

CONTRACT/AGREEMENT DATA SHEET	B 26686	1. M/SER/AAM/A/SUP Action Monitor DLF	2. Date PIO/T Received in M/SER/AAM/A/SUP 9 1 25 ' 89
------------------------------------------	----------------	-------------------------------------------------	----------------------------------------------------------------------------

COMPLETE EACH BLOCK FOR BOTH NEW ASSISTANCE/ACQUISITION AND MODIFICATION ACTIONS

1. Contract/Agreement/Number ANE-0007-G-SS-9044-00		21. Budget Plan Code ODNA-89-37-181-KG15 APP. 72-1191021.3	
4. Contractor/Recipient Name National Endowment for Democracy		5. Contractor Acronym NED	
6. Project Title Assistance to Democratic Transition in Poland		7. Project Number 181-0007	
8. Project Officer's Name R. Redman		9. Bureau or USAID Symbol ANE/PD/ME	
10. PIO/T Number 181-0007-3-9631541		21. Budget Plan Code ODNA-89-37-181-KG15 APP. 72-1191021.3	
11. TYPE OF ACTION A. New Acquisition/Assistance B. Amendment/Modification 1. New/Revised Scope 2. Funded Extension 3. No Cost Extension 4. Transfer of action from AID/W to Mission/Mission to AID/W 5. Incremental Funding 6. Overhead Rate Adjustment 7. Contract Closeout 8. Other C.FPR or FAP _____		22. Country or Region of Performance POLAND	
12. Amount of this PIO/T OBL U.S. \$ 330,000		23. A. This Action Increases or Decreases TEC by \$ 330,000 B. Total Estimated Cost of Contractual Document \$ 330,000	
13. Amount <input checked="" type="checkbox"/> Obligated <input type="checkbox"/> Subobligated <input type="checkbox"/> Deobligated by this Contract or Amendment U.S. \$ 330,000		24. Amount of Non-Federal Funds Pledged to the Project —	
14. Cumulative Obligation (Life of Contract) U.S. \$ 330,000		25. Effective Date of this Action 9/29/89	
15. This Action Funded Through 3131191		26. Estimated Completion/Expiration Date 3/31/91	
16. Date Contractual Documents Signed by AID Official 9/29/89		27. Contractor DUNS Number 13-227-9084	
17. Incrementally Funded Contracts <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO		28. Consultant Type Award <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
18. Host Country/Counterpart Institution (University Contracts) —		29. Number of Person Months (PASA/RSSA only) —	
19. Campus Coordinator (University Contracts) —		30. Number of Persons (PASA/RSSA only) —	
20. ADVANCE A. No Advance B. Advance Non-FRLC C. Advance FRLC A		31. CONTRACT TYPE A. Fixed Price (specify: <input type="checkbox"/> FFP <input type="checkbox"/> FPRD <input type="checkbox"/> FPEPA <input type="checkbox"/> FPI) B. Cost Reimbursement (specify: <input type="checkbox"/> CR <input type="checkbox"/> CPFF <input type="checkbox"/> CS <input type="checkbox"/> CPAF <input type="checkbox"/> CPIF) C. IQC and Requirements Contracts D. Grant/CA/PASA/RSSA E. Contracts with Individuals D	

32. Negotiator's Typed Name D. Smith	33. Negotiator's Signature <i>D. Smith</i>	34. Date Signed 9/27/89
35. Contract/Grant Officer's Organization Symbol OS/ANE	36. Contract/Grant Officer's Signature <i>[Signature]</i>	37. Date Signed 9/29/89

38. SUBJECT TO STATUTORY REQUIREMENT

- A. Walsh-Healey Act, Manufacturer*
- B. Walsh-Healey Act, Regular Dealer*
- C. Service Contract Act
(U.S. ONLY - Guards, Maintenance, Laborers)
- D. Davis-Bacon Act *(Construction)*
- E. Not subject to Walsh-Bacon Act
(Most AID Contracts)

E

*Equipment, Supplies, Materials, and Commodities

39. Country of Manufacture

15

40. CURRENCY INDICATOR

- A. U.S. Dollar
- B. Local Currency
- C. Combination
- D. Unfunded

A

41. SUBCONTRACTS

Is there a provision for a subcontract? *(Contracts only)*

YES NO

42. TYPE OF SERVICE

- A. Training of Participants
- B. Technical Assistance to Host Country
(Program, Project related except A&E Services)
- C. A&E Services
- D. Construction
- E. Research
- F. Technical Services to AID
(other than training; usually operating expense)
- G. Training Service for AID
- H. Equipment, Materials, Supplies, Commodities
- I. Translation Service

H

43. CONTRACT/AGREEMENT SOURCE

- A. U.S. Contractor/Grantee
- B. Non-U.S. Contractor/Grantee
- C. Combination of A & B

A

44. TYPE OF AMERICAN OWNERSHIP

(U.S. Persons or Firms Only)

- Minority
- A. Asian/Pacific Islander
 - B. Black American
 - C. American Aleuts or Eskimos
 - D. American Indian
 - E. Hispanic

G

G. Non-Minority

45. METHOD OF SOLICITATION

- A. Sealed Bid
- B. Competitive Proposal
- C. Combination/Competition
- D. Other Competition
- E. Noncompetitive

E

46. LABOR SURPLUS AREA PREFERENCE

- Labor Surplus Area
- A. No Preference
 - B. Tie Bid Preference
 - C. Total Set Aside
 - D. Not a Labor Surplus Area Preference Award

D

47. TYPE OF BUSINESS

- A. Source: Non-U.S. and Used Outside U.S. & Possessions
- B. Source: Non-U.S. and Possessions
(Foreign Purchases Used Inside U.S.)
(If U.S. Source, complete C through Q)
- C. Firm - Profit Making & PSC's
- Non-Profit Organizations
- D. Private Educational Organizations
- E. Hospitals
- F. Research Institutions, Foundations, and Laboratories
- G. Other

F

Private Voluntary Organizations

- H. U.S. Registered
- I. U.S. Non-Registered
- J. Foreign

State/Local Government

- K. Educational Institutions
- L. Hospitals
- M. Research Organizations
- N. Other

- O. International Agricultural Research Organizations
- P. Public International Organizations
- Q. U.S. Cooperatives

48. Women Owned Business?

YES NO

49. TYPE OF AWARD

- Small Business
- A. Not Set Aside
 - B. Partial Set Aside
 - C. Total Set Aside
- Other Than Small Business
- D. Personal Service Contract
 - E. Individual Non-Personal Service Contract
 - F. U.S. Government
 - G. University
 - H. Non-Profit Organizations and PVOs
 - I. Large Businesses

H

50. Paying Office:

Payment will be made by

PFMIFM/CMPD/OCB
Room 700- SA-2
D.C. 20523-0204

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

ORIGINAL

September 29, 1989

Mr. Carl Gershman
NATIONAL ENDOWMENT FOR DEMOCRACY
1101-15th Street, N.W., Suite 230
Washington, D. C. 20005

GRANT NO. ANE-0007-G-SS-9044-00

Dear Mr. Gershman:

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 provides to the National Endowment for Democracy (hereinafter referred to as "NED" or "Grantee") the sum of Three Hundred Thirty Thousand Dollars (330,000) to provide funding in support of a program designed to support the democratic transition in Poland, as more fully described in Attachment 2 of this Grant, 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 March 31, 1991. Payment will be made to the Grantee in accordance with procedures set forth in Optional Provision 1, entitled "Payment - Letter of Credit".

This Grant is made to the Grantee on the 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 (the Standard Provisions); all of which have been agreed to by your organization.

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

Sincerely,



Judith D. Johnson
Grant Officer
Office of Procurement

- Attachments: 1. Schedule
2. Program Description
3. Standard Provisions

ACCEPTED BY:



DATE: Sept. 29, 1989

TYPED NAME: Carl Gershman

TITLE: President

FISCAL DATA

PIO/T NO.:	181-0007-3-9631541
PROJECT NO.:	181-0007
APPROPRIATION NO.:	72-1191021.3
BUDGET PLAN CODE:	QNA-89-37-181-KG-15
TOTAL OBLIGATION:	\$330,000
TOTAL ESTIMATED AMOUNT OF GRANT:	\$330,000
TECHNICAL OFFICE:	Joan Silver ANE/PD/ME Room 3327A
DUNS NO.:	13-227-9084

FUNDS AVAILABLE
4190
SEP 29 1989

Program Acctg Div
Office of Financial Management

SCHEDULE

A. Purpose of Grant

The purpose of this Grant is to provide funding in support of the democratic transition in Poland by funding a series of subgrants with Polish institutions, with NED core grantees, and with Columbia University which will be responsible for administration and financial oversight of the Study Group on Polish Reform, a group of U.S., Polish, and European economists who will develop recommendations for a new economic policy for Poland.

B. Period of Grant

The effective date of this Grant is the date on the Cover Letter. The expiration date of this Grant is March 31, 1991.

C. Amount of Grant and Payment

1. A.I.D. hereby obligates the amount of \$330,000 for purposes of this Grant.

2. Payment shall be made to the Grantee in accordance with Optional Provision 1, "Payment - Letter of Credit."

D. Grant Budget

<u>Cost Element</u>	<u>Total Estimate</u> From date of Cover Letter To <u>3/31/91</u>
1. <u>Gazeta</u> Newspaper	\$ 55,000
2. Association of Free Speech	\$ 30,000
3. Gdansk Video Center	\$ 30,000
4. Center for International Private Enterprise	\$ 42,500
5. Foundation in Support of Local Democracy	\$ 42,500
6. Columbia University	\$108,868
7. Administrative Costs	<u>\$ 21,132</u>
TOTAL	<u>\$330,000</u>

E. REPORTING

Semi-Annual Reports

NED shall submit a semi-annual report seven (7) months after the effective date of this Grant that generally describes the overall progress toward Grant objectives and includes copies of quarterly progress reports received from subgrantees.

S

Final Report

A final report which summarizes all the activities undertaken and pursued under this Grant shall be submitted within sixty (60) days after the expiration date of the Grant, or within sixty (60) days of the completion of all activities, whichever is earlier.

Fiscal Reports

Fiscal reports shall be submitted in accordance with the Optional Standard Provision 1, "Payment - Letter of Credit".

NED shall carefully monitor the U.S. organizations serving as direct administrators of the subgrants as described in the Grant Management section of the Program Description.

F. Special Provisions

1. Payment

NED has an existing Letter of Credit with A.I.D. for grants for programs in South Africa and Paraguay. Thus, Optional Standard Provision 1 is the appropriate payment provision.

2. Air Travel and Transportation

Optional Standard Provision 4, Paragraphs (a) and (b) are deleted to simplify logistical arrangements for the international travel under this Grant.

NED shall require its grantees and subgrantees to observe sections (c) through (l) of Optional Standard Provision 4.

3. Ocean Shipment of Goods

This provision does not apply as no ocean shipment of goods is anticipated under this program. If ocean shipment of goods becomes necessary under this program, the provision shall apply.

4. A.I.D. Eligibility Rules for Goods and Services

It is anticipated that the total procurement of goods and services under this Grant will be less than \$250,000 and that there will be purchases of locally available goods and services in Poland.

5. Local Cost Financing

Local cost financing is authorized under this Grant.

6. Patent Rights

No patentable processes or practices are to be financed under this Grant.

7. Title to and Use of Property

Title to property purchased under this Grant shall be vested in the Grantee (or subgrantee) only. All NED subgrants allow subgrantees title to property. Nonexpendable property shall be managed in accordance with the provisions of OMB Circular A-110.

8. Regulations Governing Employees

No NED employees shall be assigned abroad under this Grant.

9. Geographic Code

The eligible source and origin for goods and services under this Grant will be the U.S., the host country, Poland, and others as authorized in Optional Provision 7 for local currency procurement incidental to its authorized assistance.

10. Grant Management

The National Endowment for Democracy (NED) is a private, non-profit organization created by Public Law 89-164 in November of 1983. NED is a grant-making organization and does not operate programs directly. The objective of strengthening democratic groups and institutions in other countries is enhanced by involving U.S. private sector groups that can provide appropriate technical assistance and administrative support.

NED's principal source of funding is an annual Congressional appropriation of \$15.8 million for FY 89 which is awarded as a grant from the U.S. Information Agency (USIA). This appropriation includes NED's basic administrative budget of \$1.4 million for FY 89.

NED will approve and manage subgrants funded from this A.I.D. Grant according to NED's standard procedures which are operating and in place. Under NED's system, proposals for grant awards are considered four times each year by the NED Board of Directors, comprised of leading citizens from the mainstream of American political and civic life. Grants are usually awarded to U.S. private sector organizations that provide funds to overseas groups, directly administer the funds, and provide technical assistance for the activities. Grants are closely monitored through quarterly narrative and financial reports, which include the following information:

--a brief statement of original program objectives, noting any changes.

--a description of activities during the quarterly reporting period.

--a discussion of actual results and accomplishments during the quarter as related to the objectives.

--a financial report that shows, by approved line items, the grant budget, prior expenditures, expenditures during the current quarter, and total expenditures.

Grantees also submit a final report that includes, in addition to the above items:

--a discussion of the background and issues relevant to the program.

--a statement indicating the program's relevance to grant and overall NED purposes.

--an evaluation of the program's results and accomplishments.

PROGRAM DESCRIPTION

A. This Grant will fund a series of subgrants with U.S. private sector organizations, for direct administration to Polish institutions, with NED core grantees and with Columbia University, which will be responsible for administration and oversight of the Study Group on Polish Reform, a group of U.S./Polish/European economists who will develop the recommendations for a new economic policy for Poland. The activities and groups selected by the Grantee's Board of Directors for award of subgrants under this program shall be chosen according to Chapter IV, Grant Application Review and Selection, of the Grantee's Statement of General Procedures and Guidelines of September 12, 1986.

B. These subgrants shall carry out a program of activities in support of the following objectives:

--to meet urgent needs to provide assistance to strengthen democratic development and respect for human rights in Poland.

--to provide effective efforts in support of democracy and human rights of all the possible activities that might be undertaken given the exceptional circumstances in Poland.

--groups proposed should have a proven capability to produce optimum results with the limited funding available.

--activities proposed should be new that are specific to the current transition period in Poland and generally from groups that have not received Endowment funding in FY 1989. .

C. Detailed below are activities and illustrative subgrant amounts which the Grantee currently plans to submit to its Board of Directors for approval under the program of Assistance to Democratic Transition in Poland.

1. GAZETA NEWSPAPER

\$55,000

The GAZETA was established as a legal daily newspaper as a concession by the government to the opposition during the historic round table talks. The newspaper has established itself as one of the leading forces for democracy in Poland. However, the GAZETA remains chronically short of funds to its day-to-day operations. The Grant would allow the newspaper to cover its immediate basic editorial and reporting activities while longer range plans are being developed to expand and improve its operations in the future.

2. THE ASSOCIATION OF FREE SPEECH \$30,000

The Grant will assist the Association of Free Speech to move from its current transitional stage from underground to legalized, independent publishing in support of the democratic process in Polish society. This may involve assistance to the Association in setting up book clubs, reading rooms, libraries and book shops, and, in organizing book fairs of uncensored literature among other activities.

3. GDANSK VIDEO CENTER \$30,000

The Grant will assist the Gdansk Video Center, established in 1981 by Solidarnosc to produce documentaries and films to support education of the Polish people with respect to their civic and political rights. It is a goal of this program that some of the Center's films will be aired on Polish television.

4. CENTER FOR INTERNATIONAL PRIVATE ENTERPRISE (CIPE) \$42,500

The Center for International Private Enterprise, one of the Grantee's core grantees for private enterprise projects, has developed a program of assistance to the Krakow Industrial Society, an independent organization which seeks to encourage, educate and assist private entrepreneurs.

The program will help the Society conduct courses in business, to support its program of advocacy and position papers, to provide legal interventions and an economic advisory service, and to help to provide books and reading materials on various aspects of private enterprise and private sector activities.

5. COMMISSION FOR LOCAL SELF GOVERNMENT \$42,500

The Commission for Local Self Government of Lech Walesa's Citizens' Committee is seeking funding for a project to create democratic institutions which facilitate active public participation in the governing and political life of Poland. This would be accomplished through a Foundation in Support of Local Democracy. Activities in the period leading up to communal elections scheduled for 1990 would include:

--organization of six regional centers to educate citizens about governing options, the importance of concerted action, and the possibility of effecting change.

--establishment and publication of a bi-weekly
"Bulletin on Local Affairs."

--development publication, and distribution of a
series of handbooks and working papers pertinent
to local affairs.

--development and distribution of education resources.

--creation of legal and organizational assistance for
local groups.

6. Study Group on Polish Reform

\$108,868

The Grant will fund a series of conferences convened by Columbia University of New York, which will include a number of eminent economists from several Western nations and Poland who will constitute "The Study Group on Polish Reform." The conferences will provide a forum for focussing on the most pressing problems of Poland's economy. Responsibilities for researching solutions to different problems will be divided among the members of The Study Group. The Group will publish a report and recommendations at the end of the conferences.

-10-

ATTACHMENT 3

STANDARD PROVISIONS

Page No. 4C-8b	Effective Date March 30, 1989	Trans. Memo. No. 13:53	AID HANDBOOK 13
-------------------	----------------------------------	---------------------------	-----------------

OPTIONAL STANDARD PROVISIONS FOR
U.S., NONGOVERNMENTAL GRANTEES

The following standard provisions are required to be used when applicable. Applicability statements are contained in the parenthetical statement preceding the standard provision. When a standard provision is determined to be applicable in accordance with the applicability statement, the use of such standard provision is mandatory unless a deviation has been approved in accordance with Paragraph 1E of Chapter 1 of Handbook 13. Each grant is required to have a payment provision. Check off the optional standard provisions which are included in the grant. Only those standard provisions which have been checked off are included physically within this grant.

- | | |
|---------------------------------------------------------------|--------------------------------------|
| 1. Payment - Letter of Credit | <u> X </u> |
| 2. Payment - Periodic Advance | <u> </u> |
| 3. Payment - Cost Reimbursement | <u> </u> |
| 4. Air Travel and Transportation | <u> </u> |
| 5. Ocean Shipment of Goods | <u> X </u> |
| 6. Procurement of Goods and Services | <u> </u> |
| 7. AID Eligibility Rules for Goods and Services | <u> X </u> |
| 8. Subagreements | <u> X </u> |
| 9. Local Cost Financing | <u> X </u> |
| 10. Patent Rights | <u> X </u> |
| 11. Publications | <u> </u> |
| 12. Negotiated Indirect Cost Rates - Predetermined | <u> X </u> |
| 13. Negotiated Indirect Cost Rates - Provisional | <u> </u> |
| 14. Regulations Governing Employees | <u> </u> |
| 15. Participant Training | <u> </u> |
| 16. Voluntary Population Planning | <u> </u> |
| 17. Protection of the Individual as a Research Subject | <u> </u> |
| 18. Care of Laboratory Animals | <u> </u> |
| 19. Government Furnished Excess Personal Property | <u> </u> |
| 20. Title to and Use of Property (Grantee Title) | <u> </u> |
| 21. Title to and Care of Property (U.S. Government Title) | <u> X </u> |
| 22. Title to and Care of Property (Cooperating Country Title) | <u> </u> |
| 23. Cost Sharing (Matching) | <u> </u> |
| 24. Use of Pouch Facilities | <u> X </u> |
| 25. Conversion of United States Dollars to Local Currency | <u> X </u> |

(INCLUDE THIS PAGE IN THE GRANT)

APPROVED
 9/21/89
 [Signature]

AID 1350 1 (3 87) *PIO/ AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	1 Cooperating Country Poland	Page 1 of _____ Pages
	2. PIO/T No. 181-0007-3-9631541	3. <input checked="" type="checkbox"/> Original or Amendment No. _____
	4. Project/Activity No. and Title Assistance to Democratic Transition in Poland (181-0007)	
	5. Appropriation Symbol 72-1191021.3 943-63-181-00-69-91	

DISTRIBUTION FUNDS RESERVED BY M/PFM/PAFD POSTED 9/22/89 [Signature]	5. Appropriation Symbol 72-1191021.3 943-63-181-00-69-91	6. Budget Plan Code QDNA-89-37-181-KG-15
	7. Obligation Status <input type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document	8. Project Assistance Completion Date (Mo., Day, Yr.) 18 months from grant effective date.
	9. Authorized Agent SER/OP/OS/ANE	10. This PIO/T is in full conformance with PRO/AG No. _____ Date _____
	11a. Type of Action and Governing AID Handbook <input type="checkbox"/> AID Contract (HB 14) <input checked="" type="checkbox"/> AID Grant or Cooperative Agreement (HB 13) <input type="checkbox"/> PASA/RSSA (HB 12) <input type="checkbox"/> Other	11b. Contract/Grant/Cooperative Agreement / PASA/RSSA Reference Number (If this is an Amendment)

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
			\$330,000		\$330,000
	B. U.S.-Owned Local Currency				

13. Mission References

14A. Instructions to Authorized Agent
 SER/OP is authorized to negotiate a grant agreement with the National Endowment for Democracy (N.E.D.) to carryout the activities described in the attached scope of work (Attachment A). The Authorization Memorandum is included at Attachment C. The justification memo for non-competitive negotiation is at Attachment C, Tab C.
 Funds not authorized for obligation until Congressional Notification expires without objection, 9/26/89.

14B. Address of Voucher Paying Office
 M/PFM/PAFD - SA-2
 Washington, D.C. 20523

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. Ron Redman, ANE/PD/ME	Phone No. 647-6922 Date 9/19/89	B. The statement of work or program description lies within the purview of the initiating office and approved agency programs. Susan Hudac, ANE/PP/ME	Date 9-20-89.
C. Thomas Johnson, ANE/PD/ME Tom Mahoney, ANE/EE DRAFT RM	Date 9/19/89	D. Funds for the services requested are available	Date
E. Annamaria Long, ANE/TR/HR DRAFT RM	Date 9-19-89	FM: Rose Anderson	

16. For the Cooperating Country: The terms and conditions set forth herein are hereby agreed to	17. For the Agency for International Development
Signature _____ Date _____	Signature [Signature] Date 9-21-89
Title _____	Title Bruce Odell, Director, ANE/PD

*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.