

ACUERDO BILATERAL

Clasificación: 124-2011

Fecha de Ingreso: 23 de febrero de 2012

Nombre del Acuerdo: Amendment 5 to Grant Agreement between the US Department of State and the GS/OAS for “Monitoring progress of the Environment Cooperation Agenda in the DR-CAFTA countries Project”

Materia: Amendment 5 to Grant Agreement, “Monitoring progress of the Environment Cooperation Agenda in the DR-CAFTA countries Project”

Partes: SG/ US Department of State

Referencia: US Department of State

Fecha de Firma: 4 de mayo de 2011

Fecha de Inicio

Fecha de Terminación

Lugar de Firma: The United States

Unidad Encargada: Executive Secretariat for Integral Development

Persona Encargada:

Original

Claves

Cierres del proceso



U.S. Department of State

AMENDMENT TO FEDERAL ASSISTANCE AWARD

1. Grant Voluntary Contribution
 Cooperative Agreement

2. Award Amendment Number
S-LMAQM-07-GR-333 A005

3. Recipient Federal Tax I.D./DUNS Number
TIN: 521 336 464 DUNS: 058 605 791

4. Description of Amendment

This amendment is for the following purposes: 1) Revise the PIO Terms and Conditions, Section E, Revision of Grant Budget, to add funds; 2) Revise the Scope of Work.

All other terms and conditions remain unchanged.

Continued on attached sheet(s)

5. Accounting and Appropriation Data

19000-2010-2011-1972011037001J-1008-OES-2403-4121-029900-1018100902

6. Issued By/Effective Date
U.S. Department of State, A/LM/AQM/IP, SA-6,
5th floor, Post Office Box 9115, Rosslyn Station,
Arlington, VA 22219

7. Recipient Name Address and Contact Information

The General Secretariat of the Organization of
American States (OAS)
1889 F Street, N.W. Suite 715
Washington D.C. 2006-1815

8. Purpose of Amendment (Check appropriate block(s))

Extend work completion time to January 31, 2012

| <input checked="" type="checkbox"/> Revised cost as follows: | Total Cost Prior | Add + \$ | Deduct - \$ | Revised Total |
|--|-------------------|-------------------|----------------|-------------------|
| U.S. Share of Cost | 745,328.00 | 198,000.00 | - | 943,328.00 |
| Recipient's Share of Cost | | | | 0.00 |
| Total Cost | 745,328.00 | 198,000.00 | 0.00 | 943,328.00 |

9. Statutory Authority

Authorization

- MIRA (Migration/Refugee Act)
 FAA (Foreign Assistance Act)
 FH (Fulbright-Hays)
 SM (Smith-Mundt)
 State Department Basic Authorities Act

Appropriation

- CSH (Child Survival and Health Programs)
 D&CP (PD)
 DA (Development Assistance)
 DF (Democracy Funds)

Appropriation

- ECE (Educ. and Cult. Exch.)
 ESF (Economic Support Funds)
 FSA (FREEDOM Support Act)
 GHAI (Global HIV/AIDS Initiative)
 INCLE (Int'l Narc. Contr. Law Enforcement)
 MRA/ERMA (Migration and Refugee Assistance)
 NADR (Nonprolif, Anti-Terror, Demin., Related)
 SEED (Support for E.Eur. Dem.)
 Other: _____

10. Amendment - (Check all that apply)

- a) Award Specifics
b) Bureau/Program Specifics
 Post Specifics
c) PIO Specifics
d) Property Specifics

11. Recipient Name Title and Signature

Mauricio E. Cortes Costa

Name

Signature

Executive Secretary for
Integral Development

Title

05/04/2011

Date (mm-dd-yyyy)

12. Grants Officer Name Title and Signature

Ruta A. Chagnon

Name

Signature

Grants Officer

Title

May 4, 2011

Date (mm-dd-yyyy)

13. Recipient

By signing this agreement, the recipient assures that it will comply with the terms and conditions of this award. Recipient is required to sign and return this document within 10 business days of the signature of the Grants Officer to the following address:

ChagnonRX@state.gov

Attachment 1.

**Scope of Work for Additional Funding
Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA-DR**

Submitted to: U.S. State Department

Revised by: OAS Department of Sustainable Development

February 2011

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I. Purpose

The purpose of this grant is to support the Environmental Cooperation Commission¹ of the CAFTA-DR, in evaluating if and how cooperative activities funded under the Environmental Cooperation Agreement (ECA)² are contributing towards the achievement of the long-term goals established by the Parties.

II. Introduction and Rationale

To date, the United States (U.S.) has invested approximately US\$77 million to fund environmental cooperation with the governments of the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR). This investment is helping CAFTA-DR countries advance in the following four programmatic areas: (A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; (B) Biodiversity and Conservation; (C) Market-based Conservation; and (D) Improved Private Sector Performance.

Currently, funding has been appropriated to address these priorities. At the same time, the countries of the region are implementing activities and striving to achieve the following long-term goals:

- Compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations: (1) to ensure that CAFTA-DR ECA Parties' environmental laws and policies provide for and encourage high levels of environmental protection; (2) to effectively enforce their environmental laws; and (3) to ensure that judicial, quasi-judicial, or administrative proceedings are available to sanction or remedy violations of environmental laws;
- Improved protection and conservation of the environment, including natural resources;
- Transparency and public participation in environmental decision-making; and
- An improved culture of environmental protection and compliance with environmental laws through, among other things, the promotion of economic opportunities, voluntary measures to enhance environmental performance, and job creation.

In support of these objectives, the ECA (Article IV) requires that the Environmental Cooperation Commission, in addition to establishing priorities for cooperative activities, be responsible for examining and evaluating the cooperative activities under the Agreement. The ECA highlights as well that as the Commission periodically examines and evaluates cooperative programs, projects and activities, it shall seek and consider input from relevant international organizations and other relevant stakeholders, regarding how best to ensure that it is accurately monitoring progress.

¹ Dominican Republic-Central America-United States Environmental Cooperation Commission, which is to be set up under the Environmental Cooperation Agreement. While the Agreement is not in force yet, the Parties are working towards the internal requirements necessary for entry into force of the Agreement and are continuing environmental cooperation, so the DSD will continue to work directly with the Parties.

² Agreement among the governments of Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the United States of America on Environmental Cooperation.

Finally, the Parties preferred an independent entity to assist with these tasks and ensuring that the appropriated funding is contributing to the goals.

III. Ongoing Efforts and Findings under Existing Grant

The Organization of American States – Department of Sustainable Development (OAS-DSD) has been supporting CAFTA-DR countries in evaluating if and how the activities being implemented under the framework of the Environmental Cooperation Program (ECP) are contributing to the achievement of the priorities and long-term environmental goals established by the Parties. In December 2009, the OAS-DSD presented the First Evaluation Report, which consisted of qualitative findings of accomplishments of the ECP. The OAS delivered the Second Evaluation Report to the Department of State on December 3, 2010, and presented it to the Environmental Affairs Council on January 27, 2011. To complete the Second Evaluation Report, the OAS-DSD worked with stakeholders in developing an evaluation process based on key performance indicators to perform a quantitative data analysis and review issues pertaining to the achievement of results.

While the current work provides a strong base for the Third Evaluation Report, the evaluation would be strengthened if the OAS revises the Performance Management Frameworks (PMFs) to add intermediate level indicators, which will be done in coordination with government POCs and implementing agencies. Additionally, the OAS should pursue further efforts in the data collection and reporting processes.

IV. Proposed Approach to this Amendment to the Existing Grant

Under this amendment, the OAS-DSD will revise the national and regional PMFs, ensuring that ongoing DR-CAFTA ECP efforts are reflected and focus on several key components that will strengthen the Third Evaluation Report.

First, it will verify reliability of current indicators and gather missing data. The OAS-DSD will work with implementers in ensuring consistency between their reporting and monitoring approach. The OAS-DSD will review quarterly reports and work with implementers to ensure coherence and that reporting reflects elements of the PMFs. The collection of missing data and review of baseline with results of the Second Evaluation Report are key components of this amendment.

Second, the OAS will focus on streamlining output indicators. The OAS-DSD identified key variables related to the expected results that can be measured over time also in coordination with both POCs and implementers.

Efforts will be made to streamline and reduce the number of indicators currently used at the output level. Data collection tools and reporting will be revised with implementers to ensure adequate coverage of the established indicators.

Finally, the OAS will develop outcome indicators that go beyond process. Coordination with POCs and implementers at this stage is essential, given the strategic nature of intermediate indicators and the need for accuracy and reliability of established output indicators.

A deeper analysis of changes is required to ensure proper monitoring of progress and recording impacts of the ECP in the Region. For this purpose, the OAS-DSD will also visit national institutions and other agencies and meet with relevant stakeholders in order to identify additional baseline data and information that is required for monitoring. During the consultations, the OAS-DSD will work with CAFTA-DR stakeholders to review the list of performance indicators that are being used in the measurement of results to ensure their reliability.

The OAS-DSD will conduct a round of country visits and will conduct consultations with POCs and implementing agencies. The objective of these country visits are to:

- Review output indicators with implementers
- Conduct research and surveys regarding baseline data and missing information based on indicators
- Identify and establish intermediate and higher level indicators with POCs
- Hold consultations with key DR-CAFTA stakeholders and conduct field visits
- Finalize review of performance indicators.

The Third Evaluation Report will be prepared based on the established format for the Second Report, but will additionally incorporate results of streamlining indicators at the output level and adding outcome indicators.

V. Expected Results and Activities

Objectives for this amendment will be accomplished within the original three phases outlined in the original Scope of Work.

US\$198,00.00 are being requested for this amendment for the period of January 2011 (month 41) to January 2012 (month 53), to complete the work necessary to prepare the Third Evaluation Report.

Phase I: Due Diligence and Information Review (Third Evaluation Report: Months 41-50 [Jan–October 2011])

For this amendment, additional activities under this phase include:

1. Cover personnel cost to review and obtain additional baseline information with data provided by POCs, implementers and other stakeholders.
2. Review quarterly reports in order to update PM's.

Phase II: Design of Evaluation Process and Data Collection (Third Evaluation Reports: Months 41-50 [Jan 2011-October 2011])

This phase has been expanded at the request of the Department of State. During this phase, additional resources will be used to review of PMFs and conduct a round of country visits for consultations with POCs and implementing agencies to review performance indicators at the output level, establish intermediate and higher level indicators, and review outputs and results. In addition to this round of country visits, a trip to two DR-CAFTA countries will take place in order to conduct site visits and interview community members who are benefiting directly from the activities implemented in the framework of the CAFTA-DR Environmental Cooperation Program.

Phase III: Monitoring and Evaluation Analysis and Drafting of Report (Months 46-53 [June -January 2012])

This phase will entail implementing the process design, conducting necessary consultations, and continuing information inquiries. Before the Third Evaluation Report is submitted to the Department of State on November 30, 2011, the OAS will verify the information with the implementers. This phase also includes translation and publication of the Third Evaluation Report and completion of Progress Reports. Additionally, this phase includes a presentation of the Third Evaluation Report to the EAC, if needed.

VI. Budget:

This scope of work and budget cover the period of January 2011 (month 41) to January 2012 (month 53), to complete the work necessary to prepare the Third Evaluation Report further to the following summary budget:

Table 1. Amendment #5 and New Total Budget

| | Original Budget | Additions to New Amendment | New Total Budget |
|----------------------------|------------------------|-----------------------------------|-------------------------|
| a. Personnel | \$308,700 | \$105,944 | \$414,644 |
| b. Fringe Benefits | \$71,900 | \$29,616 | \$101,516 |
| c. Travel | \$98,234 | \$13,030 | \$111,264 |
| d. Equipment | \$4,000 | \$1,110 | \$5,110 |
| e. Supplies | \$18,192 | \$3,985 | \$22,177 |
| f. Contractual | \$143,670 | \$15,435 | \$159,105 |
| g. Construction | \$0 | \$0 | \$0 |
| h. Other | \$26,770 | \$9,258 | \$36,028 |
| i. Total Direct Charges | \$671,466 | \$178,378 | \$849,844 |
| j. Indirect Charges (@11%) | \$73,862 | \$19,622 | \$93,484 |
| k. TOTALS | \$745,328 | \$198,000 | \$943,328 |

Table 2. Amendment #5 by Phases

| | Phase I | Phase II | Phase III | TOTAL all phases |
|----------------------------|-----------------|-----------------|-----------------|------------------|
| a. Personnel | \$34,086 | \$36,581 | \$35,277 | \$105,944 |
| b. Fringe Benefits | \$8,844 | \$10,112 | \$10,660 | \$29,616 |
| c. Travel | \$0 | \$13,030 | \$0 | \$13,030 |
| d. Equipment | \$0 | \$0 | \$1,110 | \$1,110 |
| e. Supplies | \$180 | \$75 | \$3,730 | \$3,985 |
| f. Contractual | \$2,400 | \$8,475 | \$4,560 | \$15,435 |
| g. Construction | \$0 | \$0 | \$0 | \$0 |
| h. Other | \$300 | \$1,108 | \$7,850 | \$9,258 |
| i. Total Direct Charges | \$45,810 | \$69,381 | \$63,187 | \$178,378 |
| j. Indirect Charges (@11%) | \$5,039 | \$7,532 | \$6,951 | \$19,622 |
| k. TOTALS | \$50,849 | \$77,013 | \$70,138 | \$198,000 |

Table 3. Cumulative Budget by Phase

| | Phase I | Phase II | Phase III | TOTAL all phases |
|----------------------------|------------------|------------------|------------------|------------------|
| a. Personnel | \$142,086 | \$90,581 | \$181,977 | \$414,644 |
| b. Fringe Benefits | \$34,144 | \$21,012 | \$46,360 | \$101,516 |
| c. Travel | \$43,953 | \$46,695 | \$20,616 | \$111,264 |
| d. Equipment | \$4,000 | \$0 | \$1,110 | \$5,110 |
| e. Supplies | \$4,792 | \$3,425 | \$13,960 | \$22,177 |
| f. Contractual | \$36,300 | \$65,285 | \$57,520 | \$159,105 |
| g. Construction | \$0 | \$0 | \$0 | \$0 |
| h. Other | \$4,250 | \$8,983 | \$22,795 | \$36,028 |
| i. Total Direct Charges | \$269,525 | \$235,981 | \$344,338 | \$849,844 |
| j. Indirect Charges (@11%) | \$29,649 | \$25,958 | \$37,877 | \$93,484 |
| k. TOTALS | \$299,174 | \$261,939 | \$382,215 | \$943,328 |

VII. Budget Narrative:

a. Personnel:

This amendment includes Level Of Effort of 2 staff members one for a period of 12 months full time and the other for 8 months at 80%, who will be responsible for daily tasks related to this cooperative agreement as well as logistical and coordination aspects of work with countries and stakeholders. The OAS-DSD will provide in kind technical expertise in the subject areas related to the goals and ongoing cooperation activities during all phases.

b. Fringe Benefits:

This line item includes the approximate cost of benefit ; for the staff to be funded under this RFA according to the OAS rules.

c. Travel:

This category includes travel of OAS personnel related to RFA and by no means Federal Travel. Airfare, terminal expenses and per diem have been estimated by approximating the average airfare to CAFTA-DR countries as well as per diem at UN-OAS Daily subsistence allowance rate effective December 2010.

During Phase II, one trip of one specialist to all DR-CAFTA countries has been programmed including airfare, per diem and terminal expenses with the objective of holding consultations with implementing agencies and other stakeholders (e.g. government officials) to review current performance indicators at the output level vis a vis available data to ensure reliability. Further during this trip, working sessions will be conducted with LOCs, to identify and establish outcome level indicators. A review of outputs and results will also be conducted during this phase including through site visits in two selected CAFTA-DR countries to interview community members who are benefiting directly from the activities implemented in the framework of the CAFTA-DR environmental cooperation program .Below is the estimated budget for travel.

| | | |
|--|--|----------------|
| Trip to review existing and establish new indicators And field visit (4 days) | | \$8,090 |
| 1 trip to 5 CAFTA-DR countries @ 3500p/p @ 1pers | | \$3,500 |
| 19 days of per diem for 1 person @ 210 | | \$3,990 |
| 2 terminal expenses for 5 CAFTA-DR countries @ 60 | | \$600 |
| | | |
| Site visits (Phase II) and POC meeting | | \$4,940 |
| 2 trips to 1 CAFTA-DR countries @ 880p/p | | \$1,760 |
| 7 days of per diem for 2 person @ 210 | | \$2,940 |
| 4 terminal expenses for 1 CAFTA-DR countries @ 60 | | \$240 |

d. Equipment:

Not Applicable to this RFA.

e. Supplies:

This line item includes photocopies and materials required for review, consultations and evaluations, a new computer (a previously-funded computer is old and has had technical difficulties), translation costs of the Second Evaluation Report, and translation and publication costs of the Third Evaluation Report.

f. Contractual:

This line item includes contracts of additional experts required for design and implementation of the process.

During Phases I, II and III, the OAS requires partial support of one junior consultant for information

processing, logistical and technical support, for a total of 2 months.

This line item also includes support of 2 RBM specialists.

g. Construction:

Not Applicable to this RFA.

h. Other:

This line item includes telecommunication costs and translation and network services.

i. Total Direct Charges:

Sum of all line items from a to h.

j. Indirect Charges:

11% is the standard charge of the OAS for indirect cost recovery pursuant to Executive Order 07-01.

VIII. Grant Deliverables

1. Progress and Financial Reports – will be submitted on a Semiannual basis of each project year (No later than 30 days after June 30 and December 31) until January 2012.
2. Evaluation Reports
 - Draft Third Evaluation Report submitted to OEA/ENV: November 30, 2011
 - Final Third Evaluation Report available: January 31, 2012
3. Final Financial Report and Project Summary (due no later than 30 days after the conclusion of this agreement)

IX. Timeline

| Amendment #5 Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA-DR Countries | | | | | | | | | | | | |
|--|------|-----|------|-----|-----|-----|-----|-----|-----|------|-----|-----|
| OAS Timeline | | | | | | | | | | | | |
| 20 months - May 2010 - December 2011 | 2010 | | | | | | | | | | | |
| Months: | May | Jun | July | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr |
| | 33 | 34 | 35 | 36 | 37 | 38 | 39 | 40 | 41 | 42 | 43 | 44 |
| | 45 | 46 | 47 | 48 | 49 | 50 | 51 | 52 | 53 | 2011 | | |
| Second Evaluation Report | | | | | | | | | | | | |
| Expected Result 1: Due diligence and Information Review | | | | | | | | | | | | |
| Expected Result 2: Design of Evaluation Process | | | | | | | | | | | | |
| Expected Result 3: Implementation of Evaluation Process | | | | | | | | | | | | |
| Third Evaluation Report | | | | | | | | | | | | |
| Expected Result 1: Due diligence and Information Review | | | | | | | | | | | | |
| Expected Result 2: Design of Evaluation Process | | | | | | | | | | | | |
| Expected Result 3: Implementation of Evaluation Process | | | | | | | | | | | | |
| Progress & Financial Reports Due | X | | | | | | | X | | | | |
| | | | | | | | | | | X | | |
| | | | | | | | | | | | | X |