OTHER FEDERAL SCHEDULE ORDERS

22. Schedule Contract Number

23. Name of Federal Agency Awarding Schedule

IOC BASIC ONLY

24. IOC Service Area

25. Minimum

26. Maximum (life of contract)

\$

\$

ORDERS AND CONTRACTS ONLY

27. Advisory & Assistance Services?

Yes

No

BASIC CONTRACTS ONLY

28a. Contract Type

- | | | |
|----------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------------|
| <input type="checkbox"/> A - Cost-Plus (Fixed Fee) | <input type="checkbox"/> F - Cost (No Fee) | <input type="checkbox"/> K - Fixed Price with Economic Price Adjustment |
| <input type="checkbox"/> B - Firm Fixed Price | <input type="checkbox"/> G - Cost-Plus (Award Fee) | |
| <input type="checkbox"/> C - Time and Materials | <input type="checkbox"/> H - Cost-Plus (Incentive Fee) | |
| <input type="checkbox"/> D - Labor Hour | <input type="checkbox"/> I - Fixed-Price Incentive | |
| <input type="checkbox"/> E - Cost Sharing | <input type="checkbox"/> J - Fixed-Price Redetermination | |

28b. If Cost-type Contract, is this a level of effort (term) contract?

Yes No

29a. Is this a Letter Contract?

Yes

No

29b. Is this a Definitization of a Letter Contract?

Yes

No

30. Preference Program

- | | |
|------------------------------------------------------------------|-----------------------------------------------------------------|
| <input type="checkbox"/> A - No Preference Program or Not Listed | <input type="checkbox"/> E - Tie-bid Preference |
| <input type="checkbox"/> B - 8(a) Program | <input type="checkbox"/> F - Labor Surplus Area (LSA) Set-aside |
| <input type="checkbox"/> C - Small Business (SBI) Set-aside | <input type="checkbox"/> G - Combined LSA/SB Set-aside |
| <input type="checkbox"/> D - Sheltered Workshop | |

31. Subject To Labor Statute

- A - Walsh-Healey Act, Manufacturer
- B - Walsh-Healey Act, Regular Dealer
- C - Service Contract Act
- D - Davis-Bacon Act
- E - Not Subject to Any Above (Include PSCs)

32. Country of Manufacture/Origin of Services (A.I.D. Country Code or Name)

33. Subcontract Plan Required?

Yes No

34. Date Solicitation Notice Published in CBD (MM/DD/YY)

35. Date Solicitation Issued (MM/DD/YY)

SECTION 2 - INSTRUCTIONS

20. **Grant/Agreement Type:** For Grants and Cooperative Agreements, check the box next to the code which best describes the award. Code C- "Other Specific Support Programs" refers to Chapters 4 and 6 of Handbook 13. Use Code E- "Other than A, B, C, or D," for unusual types which are not covered in codes A, B, C or D.

21. **Total Amount of Non-Federal Funds pledged to this Grant/Agreement:** Enter the total amount of matching (non-federal) funds pledged to this Grant or Cooperative Agreement.

22. **Schedule Contract No:** Enter the schedule contract number assigned by GSA or other Federal Agency which awarded the basic schedule contract. Do not use dashes in the schedule contract number.

23. **Name of Federal Agency Awarding Schedule:** Enter the name of the Federal Agency which awarded the basic schedule contract.

24. **IQC Service Area:** For IQC basic awards, enter the code which best describes the services rendered by the vendor. See listing provided in the CIMS Data Form Instruction Manual.

27. **Advisory & Assistance Services? (Y/N):** Check "Yes" if the award is for advisory and assistance services. See FAR 37.2 for definitions and examples.

28a. **Contract Type:** Check the box next to the code for the type of contract. Use code C- "Time and materials" for

IQCs. Most PSCs are usually code C or D.

28b. **If Cost-Type Contract, is this a level of effort (term) contract? (Y/N):** If this is a Cost-Type Contract, check the box to indicate whether the award is a level of effort or completion. (See FAR 16.306)

Y - Yes, Level of effort (term)

N - No, Completion

30. **Preference Program:** Check the box next to the code which best describes the preference program used in making this award. Check A if no preference program.

31. **Subject to Labor Statute:** Select the Labor Statute which applies to this award by checking the appropriate box. Most A.I.D. contracts, including PSCs, are code E.

32. **Country of Manufacture/Origin of Services (Country Code or Name):** Enter the A.I.D. country code, if available, or the name of the country where the product is manufactured. For services, report the code for the nationality of the vendor. If there are multiple sources, enter the code of the country that supplies the greatest portion.

33. **Subcontract Plan required (Y/N)?:** Check "Yes" if the vendor for this award is required to submit a plan for using small business concerns and small disadvantaged business concerns as subcontractors. (See FAR 19.702(a)).

34. **Date Solicitation Notice Published in CBD:** If applicable, enter the date that a synopsis of the solicitation appeared in the Commerce Business Daily (CBD).

BASIC CONTRACTS AND NON-COMPETITIVE CONTRACT MODIFICATIONS ONLY

36. CICA Applicability

- | | |
|-------------------------------------------------------------|---------------------------------------------------------------------------------|
| <input type="checkbox"/> A - CICA Applicable (include 8(a)) | <input type="checkbox"/> C - Subject to a Statute other than CICA (use for FAA) |
| <input type="checkbox"/> B - Small Purchase Procedure | <input type="checkbox"/> D - Pre-CICA |

37. Extent Competed

- | | |
|---------------------------------------------------------------------------------------|-----------------------------------------------------------|
| <input type="checkbox"/> A - Competed Action (include Small Business set-aside) | <input type="checkbox"/> C - Follow-on to Competed Action |
| <input type="checkbox"/> B - Not Available for Competition (use for sole-source 8(a)) | <input type="checkbox"/> D - Not Competed |

38. Solicitation Procedure

- | | |
|-------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> A - Full and Open Competition (Sealed Bid) | <input type="checkbox"/> G - Alternate Source (Reduced Cost) |
| <input type="checkbox"/> B - Full and Open Competition (Competitive Proposal) | <input type="checkbox"/> H - Alternate Source (Mobilization) |
| <input type="checkbox"/> C - Full and Open Competition (Combination) | <input type="checkbox"/> J - Alternate Source (Engineering/R&D) |
| <input type="checkbox"/> D - Architect - Engineer | <input type="checkbox"/> K - Set Aside (include competitive 8(a)) |
| <input type="checkbox"/> E - Basic Research | <input type="checkbox"/> L - Other Than Full & Open Competition (include sole-source 8(a), FAA.) |
| <input type="checkbox"/> F - Multiple Award Schedule | |

39. Authority — Other than Full & Open Competition (Complete Only if No. 38 = L)

- | | |
|---------------------------------------------------------------------|----------------------------------------------------------------------------------|
| <input type="checkbox"/> A - Unique Source | <input type="checkbox"/> J - Mobilization |
| <input type="checkbox"/> B - Follow-on Contract | <input type="checkbox"/> K - Essential R&D Capability |
| <input type="checkbox"/> C - Unsolicited Research Proposal | <input type="checkbox"/> L - International Agreement |
| <input type="checkbox"/> D - Patent/Data Rights | <input type="checkbox"/> M - Authorized by Statute (inc. sole-source 8(a), FAA.) |
| <input type="checkbox"/> E - Utilities | <input type="checkbox"/> N - Authorized Resale |
| <input type="checkbox"/> F - Standardization | <input type="checkbox"/> P - National Security |
| <input type="checkbox"/> G - Only One Source - Other than A-F above | <input type="checkbox"/> Q - Public Interest |
| <input type="checkbox"/> H - Urgency | |

40. A.I.D. Special Authorities — Other than Full & Open Competition (Complete only if No.39 = M)

- | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> A - Impairment of Foreign Aid Programs: All Personal Services Contracts (PSCs). (See AIDAR 706.302-70) | <input type="checkbox"/> E - Impairment of Foreign Aid Programs: Title XII Selection Procedure—Collaborative Assistance. (See AIDAR 706.302-70) |
| <input type="checkbox"/> B - Impairment of Foreign Aid Programs: Award of \$100,000 or less by an overseas contracting activity. (See AIDAR 706.302-70) | <input type="checkbox"/> F - Disaster Relief (See Handbook 8, Chapter 2) |
| <input type="checkbox"/> C - Impairment of Foreign Aid Programs: Written Determination by Assistant Administrator or Administrator. (see AIDAR 706.302-70) | <input type="checkbox"/> G - None of the Above Special Authorities |
| <input type="checkbox"/> D - Impairment of Foreign Aid Programs: Title XII Selection Procedure—General. (See AIDAR 706.302-70) | |

41. Synopsis of Procurement

- | |
|-------------------------------------------------------------------------------------|
| <input type="checkbox"/> A - Synopsized prior to award |
| <input type="checkbox"/> B - Not synopsized due to urgency (use only if No. 39 = H) |
| <input type="checkbox"/> C - Not synopsized for other reason |

42. No. of Offers

43. No. of Offers of Non-U.S. Item(s)

MODIFICATIONS ONLY

44. Modification purpose (Mark all that apply)

- | | |
|----------------------------------------------------|-----------------------------------------------------------------|
| <input type="checkbox"/> Incremental Funding | <input type="checkbox"/> Exercise of Option |
| <input type="checkbox"/> Administrative Change | <input type="checkbox"/> Transfer Administrative Responsibility |
| <input type="checkbox"/> Extension of Term | <input type="checkbox"/> Novation Agreement |
| <input type="checkbox"/> New/Revised Scope of Work | <input type="checkbox"/> Termination for Convenience |
| <input type="checkbox"/> Increase in TEC | <input type="checkbox"/> Termination for Default |
| <input type="checkbox"/> Decrease in TEC | Other: _____ |
| <input type="checkbox"/> Overhead Rate Adjustment | _____ |

38
38

SECTION 2 - INSTRUCTIONS

For a modification which was non-competitive (i.e., which required a non-competitive justification and was outside of the scope of work of the original contract) complete items 36 thru 43. See FAR 6.302 and 6.303.

36. **CICA Applicability:** Check the box next to the code which describes the applicability of CICA or other statutes to this award. Select code B - "Small Purchase Procedure" if this action is a small purchase pursuant to the procedures in FAR Part 13. Select Code C - "Subject to a Statute other than CICA" if this action is pursuant to the procurement procedures authorized under the Foreign Assistance Act (FAA) for Impairment of Foreign Aid Programs, Title XII Selection Procedures, or Disaster Relief. Select code A - "CICA Applicable" for all other procurement actions resulting from a solicitation issued on or after April 1, 1985 and codes B or C do not apply. 8(a) awards are coded as A. Non-competitive modifications are coded as A. Select code D - "Pre-CICA" for new procurements resulting from a solicitation issued prior to April 1, 1985.

37. **Extent Competed:** Check the box next to the code which describes the extent to which this award was competed. Select code A - "Competed Action" for Small Business set-asides and competitive 8(a) awards. Competed actions also include procurements authorized under the Foreign Assistance Act (FAA) for Impairment of Foreign Aid Programs, Title XII Selection Procedures, or Disaster Relief, where more than one offer was received. Select Code B - "Not Available for Competition" for sole-source 8(a) awards. Select Code B for procurements authorized under the Foreign Assistance Act (FAA), where only one offer was received.

38. **Solicitation Procedure:** Check the box next to the code which describes the method by which this award was competed. (See FAR Part 6.) Select Code K - "Set-Aside" for small business set-asides and competitive 8(a) awards. Code L - "Other Than Full & Open Competition" includes sole-source 8(a) awards and procurements authorized under the Foreign Assistance Act (FAA) for Impairment of

Foreign Aid Programs, Title XII Selection Procedures, or Disaster Relief.

39. **Authority — Other Than Full & Open Competition:** Complete only if Item No. 38 is equal to "L". For awards exercising other than full and open competition, check the box next to the code which describes the authority by which the award was not fully competed. (See FAR Part 6.) Code M - "Authorized by Statute" includes sole-source 8(a) awards and procurements authorized under the Foreign Assistance Act (FAA) for Impairment of Foreign Aid Programs, Title XII Selection Procedures, or Disaster Relief.

40. **A.I.D. Special Authorities — Other Than Full & Open Competition:** Complete only if Item No. 39 is equal to "M". For those awards authorized by the Foreign Assistance Act (FAA) for other than full and open competition, check the box next to the code which describes the authority. Select Code G - "None of the Above Special Authorities" for sole-source 8(a) awards.

41. **Synopsis of Procurement:** Check the box next to the appropriate code based on the Commerce Business Daily synopsis requirements of FAR 5.2. Code B - "Not synopsisized due to urgency" may be used only if Item 39 is equal to "H".

43. **No. of Offers of Non-U.S. Item(s):** Enter the number of bidders offering non-U.S. foreign end items worth 51% or more of the contract value. If the contract is exclusively for services, enter "0".

44. **Modification Purpose (Mark all that apply):** If this action is a Modification to a Basic Award or a Modification to an Order, check all of the Modification Purposes that apply to this action. If the purpose is other than those listed on the form, check "Other" and provide a brief description.

SECTION 3: VENDOR INFORMATION (All Actions)

45. Prime Vendor: (Full Name and Address) World Wildlife Fund 1250 24th St. NW Washington D.C. 20037	46. DUNS or CEC Number 07-484-5447
	47. Taxpayer ID No. (TIN) 52-1693387

BASIC AWARDS AND NOVATIONS ONLY

48. Economic Sector

<input checked="" type="checkbox"/> A - Private	<input type="checkbox"/> C - Federal Government
<input type="checkbox"/> B - International Public Sector	<input type="checkbox"/> D - State/Local Government

49. Business Organization Type

<input type="checkbox"/> A - Corporation	<input checked="" type="checkbox"/> H - Voluntary Organization
<input type="checkbox"/> B - Individual	<input type="checkbox"/> I - Foundation
<input type="checkbox"/> C - University or College	<input type="checkbox"/> J - Hospital
<input type="checkbox"/> D - Historically Black College or University	<input type="checkbox"/> K - Partnership
<input type="checkbox"/> E - Educational Organization other than University or College	<input type="checkbox"/> L - Proprietorship
<input type="checkbox"/> F - International Center	<input type="checkbox"/> M - Sheltered Workshop
<input type="checkbox"/> G - Research Organization other than International Center	<input type="checkbox"/> Z - Other

50. For Profit? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	51. U.S. Nationality? (If U.S. Nationality, then answer items 52-53) <input type="checkbox"/> Yes <input type="checkbox"/> No
-----------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------

52. Ownership Type (Complete only if Item No. 51 = Yes) <table style="width:100%;"> <tr> <td><input type="checkbox"/> A - Asian-Indian American</td> <td><input type="checkbox"/> E - Native American</td> </tr> <tr> <td><input type="checkbox"/> B - Asian-Pacific American</td> <td><input type="checkbox"/> F - Other Minority</td> </tr> <tr> <td><input type="checkbox"/> C - Black American</td> <td><input type="checkbox"/> Z - Non-Minority</td> </tr> <tr> <td><input type="checkbox"/> D - Hispanic American</td> <td></td> </tr> </table>	<input type="checkbox"/> A - Asian-Indian American	<input type="checkbox"/> E - Native American	<input type="checkbox"/> B - Asian-Pacific American	<input type="checkbox"/> F - Other Minority	<input type="checkbox"/> C - Black American	<input type="checkbox"/> Z - Non-Minority	<input type="checkbox"/> D - Hispanic American		53. Woman/Woman-Owned? (Complete only if Item No. 51 = Yes) <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> A - Asian-Indian American	<input type="checkbox"/> E - Native American								
<input type="checkbox"/> B - Asian-Pacific American	<input type="checkbox"/> F - Other Minority								
<input type="checkbox"/> C - Black American	<input type="checkbox"/> Z - Non-Minority								
<input type="checkbox"/> D - Hispanic American									

54. If the Vendor is an individual who is not a U.S. Citizen, is he/she a Green Card holder?
 Yes No

55. If U.S. University, Host Country Counterpart Institution:

56a. Common Parent Organization (tax purposes) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	56c. DUNS or CEC Number
------------------------------------------------------------------------------------------------------------------------------	--------------------------------

56b. Parent Vendor (Full Name)	56d. Taxpayer ID No. (TIN)
---------------------------------------	-----------------------------------

57a. Joint Venture?
 Yes No

57b. Participant Vendor (Full Name)	57c. DUNS or CEC No.	57d. Taxpayer ID No. (TIN)

SECTION 3 - INSTRUCTIONS

Name Vendor: Record the vendor's full name and address in the space provided. For U.S. Universities include Participating School/Center/Institute. For PASA/ include Participating Agency and Department. For include record the name as last, first and middle initial.

DUNS or CEC No.: Enter the 9-digit Dun & Bradstreet number or Contractor Establishment Code for the vendor of this action.

Taxpayer ID No. (TIN): Enter the 9-digit Taxpayer Identification Number used by the IRS for the vendor of this action. (Note: for individuals, the TIN is the individual's Social Security Number.) Foreign vendors which do not have a business in the U.S. do not have a TIN. See FAR 4.9.

Economic Sector: Check the box next to the code which best applies to the sector in which the vendor of this action participates.

Business Organization Type: Check the box next to the code which best describes the vendor of this action.

For Profit (Y/N)?: Check "Yes" if the vendor is a for-profit organization. Check "No" if the vendor is a non-profit organization. (Even if a non-profit organization charges a fee, it is still considered to be non-profit).

U.S. Nationality (Y/N)?: Check "Yes" if the vendor is a U.S. citizen; is a corporation or partnership organized under the laws of the U.S.; is a U.S.- controlled foreign corporation (per 957 et seq. of the U.S. Internal Revenue Service Code); or is a joint venture consisting entirely of individuals, corporations, or partnerships falling into one of the three foregoing categories.

Ownership Type: Complete only if Item No. 51 is equal to "Yes". If the vendor is a firm or individual of U.S. Nationality, check the box next to the code which best describes the ownership type of the vendor of this action.

53. **Woman/Woman-Owned (Y/N)?:** Complete only if Item No. 51 is equal to "Yes". If the vendor is a firm or individual of U.S. Nationality, indicate whether or not the vendor is a woman or woman-owned. A woman-owned business is a business that is at least 51% owned, controlled, and operated by women who are U.S. citizens.

54. **If the Vendor is an Individual who is not a U.S. Citizen, is he/she a Green Card holder? (Y/N):** Answer "Yes" if the individual has a green card, even if they are not currently residing in the U.S.

55. **Host Country Counterpart Institution:** If the vendor is a U.S. University, enter the name of the host-country institution receiving technical assistance.

56a. **Common Parent Organization (Tax Purposes):** Answer "Yes" if the firm is a member of an affiliated group of corporations that files Federal Income Tax returns on a consolidated basis. If "Yes", complete items 56b. - 56d. related to the parent firm.

56c. **Common Parent DUNS or CEC No.:** Enter the 9-digit Dun & Bradstreet number or Contractor Establishment Code for the common parent (tax filing) organization.

56d. **Common Parent Taxpayer ID Number (TIN):** Enter the 9-digit Taxpayer Identification Number used by the IRS for the common parent organization. See FAR 4.9.

57a. **Joint Venture?:** Answer "Yes" if the awardee is a joint venture. If "yes", complete items 57b, 57c and 57d for each participant in the joint venture.

57c. **Participant DUNS or CEC No.:** Enter the 9-digit Dun & Bradstreet number or Contractor Establishment Code for each joint venture participant.

57d. **Participant Taxpayer ID Number (TIN):** Enter the 9-digit Taxpayer Identification Number used by the IRS for each joint venture participant.

SECTION 4: FINANCIAL INFORMATION (All Actions)

58. Total Estimated Cost (TEC)

a. Previous TEC \$ -0-	b. (Increase/Decrease) This Action \$ 425,000	c. Current TEC \$ 425,000
----------------------------------	---------------------------------------------------------	-------------------------------------

OBLIGATION DATA

59. a. Budget Plan Code	b. Project Number	c. Amount Obligated/Deobligated (This Action)	d. Funds Type
LDNA-90-25512-KG12	598-0784	\$ 425,000	USD
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
e. TOTAL 		\$ 425,000	

Funds Type Codes
 USD: U.S. Dollars
 USL: U.S. Owned Local Currency

60. Paying Office: Identify the Office responsible for paying vendor invoices.

For Mission Payments, enter:
 USAID/ (country)

For A.I.D./W Payments, check either:
 PFM/FM/A/OE PFM/FM/CMPD/DC

61a. Incrementally Funded?
 YES NO

61b. If Incrementally Funded:
 Date Funded through: (MMDDYY)

4/2

SECTION 4 - INSTRUCTIONS

NOTE: All financial information must be in U.S. dollars or U.S. dollar equivalents. All local currency amounts must be converted to the U.S. dollar equivalent. "U.S. dollar equivalent" is the dollar value of the local currency at the time of the action signature.

58a. Previous Total Estimated Cost (TEC): Enter the total estimated cost to be incurred during the expected life of this award, as of the previous action.

58b. Total Estimated Cost (TEC): (Increase/Decrease) This Action: Enter the amount of change in the total estimated cost as a result of this action. Use a minus sign to indicate a decrease. If there is no change, enter "0".

58c. Current Total Estimated Cost (TEC): Enter the current total estimated cost to be incurred during the expected life of this award.

59a. Budget Plan Code (BPC): Enter each Budget Plan Code associated with this action.

59b. Project Number: Enter the Project Number associated with each BPC.

59c. Amount Obligated/Deobligated (This Action): Enter the obligation amount associated with each BPC. Use a minus sign to indicate a deobligation.

59d. Funds Type: Enter the Funds Type Code associated with each BPC. "USD" = U.S. Dollars. "USL" = U.S. Owned Local Currency.

59e. TOTAL Obligation/Deobligation: Enter the sum of all BPC amounts found in item 59.c. Use a minus sign to indicate a deobligation.

61a. Incrementally Funded (Y/N)?: An award which is not fully funded but will be funded in increments. The award states the amount presently available for payment by the government and allotted to the award, and the period of performance it is estimated the allotted amount will cover.

43