



U S AGENCY FOR
INTERNATIONAL
DEVELOPMENT

598-0822
PD ABC 813 Hemisphere Free Trade
79.117 Cooperative Agreement

SEP 4 1998

Dr Robin L Rosenberg
Deputy Director
University of Miami North-South Center
1500 Monza Avenue
Coral Gables, FL 33146

Subject Award No LAG-A-00-98-00056-00

Dear Dr Rosenberg

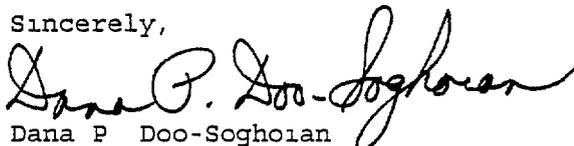
Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U S Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby grants to the University of Miami (herein after referred to as UoM or "Recipient"), the sum of \$122 500 00 to provide support for a program in LAC's Hemispheric Free Trade Expansion Project, as described in the Schedule of this award and the Attachment 2 entitled "Program Description "

This award is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending 09/03/1999 USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount

This award is made to UoM, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226 entitled "Administration of Assistance Awards to U S Non-Governmental Organizations", Attachment 1, entitled "Schedule", Attachment 2, entitled "Program Description", and Attachment 3 entitled "Standard Provisions "

Please sign the original and each copy of this letter to acknowledge your receipt of this award, and return the original and all but one copy to the Agreement Officer

Sincerely,



Dana P Doo-Soghoian
Agreement Officer
Office of Procurement
M/OP/B/LA

Attachments

- 1 Schedule
- 2 Program Description
- 3 ~~Standard Provisions~~
- 4 ~~Standards for USAID Funded Communications Projects~~

ACKNOWLEDGED University of Miami - North-South Center

BY *Sandy Blanco*
Title Sandy Blanco, Assist Director
Research & Sponsored Programs
Date 9/11/98

ACCOUNTING AND APPROPRIATION DATA

A GENERAL

1	Total Estimated Amount	\$122,500 00
2	Total Program Amount	\$123,340 00
3	Total Obligated Amount	\$122,500 00
4	Cost-Sharing Percentage (Non-Federal)	0 7% (\$840)
5	Activity Title	Trade/Environment Dialogue
6	USAID Technical Office	LAC/RSD/E - John McMahon USAID, Rm 5 09-057, RRB Washington, DC 20523
7	Tax I D Number	59-062-4458
8	DUNS No	625-22-9190
9	LOC Number	N/A

B SPECIFIC

1	NMS Request No	70
2	Org ID No	10258
3	Account No	DV98/99LDV898
4	Amount Obligated	\$122 500

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ATTACHMENT 1

SCHEDULE

1 1 PURPOSE OF AGREEMENT

The purpose of this Agreement is to provide support for the program described in Attachment 2 of this Agreement entitled "Program Description "

1 2 PERIOD OF AGREEMENT

The effective date of this Agreement is the date of the Cover Letter and the estimated completion date is 09/03/1999

1 3 AMOUNT OF AWARD AND PAYMENT

- (a) USAID hereby obligates the amount of \$122,500 00 for the purposes of this Agreement
- (b) Payment shall be made to the Recipient by Payment - Periodic Advance in accordance with procedures set forth in 22 CFR 226 22

1 4 BUDGET

The following is the Agreement Budget, including local cost financing items if authorized Revisions to this budget shall be made in accordance with 22 CFR 226 25

AGREEMENT BUDGET
9/4/98 to 9/3/99

<u>Cost Line Item</u>	<u>Amount</u>
Hemispheric Free Trade Expansion	\$122 500
USAID Agreement Amount	122,500
Recipient Cost Share	<u>840</u>
TOTAL ESTIMATED PROGRAM AMOUNT	\$123,340

1 5 REPORTING AND EVALUATION

1 5 1 Financial Reporting

In keeping with the requirements established in 22 CFR 226 52, the Recipient is required to

- (a) Submit an original and two copies of a "Request for Advance or Reimbursement", SF 270, on a monthly basis to

US AGENCY FOR INT'L DEVELOPMENT
 M/FM/CMP/MP
 Room 7 07-095 RRB
 Washington, DC 20523

- (b) Prepare a "Financial Status Report", SF 269a, on an accrual basis and submitted quarterly in an original and two copies to

US AGENCY FOR INT'L DEVELOPMENT
 M/FM/CMP/MP
 Room 7 07-095 RRB
 Washington, DC 20523

1 5 2 Monitoring and Reporting Program Performance

- (a) Requirements The Recipient shall submit an original and one copy of a brief quarterly program report to the address listed in the Cover Letter In addition, one copy shall be submitted to U S Agency for International Development, PPC/CDIE, Attn Ms Gloria White, Room 6 07-121 RRB 1300 Pennsylvania Ave, Washington, DC 20523-6802 A final performance report is also required
- (b) Contents The Program report shall briefly present the information contained in 22 CFR 226 51(d)

1 6 SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

- (a) Approval of workplans to include proposed subject matters, dates, presenters, agenda, etc
- (b) Approval of key personnel
- (c) USAID approval of monitoring and evaluation plans, and USAID involvement in monitoring progress toward the achievement of program objectives during the course of the cooperative agreement

1 7 KEY PERSONNEL

The following positions and individuals have been designated as key to the successful completion of the objective of this award In accordance with the Substantial Involvement clause of this Award these personnel are subject to the Approval of the USAID Technical Officer

<u>POSITION</u>	<u>NAME</u>
Deputy Director	Robin L Rosenberg

1 8 TITLE TO AND CARE OF PROPERTY

Title to all property financed under this award shall vest in the Recipient subject to the requirements of 22 CFR 226 30 through 37

1 9 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is 000

1 10 INDIRECT COSTS (DEC 1997)

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated fixed or predetermined rates and the appropriate bases

Description	Rate	Base	Type	Period
Adm Cost Rate	14%	1/	1/	1/
Fringe Benefit	29 5%	2/	2/	2/

1/ Base of Application Modified total direct costs
Type of Rate Predetermined
Period 06/01/97 to 05/31/00

2/ Base of Application Salaries and wages
Type of Rate Fixed
Period 06/01/98 to 05/31/99

1 11 RESOLUTION OF CONFLICTS

Conflicts between any of the Attachments of this Agreement shall be resolved by applying the following descending order of precedence

Attachment 1 - Schedule
22 CFR 226
Attachment 3 - Standard Provisions
Attachment 2 - Program Description

1 12 COST SHARING

The Recipient agrees to expend an amount not less than 0 7% of the total Federal contribution Cost sharing contributions will meet the criteria as set out in 22 CFR 226 23

1 13 COMMUNICATIONS PRODUCTS (OCT 1994)

(a) Definition - Communications products are any printed materials (other than non-color photocopy material) photographic services or video production services

1 13 (continued)

- (b) Standards - USAID has established standards for communications products. These standards must be followed unless otherwise specifically provided in the agreement or approved in writing by the agreement officer. A copy of the standards for USAID financed publications and video productions is attached.
- (c) Communications products which meet any of the following criteria are not eligible for USAID financing under this agreement unless specifically authorized in the agreement schedule or in writing by the agreement officer.
 - (1) Any communication product costing over \$25,000, including the costs of both preparation and execution. For example, in the case of a publication, the costs will include research, writing and other editorial services (including any associated overhead), design, layout and production costs.
 - (2) Any communication products that will be sent directly to, or likely to be seen by, a Member of Congress or Congressional staffer, and
 - (3) Any publication that will have more than 50 percent of its copies distributed in the United States (excluding copies provided to CDIE and other USAID/W offices for internal use).

1 14 PAYMENT OFFICE

US AGENCY FOR INT L DEVELOPMENT
M/FM/CMP/MP
Room 7 07-095 RRB
Washington, DC 20523

1 15 GRANT ADMINISTRATION OFFICE

The post-award grant administration office is the U S Agency for International Development, M/OP/B/LA, RRB, Room 7 09-103, Washington DC 20523-7100. The cognizant Agreement Officer is Dana P Doo-Soghoian and may be contacted at 202-712-5671.

1 16 PROJECT OFFICE

The Project Office is the U S Agency for International Development, LAC/RSD-E, RRB Rm 5 09-057, RRB, Washington DC 20523. The cognizant technical officer is John McMahon, and may be contacted at 202-712-0897.

LAG-A-00-98-00056-00

Attachment 2

ATTACHMENT 2

PROGRAM DESCRIPTION

The Recipient's proposal entitled "Hemispheric Free Trade Expansion Activity", dated April 1997 and as revised July 1998 is attached hereto as the Program Description (Attachment 2) and is made a part of this Award

PROGRAM DESCRIPTION

Proposed Activity

The Recipient will pursue three sequential tasks

Task 1. Commission papers by academic and professional experts exploring appropriate themes with important trade and environment linkages, such as Human Health and Trade, Biodiversity Conservation and Trade, Agriculture and Trade, Infrastructure and Trade, and similar linkages in the fisheries, heavy industry, mining, petroleum, and tourism sectors. The themes for the papers will be identified in conjunction with USAID. Many of these issues have been identified in the recent World Resources Institute (WRI) report sponsored by HFTE, "Environmentally Sustainable Trade Expansion in the Latin American Region: An Analysis and Empirical Assessment." The WRI report and other empirical studies will be used as base documents for discussion at the seminar. In addition, many of these issues have been addressed through technical and policy interventions under the HFTE and other ongoing programs, and the experiences and lessons learned through these efforts will be highlighted in the papers. The scope of work of the papers, nevertheless, would be different from the large body of research already available on many of these issues. The commissioned authors, who to the extent possible will be from the LAC region, will be asked to build on the existing research and extract policy-relevant conclusions and recommendations which can be discussed at the conference as possible elements of an emerging agenda and framework of action for trade and the environment in the Americas. These elements will have the benefit of a body of sound technical research behind them and a multi-sectoral discussion among relevant actors to build consensus on environmental issues associated with increased trade. Emphasis will be placed on potential/positive linkages, such as policies that can promote "environmental competitiveness" principles that emphasize economic savings through practices such as clean production, market demands and consumer preferences over tariff barriers as a way to promote environmental sustainability. A framework for action may include elements such as the role of specific actors, such as regional organizations, a balanced approach of regulations and use of market-based instruments, the greening of investment, facilitation of technology transfer, engaging civil society, inter alia.

Task 2 Sponsor a two day conference among government representatives, key regional institutions, business representatives and other civil society actors interested in the trade-environment connection. The conference would direct attention to substantive environmental issues that have already been identified within the trade integration context and have been the focus of many HFTE interventions to date (See Task 1). The results of the conference could serve as crucial input into

ongoing policy processes within the Summit of the Americas context, especially the work of the negotiating groups and the committees of the FTAA

The North-South Center would orient discussion around substantive areas of necessary environmental cooperation where such cooperation would serve to enhance trade relations and minimize possible conflict in bilateral, sub-regional and regional trading arrangements - and to define for participants the meaning and utility of environmental competitiveness as a paradigm for sustainable trade expansion. This can contribute to moving the trading system beyond the threat or use of sanctions and other trade measures and towards direct collaboration around those environmental issues that are most likely to generate possible conflict - and to identify and promote "win-win" environmental policies that can prepare trade-dependent industries in the region for increasing market demands for environmental performance

The conference would be the first hemispheric forum to bring regional trade and environment institutions and organizations together with civil society actors to address environmentally-sustainable trade issues in a systematic way. The papers commissioned in Task 1 will be used to bring focus to the discussions, which, wherever possible, discussions will take place in a roundtable or small group format to allow maximum interaction and direct dialogue

Task 3 Publish a conference report and a volume of proceedings to serve as a record of conference outputs and to allow dissemination of results. The North-South Center Press will publish, in English and Spanish, a summary report which will highlight conference results, reflecting both areas of agreement and ongoing challenges. This report will be disseminated widely using a variety of means, including the internet, to reach hemispheric trade and environment ministers, and other appropriate government, multilateral and civil society organizations. The Center will also publish the set of support documents in a separate volume, after the papers commissioned for the conference are enriched and revised from the comments of the experts participating in the conference activity

Likely Participants

An appropriate balance among representatives from government, civil society (including business groups and associations) and multilateral institutions will be sought in the selection of seminar/dialogue participants. Close attention will also be given to locating principal decision-makers within the participating organizations so as to adjust the dialogue to the appropriate level of engagement, which will likely include

ministerial level specialists from both trade and environment ministries, as well as senior civil society actors with capacity to convoke networks of NGOs and private sector organizations
Key participating governmental/inter-governmental organizations will include

NAFTA Commission for Environmental Cooperation (Secretariat, Council, and JPAC)
MERCOSUR Committee 6
Andean Pact
Central American Commission for Environment and Development,
Caribbean Common Market (CARICOM)
Inter-American Legislative Environment Commission
The Organization of American States (Trade, Legal & Sustainable Development Units)
World Trade Organization (WTO) Committee on Trade and Environment
Inter-American Development Bank (Trade and Sustainable Development Units)
Environment Ministries
Trade Ministries

In addition, civil society organizations active in the area will be invited to participate. Among the potential invitees are

World Resources Institute
National Wildlife Federation
World Wildlife Fund
The Nature Conservancy
National Audubon Society
Environmental Law Institute
Institute of the Americas
Center for International Environmental Law
National Association of State Development Agencies
National Environmental Societies Trust (Jamaica)
Fundación Futuro Latinoamericano (Ecuador)
Fundación Ambiente y Recursos Naturales (Argentina)
International Institute for Sustainable Development (Canada)
Centro Mexicano de Derecho Ambiental (Mexico)
Sociedad Peruana de Derecho Ambiental (Peru)
International Center for Trade and Sustainable Development (Geneva)
Council of the Americas
Business Council for Sustainable Development (Latin America)
American Bar Association
Inter-American Bar Association
Caribbean Chamber of Commerce (Barbados)
Relevant Latin American and Caribbean Industry Associations
Consejo Empresarial de America Latina (CEAL)
Consejo Interamericana de Consumo y Producción (CICYP)
Business Network for Hemispheric Integration (BNHI)

Activity Location

The conference will be held at the North-South Center in Miami, but participants will attend from all of the major subregional trading groups of the hemisphere

Estimated start and completion dates

Assuming that funding is in place by September 1998, the seminar would be scheduled for late 1998 or early 1999, with a conference report to be published by April 1999

Collaborating institutions

The conference would be produced in collaboration with the Organization of American States, with support from other regional organizations with trade-environment agendas. The CEC has already informally expressed its support for this project to the principal investigator during recent meetings. In addition to guidance from USAID, participating multilateral organizations will be asked to cooperate in conference planning and execution. Established civil society networks on trade and the environment will be brought into activity planning, as will appropriate agencies of U.S. and other governments.

Expected Results, Beneficiaries and Measurable Indicators

Results

The activity will result in

- a first-time, systematic, multi-stakeholder dialogue among representatives of key multilateral trade and environment agencies and civil society representatives about environmental issues associated with trade liberalization,
- an identification of key trade-related environmental challenges and opportunities,
- employment and operationalization of existing technical knowledge in analyzing environmentally-sound trade expansion
- dissemination of lessons learned from HFTE environment projects to date within a hemispheric forum, and increased awareness of the importance of policies that promote environmental trade competitiveness,
- an exchange of perspectives and experiences between inter-governmental institutions and civil society representatives from NGOs, the private sector and academe around environmental issues related to trade integration in the Western Hemisphere, and,

-- increased inter-regional institutional awareness and cooperation around environmentally sustainable trade and economic growth

Measurable Indicators

Indicators include

- conference held, report and proceedings published,
- report circulated to delegations in environment and trade ministries, the FTAA ministerial process, the SIRG and relevant Inter-American and global institutions, and civil society organizations,
- technical papers published in edited volume of proceedings, and,
- follow-up dialogue and collaboration among participating organizations around consensus opportunities and challenges for environmentally-sound trade expansion in the Americas

Result measurement

- North-South Center will publish a summary report highlighting conference results, reflecting both areas of consensus and ongoing challenges in an emerging framework for action,
- North-South Center will publish a volume of conference proceedings, including revised conference technical background papers which will be enriched by expert comments and discussion at conference activity,
- North-South Center will review and assess possible project impacts on relevant Summit processes, and,
- One year following the conference North-South Center will survey participants to determine what follow-up has occurred as a result of the conference, and will make recommendations for appropriate follow-up activities

Proposed Follow-up

As regional trade integration efforts gain momentum, the North-South Center will take advantage of opportunities opened by this activity to promote, with the cooperation of the relevant intergovernmental institutions and civil society organizations, environmentally sustainable trade integration in the context of the FTAA and subregional trade forums