



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

Mr. Miles Friedman
Executive Director
National Association of State Development Agencies
750 First Street, N.W., Suite 710
Washington, D.C. 20002

Subject: Cooperative Agreement No. AEP-0015-A-00-3015-00

Dear Mr. Friedman:

Pursuant to the authority contained in the Foreign Assistance Act of 1961 and the Federal Grant and Cooperative Agreement Act of 1982, as amended, the Agency for International Development (hereinafter referred to as "A.I.D.") hereby provides to National Association of State Development Agencies (hereinafter referred to as "NASDA" or "Recipient") the sum set forth in Section 1C.2. of Attachment 1 of this Cooperative Agreement to provide financial support for the program described in Attachment 2 of this Cooperative Agreement entitled "Program Description."

This Cooperative Agreement is effective as of the date of this letter and funds obligated hereunder shall be used to reimburse the Recipient for allowable program expenditures for the period set forth in Section 1B. of Attachment 1 of this Cooperative Agreement.

The total estimated amount of this Cooperative Agreement is the amount set forth in Section 1C.1. of Attachment 1, of which the amount set forth in Section 1C.2. is hereby obligated. A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount. However, subject to Section 1C.4. of Attachment 1, additional funds may be obligated by A.I.D. until such time as the obligated amount may equal the total estimated amount of this Cooperative Agreement.

This Cooperative Agreement is made to the Recipient on the condition that the funds will be administered in accordance with the terms and conditions as set forth in the attachments listed under my signature below, which together constitute the entire Cooperative Agreement document and have been agreed to by your organization.

Please acknowledge receipt and acceptance of this Cooperative Agreement by signing all copies of this Cover Letter, retaining one copy for your files, and returning the remaining copies to the undersigned.

If you have any questions, please contact W. P. Garrity of my staff at (703) 875-1011.

Sincerely yours,



Anne T. Quinlan
Agreement Officer
Chief, AEP Branch
Division B
Office of Procurement

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions
4. Special Provision entitled "Restrictions on Lobbying"
5. A.I.D. Eligibility Rules

ACKNOWLEDGED:

National Association of State Development Agencies

BY:  _____

TYPED NAME: Miles Friedman

TITLE: Executive Director

DATE: 9-21-93

FISCAL DATA

A. GENERAL

A.1. Total Estimated A.I.D. Amount: \$5,282,575
A.2. Total Obligated A.I.D. Amount: \$2,000,000
A.3. Project No.: 499-0015
A.6. A.I.D. Project Office: Asia/US-AEP
A.7. Funding Source: A.I.D./W
A.8. Tax I.D. No.: 52-0889033
A.9. CEC No.: 02-131-883H

B. SPECIFIC

B.1.(a) PIO/T No.: 499-0015-3672529
B.1.(b) Appropriation: 72-1131021.1
B.1.(c) Allotment: N/A
B.1.(d) BPC: HDVA-93-37499-EG12
B.1.(e) Amount: \$2,000,000

ATTACHMENT 1SCHEDULE**1A. PURPOSE OF COOPERATIVE AGREEMENT**

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

1B. PERIOD OF COOPERATIVE AGREEMENT

1B.1. The effective date of this Cooperative Agreement is the date of the Cover Letter and the estimated completion date is September 30, 1996. Funds obligated hereunder (see Section 1C.2. below) shall be used to reimburse the Recipient for allowable program expenditures incurred by the Recipient in pursuit of program objectives at any time during the period beginning on the effective date of this Cooperative Agreement and ending on the estimated completion date.

1B.2. However, because this Cooperative Agreement is incrementally funded (see Section 1C.4. below), funds obligated hereunder are only anticipated to be sufficient for program expenditures through May 31, 1994.

1C. AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT

1C.1. The total estimated amount of this Cooperative Agreement for its full period, as set forth in Section 1B.1. above, is \$5,282,575.

1C.2. A.I.D. hereby obligates the amount of \$2,000,000 as partial funding of the total estimated amount set forth in Section 1C.1. above for program expenditures during the indicated period set forth in Section 1B. above. Notwithstanding said total estimated amount, A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount, except as specified in paragraph (f) of the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget" (see also Section 1C.4. below).

1C.3. Payment shall be made to the Recipient in accordance with procedures set forth in the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit," as shown in Attachment 3.

1C.4. As indicated in Section 1C.2. above, this Cooperative Agreement is partially funded. Until such time as the obligated amount (see Section 1C.2. above) shall equal the total estimated amount (see Section 1C.1. above) of this Cooperative Agreement, additional increments of funds may be obligated by A.I.D. under this Cooperative Agreement (by a Cooperative Agreement modification), subject to availability of funds, possible evaluation of the program, program priorities at the time, and the requirements of the Standard Provisions of this Cooperative Agreement entitled "Revision of Grant Budget" and, if applicable (see Section 1K.2. for applicability) "Cost Sharing (Matching)," as set forth in Attachment 3.

1D. COOPERATIVE AGREEMENT BUDGET

1D.1. The following is the Budget for the total estimated amount of this Cooperative Agreement (see Section 1C.1. above) for its full period (see Section 1B. above). The Recipient may not exceed the total estimated amount or the obligated amount of this Cooperative Agreement, whichever is less (see Sections 1C.1. and 1C.2., respectively, above). Except as specified in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget," as shown in Attachment 3, the Recipient may adjust line item amounts as may be reasonably necessary for the attainment of program objectives. Revisions to the budget shall be in accordance with Section 1C. above and the Standard Provisions of this Cooperative Agreement entitled "Revision of Grant Budget," and, if applicable, "Cost Sharing (Matching)."

1D.2. Budget

<u>Cost Element</u>	<u>Amount</u>
Salaries	\$ 203,880
Fringe Benefits	85,630
Long Term Consultants	159,164
G&A	301,326
Travel and Per Diem	35,000
Consultants	40,000
Other Direct Costs	25,000
Subcontracts	432,575
Grant Program	<u>4,000,000</u>
Total Estimated Amount	\$5,282,575

1D.3. Inclusion of any cost in the budget of this Cooperative Agreement does not obviate the requirement for prior approval by the Agreement Officer of cost items designated as requiring prior approval by the applicable cost principles (see the Standard Provision of this Cooperative Agreement set forth in Attachment 3 entitled "Allowable Costs") and other terms and conditions of this Cooperative Agreement, unless specifically stated in Section 1I. below.

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1D.4. Notwithstanding the effective date of this Cooperative Agreement as shown in Section 1B. above, and subject to the Standard Provision of this Cooperative Agreement entitled "Allowable Costs," costs incurred by the Recipient in pursuit of program objectives on or after the earliest date set forth in Section 1B. above shall be eligible for reimbursement hereunder. Such costs are included in the Cooperative Agreement Budget shown above.

1E. REPORTING

1E.1. Financial Reporting

1E.1.(a) Financial reporting requirements shall be in accordance with the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit," as shown in Attachment 3. If a Standard Form 269 is required by the aforesaid Standard Provision, the "Long Form" of said form shall be used.

1E.1.(b) All financial reports shall be submitted to A.I.D., Office of Financial Management, FA/FM/CMPD/DCB, Room 700 SA-2, Washington, D.C. 20523-0209. In addition, three copies of all financial reports shall be submitted to the A.I.D. Project Office specified in the Cover Letter of this Cooperative Agreement, concurrently with submission of the Quarterly Technical Reports (See Section 1E.2. below).

1E.1.(c) The frequency of financial reporting and the due dates of reports shall be as specified in the Standard Provision of this Cooperative Agreement referred to in Section 1E.1.(a) above.

1E.2. Program Performance Planning and Reporting

1E.2.(a) Quarterly Reports

The Recipient shall submit five (5) copies of brief quarterly program performance reports, which coincide with the financial reporting periods described in Section 1E.1. above, to the A.I.D. Project Office specified in the Cover Letter of this Grant. In addition, two copies shall be submitted to A.I.D., POL/CDIE/DI, Washington, DC 20523-1802. These reports shall be submitted within 30 days following the end of the reporting period, and shall briefly present the following information:

1E.2.(a)(1) A comparison of actual accomplishments with the goals established for the period, the findings of the investigator, or both. If the output of programs can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

1E.2.(a)(2) Reasons why established goals were not met, if applicable.

1E.2.(a)(3) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs. See also Section 1I.4. of this Cooperative Agreement.

1E.2.(b) Work Plan

1E.2.(b)(1) Recipient will prepare an initial work plan that will lay out a schedule for accomplishing the program activities. This work plan will include detailed descriptions of all work elements and will constitute the official basis of agreement between A.I.D. and the cooperators/contractors involved in implementing the project. In addition, recipient will prepare a special work plan on the television activity which will require A.I.D. approval before proceeding to development.

Within fifteen (15) days from the effective date of this Cooperative Agreement, recipient shall prepare and submit to the A.I.D. Project Officer specified in the cover letter of this Cooperative Agreement three (3) copies of a draft work plan which outline the schedule of activities for the year of the project. Based on collaborative review, a final work plan will be approved by the A.I.D. Project Officer within thirty (30) days of the submission of the draft work plan.

The work plan shall include the following information:

- i) A list of activities to be undertaken during the year.
- ii) A statement of how the activities relate to the outputs.
- iii) A projected beginning time frame for the activities.
- iv) A project ending time frame for the completion of the activity.
- v) A project expenditure of person-months of input for each activity.

1E.2.(c) Special Reports

Between the required program performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Recipient shall inform the A.I.D. Project Officer as soon as the following types of conditions become known:

1E.2.(c)(1) Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any A.I.D. assistance needed to resolve the situation.

1E.2.(c)(2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

1E.2.(c)(3) If any performance review conducted by the Recipient discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget," the Recipient shall submit a request for budget revision to the Agreement Officer and the A.I.D. Project Officer specified in the Cover Letter of this Grant.

1E.2.(d). Program Reports

The periodic program reports required are:

1E.2.(d)(1) Annual marketing plan setting out how the NASDA will promote the Fund.

1E.2.(d)(2) Draft working procedures manual describing proposal review and funding procedures for soliciting, receiving, evaluating, approving, managing and closing-out grants.

1E.2.(d)(3) Quarterly summaries of all of the proposals received that are to be funded under this Cooperative Agreement.

1E.2.(e) Environmental Impact

If it appears that outputs of this project will result in an adverse environmental impact, the Recipient shall notify the A.I.D. Project Officer prior to implementation, in order to allow for orderly preparation of an environmental impact statement. The Recipient shall assure that appropriate U.S. Government, A.I.D., and/or host country procedures are followed.

1E.2.(f) Training Reports

1E.2.(d)(1) If the Recipient conducts participant training under this Cooperative Agreement, (see the Standard Provision entitled "Participant Training" for the definition of participant training), the Recipient shall comply with reporting and information requirements of the Standard Provision of this Cooperative Agreement entitled "Participant Training," as well as Chapters 5 and 24 of A.I.D. Handbook 10.

1E.2.(d)(2) The Recipient shall also provide five (5) copies of quarterly training reports to the A.I.D. Project Officer, covering this Cooperative Agreement. The report shall include the following information:

- Total number of new trainees during the period; and
- The following information for each LDC trainee:
 - name
 - citizenship
 - gender
 - training site
 - beginning and ending dates of training
 - purpose of training
 - type of training activities
 - source of funding

1E.2.(f)(3) The Recipient shall provide ten (10) copies of all training manuals produced under this Cooperative Agreement to the A.I.D. Project Officer.

1E.2.(g) Technical and Research Reports and Publications

The Recipient shall summarize technical and research activities of the project in reports, and distribute such reports to the appropriate USAID Missions, developing countries, and host country and international institutions in order to encourage use of the technology developed. Such reports will be completed within 60 days after completion of the activity. Journal articles and other publications are encouraged. See also the Standard Provision of this Cooperative Agreement entitled "Publications" (if the Recipient is a U.S. organization) or "Publications and Media Releases" (if the Recipient is a non-U.S. organization).

1E.2.(h) Trip Reports

Within 30 days following the completion of each international trip, the Recipient shall submit 3 copies of a trip report summarizing the accomplishments of the trip to the A.I.D. Project Officer specified in the cover letter of this Cooperative Agreement. If several individuals are traveling together to one site, a single report representing the group will suffice. The report shall include the purpose of the trip, technical observations, suggestions and recommendations, overall impressions of the site situation (if appropriate), and a list of persons visited with their title and organization affiliation.

1E.2.(i). Final First Year Report

Recipient shall submit 10 copies of a final report to the A.I.D. Project Officer specified in the Cover letter of this Cooperative Agreement by October 1, 1994. It will include: (1) an Executive Summary of the Cooperative Agreement's accomplishments or failings; (2) a description of Cooperative Agreement activities from its inception; (3) recommendations; (5) significance of the Cooperative Agreement's activities to A.I.D..

1E.2.(j) Final Report

Within 90 days following the estimated completion date of this Cooperative Agreement (see Section 1B. above), the Recipient shall submit five (5) copies of a final report to the A.I.D. Project Office specified in the cover letter of this Cooperative Agreement. In addition, two copies shall be submitted to A.I.D., POL/CDIE/DI, Washington, DC 20523-1802. It will cover the entire period of the Cooperative Agreement and include all information shown in this Section 1E.2., specifically including, but not necessarily limited to: (1) a summarization of the program's accomplishments or failings; (2) an overall description of the activities under the program during the period of this Cooperative Agreement; (3) a description of the methods of work used; (4) comments and recommendations regarding unfinished work and or program/continuation and direction; and 5) A fiscal report that describes in detail how the Cooperative Agreement (and any matching) funds were used.

1F. SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

It is understood and agreed that A.I.D. will be substantially involved during performance of this Cooperative Agreement as follows:

1F.1. Annual Workplan - The A.I.D. Project Officer will be consulted during the development of the annual workplans and have the right of final approval of all areas of the workplan where A.I.D. funds are included.

1F.2. Workplan Revisions - The A.I.D. Project Officer will be consulted and have the right of approval for revisions of the annual workplan which involves the use of A.I.D. funds.

1F.3. Field Visits - Pursuant to the standard provision of this Cooperative Agreement entitled "Air Travel and Transportation," the Recipient must provide advance notification to the A.I.D. Project Officer for all international travel.

1F.4. Field Activities - The A.I.D. Project Officer will be involved in, and must approve the criteria for the selection of sites, methodologies and strategies to be used in field activities funded under this Cooperative Agreement.

1F.5. Consultants - The A.I.D. Project Officer must approve, in advance, in writing, the selection of consultants retained by the Recipient.

1F.6. Participants - Where A.I.D. funds are used, the A.I.D. Project Officer must approve, in advance, the selection of technical trainees or scientists for participation in training activities.

1F.7. Principal Investigator - The A.I.D. Project Officer must approve, in advance, the selection of the principal investigator and any alternate.

1F.8. Subcontracts and Subagreements - If required by Paragraphs (b)(5) or (b)(6) of the Standard Provision entitled "Revision of Grant Budget," or the Standard Provision entitled "A.I.D. Eligibility Rules for Goods and Services," the Agreement Officer must approve subcontracts (see the Standard Provision entitled "Procurement of Goods and Services") and subagreements (see the Standard Provision entitled "Subagreements"). The A.I.D. Project Officer will approve in advance the criteria for the award of subgrants. If the recipient intends to award a subagreement contrary to the recommendations of the Review Panel or contrary to the A.I.D. approved criteria, the recipient shall submit the proposed subagreement to A.I.D. Project officer for approval.

1F.9. Evaluation Criteria - The A.I.D. Project Officer must approve, in advance the specific evaluation criteria to be used in selection of subgrants for award.

1G. PROCUREMENT AND (SUB)CONTRACTING

1G.1. Applicability

This Section 1G. applies to the procurement of goods and services by the Recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods and services (see the Standard Provisions of this Cooperative Agreement entitled "Air Travel and Transportation," "Ocean Shipment of Goods," "Procurement of Goods and Services," "AID Eligibility Rules for Goods and Services," and "Local Cost Financing"), and not to assistance provided by the Recipient (i.e., a subgrant or [sub]agreement) to a subrecipient (see the Standard Provision of this Cooperative Agreement entitled "Subagreements").

1G.2. Requirements

In addition to other applicable provisions of this Cooperative Agreement, the Recipient shall comply with paragraph (b)(2) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," concerning total procurement value of more than \$250,000 under this Cooperative Agreement. Further thereto, the following are the Authorized Geographic Codes for this Cooperative Agreement:

1G.2.(a) Source, Origin, and Componentry of Goods and Commodities/Nationality of Suppliers of Goods or Services/Eligibility of Commodity-Related Services

1G.2.(a)(1) Source, Origin, and Componentry of Goods and Commodities

Except as specified in Section 1G.2.(b) below, all goods/commodities shall have their source and origin in The United States (Geographic Code 000), and shall meet A.I.D.'s componentry requirements, except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(2) Nationality of Suppliers

1G.2.(a)(2)(A) Suppliers of Goods and Commodities

Except as specified in Section 1G.2.(b) below, the suppliers of goods and commodities shall have their nationality in The United States (Geographic Code 000), except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(2)(B) Suppliers of Services (Other Than
Commodity-Related Services)

Except as specified in Section 1G.2.(b) below, the suppliers of services (other than commodity-related services, as described in Section 1G.2.[a][3] below) shall have their nationality in The United States (Geographic Code 000), except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(2)(C) Government-Owned Organizations

Notwithstanding any other provision of this Cooperative Agreement, a Government-Owned Organization, i.e., a firm operated as a commercial company or other organizations (including nonprofit organizations other than public educational institutions) which are wholly or partially owned by governments or agencies thereof, are not eligible as suppliers of goods or services, except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(3) Eligibility of Commodity-Related Services

The eligibility of the various types of commodity-related services is described in Attachment 5 of this Cooperative Agreement. Further thereto:

1G.2.(a)(3)(A) Ocean Transportation

Notwithstanding the Standard Provision of this Cooperative Agreement entitled "Ocean Shipment of Goods," ocean shipping financed hereunder shall, except as the Agreement Officer may otherwise agree in writing, be financed only on flag vessels of the United States (A.I.D. Geographic Code 000). If the Agreement Officer approves the use of non-U.S. flag vessels, the Standard Provision of this Cooperative Agreement entitled "Ocean Shipment of Goods" will apply. See also paragraphs A.4. and B.1. of Attachment 5 of this Cooperative Agreement.

1G.2.(a)(3)(B) Marine Insurance

The Authorized Geographic Code for marine insurance is the same as is set forth in Section 1G.2.(a)(2)(B) above. Paragraph (c) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services" applies. See also paragraph B.5. of Attachment 5 of this Cooperative Agreement.

1G.2.(b) Exceptions**1G.2.(b)(1) Construction and Engineering Services**

Notwithstanding Section 1G.2.(a)(2)(B) above, unless otherwise approved in advance and in writing by the Agreement Officer:

1G.2.(b)(1)(A) Construction services estimated to be in excess of \$5,000,000 shall be limited to firms whose nationality is in the United States (Geographic Code 000);

1G.2.(b)(1)(B) Construction implemented by U.S. firms, regardless of dollar value, will require that at least 50% of the supervisors and other specified key personnel working at the project site must be U.S. citizens or non-U.S. citizens lawfully admitted for permanent residence in the United States; and

1G.2.(b)(1)(C) Engineering services, regardless of dollar value, shall be limited to the United States (Geographic Code 000).

1G.2.(b)(2) Purchase/Procurement Transactions not Exceeding \$5,000

If the proposed purchase/procurement transaction does not exceed \$5,000 excluding transportation costs, paragraph (b)(1) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services" shall apply in lieu of Sections 1G.2.(a)(1) and 1G.2.(a)(2) above, except as specified in Section 1G.2.(b)(3) below.

1G.2.(b)(3) Restricted Goods

Notwithstanding Sections 1G.2.(a)(1) and 1G.2.(b)(2) above, the restricted goods listed in paragraph (a)(3) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services" must be specifically approved by the Agreement Officer regardless of dollar value and source, origin, and componentry, except to the extent that such approval may be provided in Section 1I.3. below.

1G.2.(b)(4) Development Fund for Africa (DFA)

Notwithstanding Sections 1G.2.(a)(1) and 1G.2.(a)(2) above, and unless otherwise specified in a Project Agreement between A.I.D. and the host government, commodities and services financed under the Development Fund for Africa (DFA) shall be in accordance with paragraph (b)(1) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," except that if the total amount of

non-U.S. procurement exceeds \$5,000,000, such procurement must be approved in advance and in writing by the Agreement Officer. However, U.S. procurement is still to be maximized to the maximum extent practicable, and, except in emergencies, timing shall not be deemed a factor to justify non-U.S. procurement.

1G.2.(b)(5) Local Procurement

Notwithstanding Sections 1G.2.(a)(1) and 1G.2.(a)(2) above, local procurement of goods and services, as described in paragraph (b) of the Standard Provision of this Cooperative Agreement entitled "Local Cost Financing" is authorized. However, if required by the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget" or the applicable federal cost principles as described in the Standard Provision of this Cooperative Agreement entitled "Allowable Costs," the Recipient must still obtain the approval of the A.I.D. Agreement Officer for procurement/(sub)contracts and subagreements, regardless of dollar value or the source, origin, componentry, or supplier nationality.

1G.2.(c) Definitions

1G.2.(c)(1) Source, Origin, Componentry, and Nationality of Supplier

Source, origin, componentry requirements, and supplier nationality are defined in Chapter 5 of A.I.D. Handbook 1, Supplement B, which, as may be amended from time to time, is incorporated herein as a part of this Cooperative Agreement by reference (see also Attachment 5 of this Cooperative Agreement which reflects the substance of Chapter 5 of A.I.D. Handbook 1, Supplement B as of the effective date of this Cooperative Agreement).

1G.2.(c)(2) A.I.D. Geographic Codes

A.I.D. Geographic Codes are defined in Appendix D of A.I.D. Handbook 18, which, as may be amended from time to time, is incorporated herein as a part of this Cooperative Agreement by reference (see also Attachment 5 of this Cooperative Agreement which reflects the substance of Appendix D of A.I.D. Handbook 18 as of the effective date of this Cooperative Agreement).

1G.3. Approvals

Inclusion of costs in the budget of this Cooperative Agreement for the purchase of nonexpendable equipment obviates neither the requirement of Section J.13. of OMB Circular A-21 (for educational institutions) or Section 13 of Attachment B of OMB Circular A-122 (for nonprofit organizations other than

educational institutions) for prior approval of such purchases by the Agreement Officer, nor any other terms and conditions of this Cooperative Agreement, unless specifically stated in Section 1I.2. below.

1G.4. Title to Property

Title to property acquired hereunder shall vest in the Recipient, subject to the requirements of the Standard Provision of this Cooperative Agreement entitled "Title To and Use of Property (Grantee Title)" regarding use, accountability, and disposition of such property, except to the extent that disposition of property may be specified in Section 1I. below.

1H. INDIRECT COST RATES

1H.1. Pursuant to the Standard Provision of this Cooperative Agreement entitled "Negotiated Indirect Cost Rates - Provisional (Nonprofits)" and, if applicable (see Section 1K.2. below), "Negotiated Indirect Cost Rates - Predetermined," an indirect cost rate or rates shall be established for each of the Recipient's accounting periods which apply to this Cooperative Agreement. Payment on account of allowable indirect costs shall be made on the basis of final or predetermined indirect cost rates for each accounting period which applies to this Cooperative Agreement, but not in excess of the following ceiling rate(s) applied to the base(s) which is (are) set forth below. Any indirect costs above the ceiling rate(s) shall be absorbed by the Recipient and considered cost sharing.

<u>Type</u>	<u>Rate</u>	<u>Base</u>
Fringe Benefit	52%	1/
G&A	93%	2/

1/ Base of Application: Direct Labor

2/ Base of Application: Direct Labor and Contracted Staff Expense

1I. SPECIAL PROVISIONS

1I.1. Limitations on Reimbursement of Costs of Compensation for Personal Services and Professional Service Costs

1I.1.(a) Employee Salaries

Except as the Agreement Officer may otherwise agree in writing, A.I.D. shall not be liable for reimbursing the Recipient for any costs allocable to the salary portion of direct compensation paid by the Recipient to its employees for personal services which exceed the highest salary level for a Foreign Service Officer, Class 1 (FS-1), as periodically amended.

11.1.(b) Consultant Fees

Compensation for consultants retained by the Recipient hereunder shall not exceed, without specific approval of the rate by the Agreement Officer: either the highest rate of annual compensation received by the consultant during any full year of the immediately preceding three years; or the maximum rate of a Foreign Service Officer, Class 1 (FS-1) (as periodically amended), whichever is less. A daily rate is derived by dividing the annual compensation by 2,087 and multiplying the result by 8.

11.2. Equipment Purchases**11.2.(a) Requirement for Prior Approval**

Pursuant to Sections 1D.3. and 1G.3. above and the Standard Provisions of this Cooperative Agreement entitled "Allowable Costs" and "Revision of Grant Budget," and by extension, Section 13 of Attachment B of OMB Circular A-122, the Recipient must obtain A.I.D. Agreement Officer approval for purchases of the following:

11.2.(a)(1) General Purpose Equipment, which is defined as an article of nonexpendable tangible personal property which is usable for other than research, medical, scientific or technical activities, whether or not special modifications are needed to make them suitable for a particular purpose (e.g., office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment), having a useful life of more than two years and an acquisition cost of \$500 or more per unit); and

11.2.(a)(2) Special Purpose Equipment, which is defined as an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or technical activities (e.g., microscopes, x-ray machines, surgical instruments, and spectrometers), and which has a useful life of more than two years and an acquisition cost of \$1,000 or more per unit).

11.2.(b) Approvals

In furtherance of the foregoing, the Agreement Officer does hereby provide approval for the following purchases, which shall not be construed as authorization to exceed the total estimated amount or the obligated amount of this Cooperative Agreement, whichever is less (see Section 1C. above):

N/A

1I.2.(c) Exception for Automation Equipment

Any approval for the purchase of automation equipment which may be provided in Section 1I.2.(b) above or subsequently provided by the Agreement Officer is not valid if the total cost of purchases of automation equipment (e.g., computers, word processors, etc.), software, or related services made hereunder will exceed \$100,000. The Recipient must, under such circumstances, obtain the approval of the Agreement Officer for the total planned system of any automation equipment, software, or related services.

1I.2.(d) Compliance with A.I.D. Eligibility Rules

Any approvals provided in Section 1I.2.(b) above or subsequently provided by the Agreement Officer shall not serve to waive the A.I.D. eligibility rules described in Section 1G. of this Cooperative Agreement, unless specifically stated.

1I.3. Restricted Goods

Pursuant to Section 1G. above and paragraph (a)(3) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," the Agreement Officer's approval is required for purchase of the restricted goods described therein. In furtherance thereof, the Agreement Officer does hereby provide such approval to the extent set forth below. The Agreement Officer's approval is required for purchases of such restricted goods if all of the conditions set forth below are not met by the Recipient. Any approval provided below or subsequently provided by the Agreement Officer shall not serve to waive any terms and conditions of this Cooperative Agreement unless specifically stated.

1I.3.(a) Agricultural Commodities

Agricultural commodities may be purchased provided that they are of U.S. source (generally, the country from which the commodities are shipped) and origin (generally, the country in which the commodities are mined, grown, or produced) and purchased from a U.S. supplier, except that wheat, rice, corn, soybeans, sorghums, flour, meal, beans, peas, tobacco, hides and skins, cotton, vegetable oils, and animal fats and oils cannot be purchased under any circumstances without the prior written approval of the Agreement Officer. However, if this Cooperative Agreement is funded under the Development Fund for Africa (DFA) (see Section 1G.2.[b][4] above), procurement of agricultural commodities from Special Free World countries (Geographic Code 935) is authorized, except that procurement of agricultural commodities outside the United States must have the advance written approval of the Agreement Officer when the domestic price of the commodity is less than parity, unless the commodity cannot reasonably be procured in the U.S. in order to meet the needs of the project

11.3.(b) Motor Vehicles

Motor vehicles, if approved for purchase under Section 11.2.(b) above or subsequently approved by the Agreement Officer, must be of U.S. manufacture and must be of at least 51% U.S. componentry. The source of the motor vehicles, and the nationality of the supplier of the vehicles, must be in accordance with Section 1G.2. above. Motor vehicles are defined as self-propelled vehicles with passenger carriage capacity, such as highway trucks, passenger cars and busses, motorcycles, scooters, motorized bicycles, and utility vehicles. Excluded from this definition are industrial vehicles for materials handling and earthmoving, such as lift trucks, tractors, graders, scrapers, and off-the-highway trucks. However, if this Cooperative Agreement is funded under the Development Fund for Africa (DFA) (see Section 1G.2.[b][4] above), procurement of motor vehicles from Special Free World countries (Geographic Code 935) is authorized; provided, however, that procurement of non-U.S. vehicles shall be held to an absolute minimum.

11.3.(c) Pharmaceuticals

Pharmaceuticals may be purchased provided that all of the following conditions are met: (1) the pharmaceuticals must be safe and efficacious; (2) the pharmaceuticals must be of U.S. source and origin (see Section 1G. above); (3) the pharmaceuticals must be of at least 51% U.S. componentry (see Section 1G. above); (4) the pharmaceuticals must be purchased from a supplier whose nationality is in the U.S. (see Section 1G. above); (5) the pharmaceuticals must be in compliance with U.S. Food and Drug Administration (FDA) (or other controlling U.S. authority) regulations governing United States interstate shipment of pharmaceuticals; (6) the manufacturer of the pharmaceuticals must not infringe on U.S. patents; and (7) the pharmaceuticals must be competitively procured in accordance with the procurement policies and procedures of the Recipient and the Standard Provision of this Cooperative Agreement entitled "Procurement of Goods and Services."

11.3.(d) Pesticides

Pesticides may only be purchased if the purchase and/or use of such pesticides is for research or limited field evaluation by or under the supervision of project personnel. Pesticides are defined as substances or mixtures of substances: intended for preventing, destroying, repelling, or mitigating any unwanted insects, rodents, nematodes, fungi, weeds, and other forms of plant or animal life or viruses, bacteria, or other micro-organisms (except viruses, bacteria, or other micro-organisms on or living in man or other living animals); or intended for use as a plant regulator, defoliant, or dessicant.

11.3.(e) Rubber Compounding Chemicals and Plasticizers

Rubber compounding chemicals and plasticizers may only be purchased with the prior written approval of the Agreement Officer.

11.3.(f) Used Equipment

Used equipment may only be purchased with the prior written approval of the Agreement Officer.

11.3.(g) Fertilizer

Fertilizer may be purchased if it is either purchased in the U.S. and used in the U.S., or if it is purchased in the cooperating country with local currency for use in the cooperating country. Any fertilizer purchases which do not comply with these limitations must be approved in advance by the Agreement Officer. However, if this Cooperative Agreement is funded under the Development Fund for Africa (DFA) (see Section 1G.2.[b][4] above), procurement of fertilizer from Special Free World countries (Geographic Code 935) is authorized; provided, however, that procurement of more than 5,000 tons of non-U.S. fertilizer must have the advance written approval of the Agreement Officer.

11.4. Limitation on Use of Funds

11.4.(a) The Recipient shall not utilize funds provided by A.I.D. for any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference or training in connection with the growth or production in countries other than the United States of an agricultural commodity for export which would compete with a similar commodity grown or produced in the United States.

11.4.(b) The reports described in Section 1E.2. shall contain a statement indicating the projects or activities to which United States funds have been attributed, together with a brief description of the activities adequate to show that United States funds have not been used for the purpose in Section 11.4.(a) above.

11.4.(c) The Recipient agrees to refund to A.I.D. upon request an amount equal to any United States funds used for the purposes prohibited by Section 11.4.(a) above.

11.4.(d) No funds provided by A.I.D. under this Cooperative Agreement shall be used to provide assistance, either directly or indirectly, to any country ineligible to receive assistance pursuant to the Foreign Assistance Act as amended, related appropriations acts, or other statutes and Executive Orders of the United States (also see the Standard Provision of this Cooperative Agreement entitled "Ineligible Countries").

11.5. Compliance With Federal Guidelines and Regulatory Procedures Pertaining to Recombinant DNA

11.5.(a) The Recipient shall implement any research activities under this Cooperative Agreement which involve recombinant DNA in accordance with:

11.5.(a)(1) The National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules;

11.5.(a)(2) Procedures issued by the U.S. Department of Agriculture (USDA), the Environmental Protection Agency (EPA), or other appropriate Federal agency;

11.5.(a)(3) A.I.D.'s environmental procedures; and

11.5.(a)(4) Such other Federal guidelines and procedures as may apply during the course of research.

11.5.(b) The Recipient cannot commence testing in any foreign location until written approval for such testing is obtained from the A.I.D. Project Officer and the government of the country where testing is planned. Testing shall be conducted in accordance with all applicable regulations of that country.

11.5.(c) In addition, and prior to commencement of any such testing, the Recipient shall make a judgement and communicate same to the A.I.D. Project Officer as to whether the regulations, procedures, or facilities of the country in question are adequate to ensure testing in an environmentally sound manner. In the event such judgement is that they are not, the Recipient and the A.I.D. Project Officer will consult and agree on the conditions to be applied to the testing which will have such environmental effect.

11.5.(d) Reports submitted to A.I.D. under this Cooperative Agreement will address regulatory issues as noted above related to the activity.

11.6. Intellectual Property Rights and Section 599

11.6.(a) Recipient will provide information to grantees on the status of intellectual property rights (IPR) enforcement in countries/territories where this is considered problematic, i.e., India, Indonesia, Malaysia, Republic of Korea, Philippines, Singapore, Taiwan and Thailand, and will urge grantees considering transfer of IPR protected technology to negotiate with host country counterparts on IPRs in advance of transactions.

11.6.(b) To comply with Section 599 of the Foreign Operations, Export Financing and Related Programs Appropriations Act, 1993, recipient shall not under this cooperative agreement:

(i) provide advice or other inducement or promotion to any U.S. firm that is considering relocation of an enterprise to a location outside of the United States if production at such relocation will likely replace the production of, and reduce the number of employees at, said enterprise in the United States.

(ii) provide advice or support relative to the establishment or development in a foreign country of any export processing zone or designated area where the labor, environmental, tax, tariff, and safety laws of the country would not apply, in whole or in part, without the prior written approval of A.I.D.

(iii) provide assistance which contributes to the violation of internationally recognized workers rights of workers in an Asian country, including any designated zone or area in that country.

11.7. US-AEP Eligible Asian Countries and Cost-Sharing Requirements

11.7.(a) Recipient may fund activities involving the Asian countries and territories listed below. It will seek to maintain a balance of benefits among developing and higher income countries/territories. Recipient will also ensure cost-sharing by recipients working in various eligible countries in accordance with the cost-sharing ratios set forth below.

i. Eligible A.I.D. Countries-- No Restrictions

Bangladesh (1:1)
Fiji (1:1)
India (1:1)
Indonesia (2:1)
Mongolia (1:1)
Nepal (1:1)
Papua New Guinea (1:1)
Philippines (1:1)
Solomon Islands (1:1)
Sri Lanka (1:1)
Thailand (2:1)
Tonga (1:1)
Cook Islands (1:1)
Maldives (1:1)
Niue (1:1)
Vanuatu (1:1)
Kiribati (1:1)

ii Eligible Higher Income Countries-- No Restrictions

Brunei (3:1)
Hong Kong (3:1)
Korea, Rep. (3:1)
Malaysia (2:1)
Singapore, Rep. of (3:1)
Macao (3:1)

iii Restrictions and Prior Approval Required

Marshalls (1:1)
Taiwan (3:1) - American Institute in
Taiwan (Washington) authorization
required
Micronesia (1:1)
Bhutan (1:1)
Cambodia (1:1)

1J. RESOLUTION OF CONFLICTS

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

- Attachment 1 - Schedule
- Attachment 3 - Standard Provisions
- Attachment 4 - Special Provision entitled "Restrictions on Lobbying"
- Attachment 5 - A.I.D. Eligibility Rules
- Attachment 2 - Program Description

1K. STANDARD PROVISIONS

The Standard Provisions set forth as Attachment 3 of this Cooperative Agreement consist of the following Standard Provisions denoted by an "X" which are attached hereto and made a part of this Cooperative Agreement:

1K.1. Mandatory Standard Provisions For U.S., Nongovernmental Grantees

- (X) Allowable Costs (November 1985)
- (X) Accounting, Audit, and Records (August 1992)
- (X) Refunds (September 1990)
- (X) Revision of Grant Budget (November 1985)
- (X) Termination and Suspension (August 1992)
- (X) Disputes (August 1992)
- (X) Ineligible Countries (May 1986)
- (X) Debarment, Suspension, and Other Responsibility Matters (August 1992)
- (X) Nondiscrimination (May 1986)
- (X) U.S. Officials Not to Benefit (November 1985)
- (X) Nonliability (November 1985)
- (X) Amendment (November 1985)
- (X) Notices (November 1985)
- (X) Metric System of Measurement (August 1992)

1K.2. Additional Standard Provisions For U.S., Nongovernmental Grantees

- (X) OMB Approval Under the Paperwork Reduction Act (August 1992)
- (X) Payment - Letter of Credit (August 1992)
- () Payment - Periodic Advance (January 1988)
- () Payment - Cost Reimbursement (August 1992)
- (X) Air Travel and Transportation (August 1992)
- (X) Ocean Shipment of Goods (August 1992)

- (X) Procurement of Goods and Services (November 1985)
- (X) AID Eligibility Rules for Goods and Services (June 1993)
- (X) Subagreements (August 1992)
- (X) Local Cost Financing (June 1993)
- (X) Patent Rights (August 1992)
- (X) Publications (August 1992)
- () Negotiated Indirect Cost Rates - Predetermined (August 1992)
- (X) Negotiated Indirect Cost Rates - Provisional (Nonprofits) (August 1992)
- () Negotiated Indirect Cost Rates - Provisional (For-Profits) (August 1992)
- (X) Regulations Governing Employees (August 1992)
- (X) Participant Training (August 1992)
- () Voluntary Population Planning (June 1993)
- (X) Protection of the Individual as a Research Subject (August 1992)
- (X) Care of Laboratory Animals (November 1985)
- (X) Title To and Use of Property (Grantee Title) (November 1985)
- () Title To and Care of Property (U.S. Government Title) (November 1985)
- () Title To and Care of Property (Cooperating Country Title) (November 1985)
- () Cost Sharing (Matching) (August 1992)
- (X) Use of Pouch Facilities (August 1992)
- (X) Conversion of United States Dollars to Local Currency (November 1985)
- (X) Public Notices (August 1992)
- (X) Rights in Data (August 1992)

ATTACHMENT 2

PROGRAM DESCRIPTION

The Program Description entitled "Technology Fund II" is attached hereto (Attachment 2) and is made a part of this Cooperative Agreement.

I. Purpose of Technology Fund II

The objective of Technology Fund II is to generate substantive and productive U.S. technology relationships that help the Asian public and private sectors meet current environmental challenges. Fundable activities might include, for example, training workshops and technical seminars, engineering roundtables, equipment demonstrations, and targeted events. Priority would be accorded to environmental technologies with the greatest impact on solving problems and forging relationships. Advice on specific targeted markets will be provided to NASDA by in-country Steering Committees and the US-AEP Secretariat.

Matching grants through Technology Fund II will be used to catalyze effective environmental and development activities that have a broad and mutually beneficial impact in Asia and the United States. Eligible grantees include non-profit U.S. promotional organizations based in the United States or Asia, such as states and local governments, economic development agencies, associations, universities and non-governmental organizations. Although cost-sharing requirements will vary from country to country, grantees must generally arrange two-thirds to three-quarters of the total activity cost from non-A.I.D. public and private sector sources. This cost-sharing will clearly demonstrate a commitment to the activity by the grantee and participating companies.

II. Background Description of Technology Fund II

Technology Fund II will consist of three "windows" focused on three different target groups of eligible applicants:

- / **Window for U.S. Broad-based Promotion Organizations and Associated Companies:** This will support the supply push of U.S. environmental technologies and services to Asia. The intended applicants are broad-based U.S. organizations and constituent companies that support the full cross section of the industrial and service sectors, and which do not exclusively serve the environmental technology and service sectors. They include state and local development agencies, chambers of commerce, world trade centers, etc. (see Annex 5).

- / **Window for U.S. Sector Specific Associations and Associated Companies:** This will also promote the supply push of U.S. environmental technologies and services. The target groups are generally U.S. associations or individual members associated with such associations that are organized around specific environmental technologies and services. These include water and wastewater associations, environmental engineering associations, air pollution control associations, etc..

- / **Window for Program Funds for Asia-based Promotion Organizations:** These program funds will foster the demand pull for U.S. environmental technologies and services to Asia. Examples of these would include local American Chambers of Commerce, local U.S. associations, U.S. nongovernmental organizations and foundations. Asian governmental agencies and associations would be eligible only in affiliation with a U.S. organization. The window is available in coordination with programs in Asia or, where authorized by the US-AEP Secretariat, with programs coordinated through other official U.S. Government entities in Asian countries where US-AEP does not have Overseas Representatives (e.g. embassies).

- * **Information Outreach - development and production of informational materials to foster interest and participation of U.S. environmental firms in environmental technologies and services in Asia.**

III. Program Description

NASDA has the necessary capabilities for marketing, developing, implementing and managing Technology Fund II. NASDA shall provide all the services required by the program, with the exception of technical experts, which may be contracted as needed.

Specifically, NASDA will, subject to the review and approval of A.I.D., follow the work plan outline. Following each work element is a related list of outputs which illustrates the anticipated level of effort.

Activity 1: Marketing and Promotion

In the United States, NASDA will develop a marketing plan that articulates how it will promote Technology Fund II to states, municipalities, industry associations, and other promotional organizations and encourage their proposals. In Asia, the Overseas Representative will have primary responsibility for marketing of the Program Funds of Technology Fund II and assuring the consistency of proposals with plans. In those countries where there is not Overseas Representation, NASDA will ensure the effectiveness of the Program Funds. NASDA will also establish a Review Panel for the Window for Broad-based Organizations and for the Window for Sector Specific Associations, which assist the NASDA in marketing the Fund to their members. Furthermore, NASDA will work with the US-AEP Secretariat, the Overseas Representatives, USAID Missions, US&FCS posts, AMCHAM's and other in-country organizations to promote the use of Technology Fund II.

Program Elements:

- 1.A. Prepare an annual Marketing Plan for review by the US-AEP to guide the promotional activities.
- 1.B. Develop a one page flyer, a brochure, a Fund promotional packet, media articles and other materials for publicizing and explaining Technology Fund II.
- 1.C. Target appropriate international promotion organizations, e.g. states, associations, chambers of commerce, Small Business Administration district offices, etc.
- 1.D. Conduct direct mailings of Fund information materials to eligible U.S. applicants at least twice each year, i.e. the Broad-based and Sector Specific associations, and directly explain the program to every state international office and major industry association.
- 1.E. Promote Technology Fund II in meetings, training programs, conferences, and publications.
- 1.F. Establish a Proposal Review Panel which will assist the NASDA in marketing the Fund.
- 1.G. Brief USAID Missions and relevant Promotion Coordinating Council representatives about Technology Fund II.

- 1.H. Distribute promotional materials to all fifty states, key industry associations and other organizations, including USAID Missions.
- 1.I. Supply background materials and help multiplier groups to promote Technology Fund II at their seminars and conferences.
- 1.J. Place articles in environmental technology media.

Outputs:

- / Technology Fund II Outreach Marketing Plan.
- / One flyer, one brochure and five media articles.
- / Mailing of Fund promotional packets to at least 2,000 U.S. organizations and firms per year.
- / Distribution of Fund promotion packets to all USAID Missions and all US&FCS posts, state development agencies, and national associations within one month of initiation of the Cooperative Agreement.
- / 5 media articles per year.
- / 5 seminars or meetings about Technology Fund II at conferences per year.

Activity 2: Identification and Selection of Eligible Activities

A.I.D. will assist by providing NASDA with the information on the best prospects, priorities, programs, etc., in the region. NASDA, in turn, will provide promotional organizations and environmental organizations with background information about opportunities and requirements, US-AEP program priorities, A.I.D. programs in the region and the types of activities Technology Fund II will consider.

Program Elements:

- 2.A. Work with the, USAID Missions and US&FCS commercial officers in Asia, EPA representatives, and country team/U.S. private sector environmental task forces in each country, who will identify appropriate environmental opportunities and make these known to NASDA.
- 2.B. Make potential applicants aware of requirements and opportunities and other opportunities developed by AEIS and encourage them to organize seminars for environmental organizations in order to stimulate interest in Asia and to suggest ways in which Technology Fund II can help them.

2.C. Forward all relevant information obtained in the execution of this task to AEIS.

Outputs:

- / Prepare quarterly lists of potential Fund activities in response to NASDA marketing efforts and from each Asian country.
- / Mailings of lists of potential Fund activities as part of the mailings in Task 1.
- / Mailing list of individuals and organizations attending seminars.

Activity 3: Fund Proposal Support, Review, Evaluation and Award

NASDA will assist potential applicants to prepare and submit applications, and arrange for the proper liaison with A.I.D., the Overseas Representatives, the USAID Missions and the US&FCS posts. This may involve helping resolve problems, misunderstandings and necessary adaptations to proposals. NASDA will utilize the Proposal Review Panel for Broad-based organizations and for Sector Specific associations, to help screen proposals. NASDA will select the Proposal Review Panel members, chair the Panel and manage the review process.

Subtasks:

- 3.A. Prepare a Fund informational packet and application form within one month for A.I.D. approval.
- 3.B. Develop proposal evaluation criteria and applicant eligibility requirements for use by the Proposal Review Panels .
- 3.C. Assist potential applicants to Technology Fund II, on-site (in the United States) if necessary, with the development of activity ideas and proposals. Provide them with examples.
- 3.D. Utilize the Proposal Review Panel to screen proposals.
- 3.E. Select the Panel members and arrange for review meetings.

- 3.F. Manage the review and approval process, including the distribution of proposals to the appropriate USAID Missions and US&FCS posts for comment and convening project Proposal Review Panel members, as necessary.
- 3.G. Solicit the assistance of professional environmentalists to help on proposals, if needed.
- 3.H. Prepare standard proposal evaluation form.
- 3.I. Awards grant
- 3.J. Work with A.I.D.'s quality control contractor to develop an evaluation program to reflect the economic consequences of each grant and the program at large. An evaluation plan should be submitted within the first month of this agreement.
- 3.K. Ensure all proposals reflect their awareness, in writing, of the "Section 599" legislation.
- 3.L. Alert all relevant applicants of potential Intellectual Property Rights issues.

Outputs:

- / One Fund informational packet.
- / One Fund application form.
- / One proposal evaluation criteria form.
- / One applicant eligibility description.

- / One standard proposal evaluation form.
- / Minimum of 40 awards per year for Windows I and II combined during each of years 1 and 2 of the program.
- / One evaluation plan and follow-up.

Activity 4: Subgrant Program

NASDA will work in collaboration with A.I.D. on promotion and technology cooperation goals of the US-AEP program to ensure that Technology Fund II meshes with other activities and responds to all appropriate opportunities for achieving the goals of environmental protection and energy conservation in Asia. NASDA will work to increase awareness of U.S. and Asian associations, governmental agencies and the media about A.I.D.'s role in helping U.S. companies.

Program Element:

- 4.A. Prepare an Annual Work Plan, including schedule and budget.
- 4.B. Prepare a standard grant agreement document.
- 4.C. Establish and utilize a grantee filing and monitoring system.
- 4.D. Prepare a procedures document.
- 4.E. Award, execute and manage the grant agreements.
- 4.F. Receive and pay invoices.
- 4.G. Conduct grant close-outs in accordance with A.I.D procedures.

Outputs:

- / Annual Work Plan.
- / One standard grant agreement.
- / One procedures manual.
- / 100 grant agreements over the 3 years for Windows I and II.
- / 100 paid invoices over the life of the program for Windows I and II.
- / 100 close-outs .
- / Handle invoices and closeouts for projects generated under Windows III.

Activity 5: Relational database software program, Guidebook and Pocket Guide

NASDA will be responsible for contracting and managing the development of a relational database, guidebook and pocket guide to government resources in order to help U.S. and state government personnel, associations and others involved with Asian programs to immediately provide decentralized access to government assistance programs.

The relational database will be a computer-based interactive, relational information system containing information about government assistance programs and other data. The international environmental guide to government resources and accompanying pocket guide will provide, in printed form, detailed information about federal assistance programs available to U.S. environmental organizations.

Agencies and organizations that participate with the US-AEP program will be able to install the relational database program on their computers for both in-house use and for advising executives. In addition, NASDA will extend distribution of the relational database through its state network.

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The relational database software program will allow for user-friendly access and would be organized according to product or service in a logical progression beginning with market identification and ending with training, advice and assistance. Each program or service will contain a description, telephone number, facsimile number, address, contact person, dollar amount specifics (e.g., range of loans, or cost of publication) eligibility criteria, procedures, how-to guidance and any other pertinent information.

While this activity could also be included under AEIS, it is included herein because of NASDA's national infrastructure which constitutes a decentralized source for information on United States government programs available to technology organizations. It is included herein with a view to building and using NASDA's national network.

Subdirectories will be organized as follows:

- / Technology Information (regional, country-specific, industry/commodity information, and A.I.D. resources).
- / Targeting Opportunities (publications, systems, customized services, U.S. and multilateral development bank development programs, and U.S. government missions and tours).
- / Regulations and Requirements (international agreements and treaties; rules, regulations and standards; export license assistance; accounting and tax information; agents and distributors laws; and host-country incentives).
- / Export Financing.
- / Investment/Project Financing.
- / Training, Advice and Assistance (training seminars, sources of counseling and advice, international publications, and calendars of events).
- / Key Contact Directory.

Program Elements

NASDA will undertake the tasks listed below.

5.A. Develop relational database software program.

5.B. Maintain relational database software program and information.

- 5.C. Provide 5,000 copies of an existing international environmental guide to government resources in the form of a 6" by 9" 200-page book.
- 5.D. Provide 10,000 copies of the pocket guidebook, in the form of a 4" x 9" page pocket guide books similar to the one A.I.D. produced last year through R&D/Energy.

Outputs

- / Relational database software program.
- / Maintenance of relational database for two years.
- / 5,000 copies of an existing international environmental guide to government resources in the form of a 6" by 9" 200-page book.
- / 10,000 copies of the pocket guidebook, in the form of a 4" x 9" page pocket guide books similar to the one A.I.D. produced last year through R&D/Energy.

Activity 6: Television-based Seminars on Environmental Technology Transfer in Asia

The purpose of this activity is to develop interactive, television-based seminars to U.S. environmental technology and services organizations in order to stimulate their interest in environmental opportunities and requirements in Asia and to enhance their ability to successfully work in Asia. Using television programs and decentralized, personal seminar leaders, NASDA will be able to contact a greater number of U.S. organizations, with a consistent message, than by any other means. Most state development and international agencies already manage live international training workshops. NASDA has argued that the development of a program drawing the best from these state efforts, including focussed attention on Asia and the environment, and engaging representatives of relevant federal agencies has the potential for an exponential increase in focussed coverage. After their development, the seminars would be arranged and managed throughout the United States by state development agencies and other public and private groups. There is already ample evidence of wide demand for this type of program in the environmental technology sectors, and NASDA believes that there is probably a similar demand for environmental programs. Partner agencies (e.g. EXIM, OPIC and TDA) also manage occasional live programs in different regions of the United States. The television proposal outlined herein would be able to combine these efforts and project them at a much larger audience at considerable cost savings. The seminars will substitute for missions in some cases and stimulate demand for missions in other cases.

The specific objectives of this task are (1) to prepare a proposal to develop, produce and implement the television-based materials and seminars, (2) to prepare a work plan for the approval of A.I.D. and (3) to develop the format and content of five to six half-day television-based seminar programs -- without actually undertaking the production of the television programs -- that would focus on how to approach technology transfer in sub-regions and/or individual countries in Asia, outline federal resources available to support technology transfer initiatives in Asia etc.

In carrying out this task, the recipient should involve a nationally recognized international business school experienced in developing curriculum for doing international technology transfer, and a nationally recognized organization experienced in the development and production of interactive, educational television programs. This technology is broadly used by the business community in the United States, and there are a large number of production organizations including the National Technological University in Fort Collins, Colorado, and the National Environmental Training Network at Sandia National Laboratories in New Mexico. NASDA already has a training arrangement with the Thunderbird School of Business in Phoenix, Arizona.

Program Elements

- 6.A. Develop a plan for development and ultimate delivery of the seminars, including:
- / Nationally recognized international business school.
 - / Nationally recognized educational/training organization with extensive experience in producing television-based educational seminars.
 - / National organization having contacts with state and local development organizations which can conduct the seminars.
- 6.B. Research and develop a detailed four-month work plan for the development of the television-based seminars, including the following subtasks:
- / Description of the activity.
 - / Identification of the organizations involved in the development of the television programs and seminar materials.
 - / Selection of the five to six sub-regions or countries.
 - / Detailed outline of the content of each television program.

- / Detailed description of the supporting materials to be developed for seminar participant.
- / Detailed plan for the subsequent production of the television programs and related materials and for the organization and implementation of 30 seminars.
- / Detailed plan for training the seminar leaders.
- / Detailed schedule for the development, production and implementation of the television-based seminars.
- / Detailed budget for the costs of developing, producing and implementing the seminars.

6.C. Following A.I.D.'s approval, implement the work plan:

- / Develop detailed content and full scripts for the five to six television programs.
- / Develop related curriculum support materials.
- / Develop curriculum for training seminar leaders.
- / Provide implementation schedule.
- / Provide production and implementation budget.

Outputs

- / One partnership proposal.
- / One work plan.
- / Five to six scripts for half hour television programs and all supporting seminar curriculum materials.
- / One curriculum for training seminar leaders.
- / One implementation schedule.
- / One production implementation schedule.

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