

CONTRACT/AGREEMENT
DATA SHEET

B 27187

1. M/SER/AAM/A/SUP
Action Monitor

DLF

2. Date PIO/T Received in
M/SER/AAM/A/SUP

12 / 18 / 89

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

1. Contract/Agreement/Number

LAC-0591-G-SS-0001-00

4. Contractor/Recipient Name

National Democratic Institute for International Affairs

5. Contractor Acronym

6. Project Title

Human Rights Initiatives: Chile '89 Election Observers

7. Project Number

598-0591

8. Project Officer's Name

D. McFarland

9. Bureau or USAID Symbol

LAC/DI

10. PIO/T Number

598-0591-3-0655300

21. Budget Plan Code LDSA-90-35598-KG12:

APP. 72-1101021.6

ALL. 046-65-598-00-69-01

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

A

22. Country or Region of Performance

Chile

23. A. This Action Increases or Decreases TEC by

\$ 141,877

B. Total Estimated Cost of Contractual Document

\$ 141,877

CFPR or FAR

FAR Hdbk-B.

12. Amount of this PIO/T

OBL

U.S. \$ 142,000

25. Effective Date of this Action

11, 1, 89

Amount Obligated Subobligated Deobligated
by this Contract or Amendment

U.S. \$ 141,877

26. Estimated Completion/Expiration Date

3, 30, 90

14. Cumulative Obligation (Life of Contract)

U.S. \$ 141,877

27. Contractor DUNS Number

14-803-6312

15. This Action Funded Through

3, 30, 90

28. Consultant Type Award

YES

NO

16. Date Contractual Documents Signed by AID Official

12, 14, 89

29. Number of Person Months (PASA/RSSA only)

na

17. Incrementally Funded Contracts

YES

NO

30. Number of Persons (PASA/RSSA only)

na

18. Host Country/Counterpart Institution (University Contracts)

na

31. CONTRACT TYPE

A. Fixed Price (specify: FFP

FPRD FPEPA FPI)

B. Cost Reimbursement

(specify: CR CPFF

CS CPAF CPIF)

C. IQC and Requirements Contracts

D. Grant/CA/PASA/RSSA

E. Contracts with Individuals

D

20. ADVANCE

A. Advance

B. Advance Non-FRLC

C. Advance FRLC

B

32. Negotiator's Typed Name

B. Paige

33. Negotiator's Signature

Beth S. Paige

34. Date Signed

12, 18, 89

35. Contract/Grant Officer's Organization Symbol

OS/LAC

36. Contract/Grant Officer's Signature

Steve Howley

37. Date Signed

12, 18, 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

USA

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

n/a

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

B

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. Non-Minority

G

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

P

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

AID/W
PERM/EM/A/PNT

AGENCY FOR INTERNATIONAL DEVELOPMENT

WASHINGTON, D.C. 20623

Mr. J. Brian Atwood, President
National Democratic Institute for
International Affairs
1717 Massachusetts Avenue, N.W., Suite 605
Washington, D.C. 20036

DEC 14 1989

Subject: Grant No. LAC-0591-G-SS-0001-00

Dear Mr. Atwood:

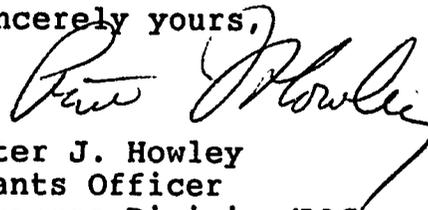
Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D." or the "Grantor") hereby grants to the National Democratic Institute for International Affairs (hereinafter referred to as the "NDI" or the "Grantee") the sum of \$141,877 (one hundred forty one thousand eight hundred seventy seven dollars) to observe elections in Chile during the National Elections scheduled for December 14, 1989. This program is more fully described in Attachment 2, entitled "Program Description" of this grant.

This Grant is effective and obligation is made as of November 1, 1989 and shall apply to commitments made by the Grantee in furtherance of program objectives through the estimated completion date of March 30, 1990. Funds disbursed by A.I.D. but uncommitted by the Grantee at the expiration of the grant period shall be refunded to A.I.D.

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

Please acknowledge receipt and acceptance of this Grant by signing all copies of this Cover letter, retaining one set for your files, and returning the remaining copies to this office being sure to return all copies marked "Funds Available."

Sincerely yours,



Peter J. Howley
Grants Officer
Overseas Division/LAC
Office of Procurement

Attachments:

1. Schedule
2. Program Description
3. Standard Provisions

ACKNOWLEDGED

National Democratic Institute for
International Affairs

BY _____

TYPED NAME _____

TITLE _____

DATE _____

FISCAL DATA

PIO/T Number	598-0591-3-0655300
Appropriation Symbol	72-1101021.6
Allotment No.	046-65-598-00-69-01
Budget Plan Code	LDSA-90-35598-KG12
Project No.	598-0591
Technical Office	LAC/DI
Total Estimated Amount	\$141,877
Total Obligated Amount	\$141,877
Employee ID No.	52-133-8892
DUNS No.	14-803-6312
Funding Source	AID/W/FM/A/PNT

SCHEDULE

A. Purpose of Grant:

The purpose of this Grant is to assist the Grantee, NDI, to organize a 30-member international delegation made up of election officials, political party leaders, and representatives of civic organizations from 15 countries to observe and study election proceedings in Chile.

B. Period of the Grant:

1. The effective date of this Grant is November 1, 1989. The expiration date of this Grant is March 30, 1990.

2. Funds obligated hereunder are available for program expenditures for the estimated period of November 1, 1989 to March 30, 1990 as shown in the Grant budget below.

C. Amount of Grant and Payment:

1. A.I.D. hereby obligates the sum of \$141,877 for the purposes of this Grant.

2. Payment will be made to the Grantee in accordance with the procedures set forth in Attachment 3 - Standard Provision entitled "Periodic Advance."

D. Financial Plan

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

BUDGET
11/1/89 - 3/30/90

	<u>AID Contribution</u>	<u>NDI Contribution</u>
Space and Utilities	\$ 2,500	
Supplies and Equipment	3,500	
Travel and Per Diem	114,327	\$ 15,932
Contractual Services	6,700	
Consultants	8,000	
Other Direct Costs	850	
Communications	<u>6,000</u>	
TOTAL	\$141,877	<u>\$ 15,932</u>

E. Reports

1. The Grantee will prepare and deliver a preliminary report in English and a final report in English and Spanish. The preliminary report will be delivered in five (5) copies to the USAID Project Manager no later than January 30, 1989. The final report is due eight (8) weeks after completion of the preliminary report.

2. The Grantee will de-brief the staff of LAC/DI and other interested State and A.I.D. personnel upon their return to the U.S. as soon as possible after completion of the observer mission.

3. Financial reporting requirements shall be in accordance with the Standard Provision of this agreement entitled "Payment - Periodic Advance (January 1988)," as shown in Attachment 3. The payment office for this Grant is:

Office of Financial Management
FM/A/PNT
Room 701, SA-2,
Agency for International Development
Washington, D.C. 20523

F. Special Provision

The Grantee is permitted to pay participants a daily per diem rate of \$130. The official U.S. Government per diem rate is currently \$110 for Santiago, Chile. The higher rate is required to account for increased costs of hotel rooms in Santiago during the election period. NDI is not permitted to use U.S. Government rates for hotel costs in Santiago.

PROGRAM DESCRIPTION

I. SUMMARY

The National Democratic Institute for International Affairs (NDI) proposes to send a 30-member international delegation to the December 14, 1989 presidential and legislative elections. The delegation's presence will help promote a free and fair election in what is Chile's first competitive, multi-party contest since the 1973 coup. It will also demonstrate continued support for the democratic transition underway in Chile, as well as provide an opportunity to learn from successful Chilean experiences as they unfolded before, during and after the historic October 1988 plebiscite.

II. BACKGROUND

Elections provide an opportunity to strengthen institutions fundamental to a democratic society -- specifically, political parties, the elections administrators and the media. NDI's involvement in election monitoring reflects a recognition that free and fair elections are a critical element to the viability of a democratic system.

During the past four years, NDI-sponsored observer missions have played critical roles in supporting the election processes in Chile, Pakistan, and Paraguay, and in exposing and documenting the frauds that occurred in the Philippines, Haiti and Panama. This has been accomplished through development of a unique approach that combines the following elements: pre-election monitoring of the political environment and critical assessment of the law and procedures; the sending of high profile delegations for the elections; nationwide coverage of a representative number of polling sites; careful scrutiny of the counting and tabulation processes; release of preliminary statement 24-48 hours after polls close; and publication of a comprehensive report on the entire process.

Based on previous experience, NDI has identified ways in which election observers can support the democratic process. First, the presence of observers -- and particularly advance knowledge in the country that they will be present -- encourages political parties and volunteers to participate in the process. Second, through review of the law and administrative procedures, election observers can either recommend improvements or increase the level of confidence in the electoral process or both. Third, the presence of observers at polling stations and during the counting process deters misconduct and intimidation. Fourth, the reporting -- if warranted -- of whatever fraud occurs, contributes to the delegitimization of those responsible for the fraud.

Election observer missions also provide excellent opportunities to demonstrate the potential of using an election process to initiate peaceful democratic reform. For that reason, NDI often invites individuals from countries in transition to participate in election observer missions. Indeed, the 1987 mission to observe the Philippine legislative elections was designed for this purpose, although the delegation's in-country activities were similar to traditional observer missions.

For the 1987 Philippine elections, NDI invited nationals of Bangladesh, Haiti, Chile, Korea, Panama, Pakistan, Paraguay, and Taiwan to participate in the delegation. Many of the individuals returned to their respective countries inspired by the Philippine experience in election reform and monitoring and, more importantly, with specific ideas that they sought to implement in their respective countries. For example: Jose Miguel Barros of Chile became a leader of the Committee for Free Elections (CEL), which played a critical role in ensuring the fairness of the October 5, 1988 plebiscite; Jean Claude Roi, in his role as technical advisor to the provisional election commission in Haiti, introduced a voter registration system based on the Philippine model; Aurelio Barria of Panama organized the National Civic Crusade, modeled on NAMFREL. Barria became its first chairman, before being exiled; Father Fernando Guardia, also of Panama, stimulated church involvement in encouraging fair elections and played a critical role in establishing a church-sponsored "quick count" operation.

On December 14, 1989 Chileans will elect a president and members on a national legislature in accordance with the 1980 constitution and subsequent modifications approved in the July 1989 constitutional referendum. Parties from across the political spectrum are participating in the elections. The newly-elected government will assume office in March 1990, and will immediately be confronted with a host of difficult decisions. In this environment, the support and understanding of the international community will be an important factor.

For the past three years, NDI has played a major role in assisting Chilean efforts to restore their once-proud democracy. In May 1987, four Chileans from different political parties participated in the NDI-sponsored international observer delegation for the Philippine legislative elections. The Institute also supported efforts of various free election groups and provided technical advise on polling, organization, monitoring and media.

For the October plebiscite, NDI organized a 55-member international delegation. The delegation, which included members from five continents, was led by former Spanish president Adolfo Suarez, former colombian president Misael Pastrana, former Arizona governor Bruce Babbitt, and Peter Dailey, an ambassador and special envoy in the Reagan administration. Not surprisingly given its composition, the NDI delegation was afforded widespread press coverage, both in Chile and abroad, both before and after the plebiscite. Following the vote, NDI published a 126-page report that described the delegation's observations, in addition to providing information on the Chilean political and electoral processes.

The Chile observer delegation was organized in a manner that reflects NDI's commitment to the electoral process as a means to encourage peaceful and democratic change. The entire process was monitored, not just events on election day. The delegation observed the plebiscite in metropolitan Santiago, as well as 10 of Chile's provinces. The delegation focused attention on the tabulation process, keeping its observers in the field until the counting at the regional level was for the most part complete.

PLAN OF ACTION

For the upcoming elections in Chile, NDI plans to invite 30 election officials, political party leaders and representatives of civic organizations from 15 countries to participate in an international observer delegation. The invitees, many of whom will be from countries that are initiating or in the midst of a transition process, will be able to study the successful Chilean experience in election administration and monitoring, civic education, coalition building and grass roots organizing. In this regard, the observer mission is patterned after the NDI-sponsored program for the May 1987 Philippine legislative elections. The delegation will be led by Adolfo Suarez, who is well received in Chile for his role in Spain's democratic transition in the 1970s. As true of all NDI delegations, the U.S. component will be bipartisan.

The delegation will arrive in Chile on Sunday, December 10. On Monday, December 11 will be devoted to briefings by NDI staff as well as a review by key Chilean participants in the 1988 plebiscite process. The latter will include subjects such as the decision to participate in the process, getting out the vote, and the maintenance of unity by key Chilean participants. Tuesday will be devoted to presentations on the current electoral process, the state of the Chilean economy, developments since the plebiscite (i.e. negotiations leading to constitutional reform) and the position of the political parties. Speakers will include the director of the Electoral Service, representatives of the political parties, and government officials.

On Wednesday, the delegation will divide into six teams that will be assigned respectively to Antofagasta, Valparaiso, Concepcion, Temuco, Puerto Montt and Santiago. Upon arrival in their assigned regions, the teams will meet with local election officials, candidates for the legislature, and political party and civic leaders.

On Thursday, election day, the teams will visit polling sites in their assigned regions. They also will monitor the counting process at polling sites and regional centers.

Friday there will be a debriefing in Santiago, following which the delegation leader will present a statement on behalf of the delegation to the media. On Saturday, there will be a day-long roundtable discussion amongst the delegation members and prominent Chileans. The theme of the roundtable will be the lessons to be learned from the Chilean transition process and the extent to which those lessons are applicable in other countries. A delegation report, which will cover both the delegation's observations and a summary of the discussion at the Saturday roundtable, will be prepared by the NDI staff and published in the early part of 1990.

PROPOSED OUTCOMES

The NDI-organized international delegation will accomplish the following goals:

1. to support free and fair elections in Chile, through the presence of a high-profile international delegation conducting a credible election observation mission;
2. to demonstrate the continued international support for the democratization process in Chile;
3. to provide an opportunity to learn from the Chilean experience various lessons that may have applicability in other parts of the world; and
4. publish and distribute a delegation report on the electoral process in Chile and on the lessons applicable to other countries in transition.

STANDARD PROVISIONS

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

1. MANDATORY STANDARD PROVISIONS FOR U.S., NONGOVERNMENTAL GRANTEES

- (X) Allowable Costs and Audit (November 1985)
- (X) Accounting, Audit, and Records (January 1988)
- (X) Refunds (January 1988)
- (X) Revision of Grant Budget (November 1985)
- (X) Termination and Suspension (May 1986)
- (X) Disputes (March 1987)
- (X) Ineligible Countries (May 1986)
- (X) Debarment, Suspension, and other Responsibility Matters (March 1989)
- (X) Nondiscrimination (May 1986)
- (X) U.S. Officials Not to Benefit (November 1985)
- (X) Nonliability (November 1985)
- (X) Amendent (November 1985)
- (X) Notices (November 1985)

2. OPTIONAL STANDARD PROVISIONS FOR U.S., NONGOVERNMENTAL GRANTEES

- () Payment-Letter of Credit (November 1985)
- (X) Payment-Periodic Advance (January 1988)
- () Payment-Cost Reimbursement (November 1985)
- (X) Air Travel and Transportation (November 1985)
- () Ocean Shipment of Goods (May 1986)
- (X) Procurement of Goods and Services (November 1985)
- (X) AID Eligibility Rules for Goods and Services (November 1985)
- (X) Subagreements (November 1985)
- (X) Local Cost Financing (November 1988)
- (X) Payment Rights (November 1985)
- (X) Publications (November 1985)
- () Negotiated Indirect Cost Rates - Predetermined (May 1986)
- () Negotiated Indirect Cost Rates - Provisional (May 1986)
- (X) Regulations Governing Employees (November 1985)
- () Participant Training (May 1986)
- () Voluntary Population Planning (August 1986)
- () Protection of the Individual as a Research Subject (November 1985)

- () Care of Laboratory Animals (November 1985)
- () Governmental Furnished Excess Personal Property (November 1985)
- () 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 Property (Cooperating Country Title) (November 1985)
- (X) Cost Sharing (Matching) (November 1985)
- (X) Use of Pouch Facilities (November 1985)
- (X) Conversion of United States Dollars to Local Currency (November 1985)

Data Sheet PIS
RUSH = Both

AID 1350-1 (3-87) *PIO/T AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	1. Cooperating Country LAC Regional	Page 1 of 3 Pages
	2. PIO/T No. 598-0591-3-0655300	3. <input checked="" type="checkbox"/> Original or Amendment No.
	4. Project/Activity No. and Title Human Rights Initiatives: Chile '89 Election Observers 598-0591	
	5. Appropriation Symbol 72-1101021.6 046-65-598-00-69-01	

6. Budget Plan Code LDSA90-35598-KG12	7. Obligation Status <input checked="" type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document	8. Project Assistance Completion Date (Mo., Day, Yr.) March 30, 1990
9. Authorized Agent MS/OP/LAC	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
			\$142,000		\$142,000
B. U.S.-Owned & Local Currency					

13. Mission References

14A. Instructions to Authorized Agent, as part of this report:
Please prepare a Grant Agreement with the National Democratic Institute for International Affairs for a program of election observers as more fully described in the attached statement of work.

14B. Address of Voucher Paying Office
PFM/EM/A/PNT, Room 701, SA-2

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.	Phone No. 7-4380	B. The statement of work or program description lies within the purview of the initiating office and approved agency programs. <i>[Signature]</i>	Date 11-14-89	Date 11/16/89
	D. McFarland, LAC/DI <i>[Signature]</i>		Date 11-16-89	
C. Horel, PPC/PDPR/SP <i>[Signature]</i>		D. Funds for the services requested are available		
B. Brockie, LAC/DP <i>[Signature]</i>				
E.J. Schneider, LAC/SAM <i>[Signature]</i>	Phone No. 7-4380		Date 11-15-89	
D. Blane, LAC/DR <i>[Signature]</i>			Date 11-17-89	

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 <i>Norma J. Parker</i> Date 11/17/89
Title _____	Title Norma J. Parker, Director, LAC/DI

*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

OFFICE OF FINANCIAL MANAGEMENT
 Initials: *MS*
 Date Posted: **11/24/89**
 PFM/EM/A/PNT