

J-AB-836

AID



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

SEP 30 1996

Mr. Randall Draper
Assistant Director
Harvard University
Holyoke Center, Forth Floor
1350 Massachusetts Avenue
Cambridge, MA 02138-3800

Subject: Award No. LAG-G-00-96-00003-00

Dear Mr. Draper:

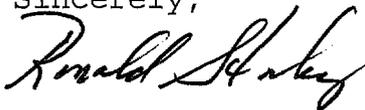
Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby intends to grant to the Harvard University (herein after referred to as Harvard or "Recipient"), the sum of \$112,553.00 to provide support for a program in Operationalizing Commercial Forestry in Latin America, Phase II, as described in the Schedule of this award and the Attachment 2, entitled "Program Description." As this award is incrementally funded, only the amount shown in Section 1.3.b. of the Agreement schedule has been obligated for use hereunder.

This award is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending 09/30/97. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

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

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

Sincerely,



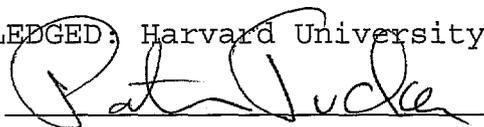
Ronald Stanley
Grant Officer
M/OP/B/LA

Attachments:

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

ACKNOWLEDGED: Harvard University

BY:



Title:

Patricia Tucker, Director
Awards Mgmt. & Resource Info.
Office for Sponsored Research
Harvard University

Date:

OCT 17 1996

ACCOUNTING AND APPROPRIATION DATA

A. GENERAL

1. Total Estimated Amount: \$112,553.00
2. Total Program Amount: \$158,553.00
3. Total Obligated Amount: \$52,500.00
4. Cost-Sharing Percentage
(Non-Federal): 29%
5. Project No.:
6. USAID Project Office: LAC/RSD
7. Tax I.D. Number: 04-210-3580N
8. CEC No.: 62-362-480G
9. LOC Number: 72-00-1468

B. SPECIFIC

1. Activity ID: 1025804292
2. Resource Category: 410463
3. Allotment:
4. Fund Account: DV 96/97 419763
5. Obligated Amount: \$52,500
6. Unfunded Amount: \$60,053

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ATTACHMENT 1

SCHEDULE

1.1 PURPOSE OF AGREEMENT

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

1.2 PERIOD OF AGREEMENT

The effective date of this Agreement is the date of the Cover Letter and the estimated completion date is 09/30/97.

Funds obligated hereunder are available for program expenditures for the estimated period beginning the effective date of this Agreement through 03/30/97.

1.3 AMOUNT OF AWARD AND PAYMENT

- (a) The total estimated amount of this Award is \$112,553.00.
- (b) USAID hereby obligates the amount of \$52,500.00 for program expenditures during the period set forth in 1.2 above and as shown in the Budget below.
- (c) Payment shall be made to the Recipient by Payment - Letter of Credit in accordance with procedures set forth in 22 CFR 226.22.
- (d) Additional funds up to the total estimated amount may be obligated by USAID subject to the availability of funds, and 22 CFR 226.25.

1.4 BUDGET

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226.25.

Cost Element	USAID	Other (Non-Federal)	Total
1. Salaries & Fringe	\$ 57,015	\$ 0	\$ 57,015
2. Consultants	2,183	40,000	\$ 42,183
3. Travel	0	6,000	\$ 6,000
4. Other Direct Cost	8,300	0	\$ 8,300
5. Equipment	0	0	\$ 0
6. Indirect Costs	<u>45,055</u>	<u>0</u>	<u>\$ 45,055</u>
TOTAL	\$112,553	\$ 46,000	\$158,553

1.5 REPORTING AND EVALUATION

1.5.1 Financial Reporting

In keeping with the requirements established in 22 CFR 226.52, the Recipient is required to:

- (a) Prepare a "Financial Status Report", SF 269a, on an accrual basis and submitted quarterly in an original and two copies to USAID/M/FM/CMP.

1.5.2 Monitoring and reporting program performance

- (a) Requirements. The Recipient shall submit an original and one copy of a brief quarterly program report to the address listed in the Cover Letter. In addition, one copy shall be submitted to USAID/CDIE/DI, Washington, DC 20523-1802. A final performance report is also required.
- (b) Contents. The Program report shall briefly present the information contained in 22 CFR 226.51(d).

1.6 TITLE TO AND CARE OF PROPERTY

Title to all property financed under this award shall vest in the Recipient subject to the requirements of 22 CFR 226.30 through 37.

1.7 AUTHORIZED GEOGRAPHIC CODE

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

1.8 INDIRECT COSTS

Pursuant to the Standard Provisions of this Award entitled "Negotiated Indirect Cost Rates - Predetermined" and "Negotiated Indirect Cost Rates - Provisional (Nonprofits)," a predetermined indirect cost rate or rates shall be established for each of the Recipient's accounting periods which apply to this Award. Payments on account of allowable costs shall be made on the basis of such predetermined rates. The rate(s) for the initial period and the base(s) to which it is (they are) applied is (are) as follows:

1.8 (Continued)

Type	Rate	Base	Period
Off Site	26.0%	1/	07/01/93 - 06/30/97

1/ Base of Application: Total direct costs less items of equipment costing over \$500, subgrants and subcontracts, alterations and renovations, student aid and fees related to patient care. The rates do not apply to computer services acquired within the University.

Rates for subsequent periods shall be established in accordance with the Standard Provision entitled "Negotiated Indirect Cost Rates - Predetermined."

1.9 RESOLUTION OF CONFLICTS

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

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

1.10 COMMUNICATIONS PRODUCTS (OCT 1994)

- (a) Definition - Communications products are any printed materials (other than non-color photocopy material), photographic services or video production services.
- (b) Standards - USAID has established standards for communications products. These standards must be followed unless otherwise specifically provided in the agreement or approved in writing by the agreement officer. A copy of the standards for USAID financed publications and video productions is attached.
- (c) Communications products which meet any of the following criteria are not eligible for USAID financing under this agreement unless specifically authorized in the agreement schedule or in writing by the agreement officer:
 - (1) Any communication product costing over \$25,000, including the costs of both preparation and execution. For example, in the case of a publication, the costs will include research, writing and other editorial services (including any associated overhead), design, layout and production costs.

1.10 (Continued)

- (2) Any communication products that will be sent directly to, or likely to be seen by, a Member of Congress or Congressional staffer; and
- (3) Any publication that will have more than 50 percent of its copies distributed in the United States (excluding copies provided to CDIE and other USAID/W offices for internal use.

1.11 PAYMENT OFFICE

The payment office, and the office which requests for payment shall be sent, is U.S. Agency for International Development, M/FA/FM/CGLC/DC, Room 701 SA-2, Washington, D.C. 20523-0209.

ATTACHMENT 2

PROGRAM DESCRIPTION

The Recipient's proposal entitled "Operationalizing Commercial Forestry in Latin America, II" and dated is attached hereto as the Program Description (Attachment 2) and is made a part of this Award.

ATTACHMENT B

Program Description: "Operationalizing Commercial Forestry in Latin America," Phase II

The basis for activities to be implemented under this grant evolved from results obtained under earlier support for phase I of the study "Operationalizing Commercial Forestry in Latin American Indian Communities," (Program Description, Grant Agreement LAG-0000-G-00-5031-00, Attachment 2, page 3). This earlier grant to Harvard resulted in a site selection for regional pilot studies and institutional development, selection of local partner organizations and strengthening of research design. The following is a program description of activities planned for July 15, 1996 to July 15, 1997.

A. Project Focus:

1. Regional Site Selection:

Ecuador was selected as the site where regional institutional capacity will be developed for applying research on conflict management in indigenous communities, and where methodologies will be tested and cases described on local sites by local researchers. During Grant LAG-0000-G-00-5031-00 Harvard initiated formal collaboration on conflict monitoring through the Universidad de San Francisco de Quito in Ecuador. In addition, Harvard has identified numerous Ecuadorian groups, NGOs and institutions with long-term interest in and capacity for research and training related to trade, natural resources, and conflict. Harvard researchers are working to integrate these units into larger working groups and associated institutions, which will function as non-formal training sites and research centers, focussing on local conflicts. Key indigenous groups to benefit from project activities include the regional coordinating Group for Indian Organizations of the Amazon Basin (COICA) and the Confederation of Indigenous Organizations of the Ecuadorian Amazon (CONFENIAE).

2. Conceptual Focus:

Researchers will focus on identifying and testing two aspects of what is referred to as "pre-negotiation": socio-political research, applied programs, training to improve the negotiating position of "weaker groups". Limited student exchange and training will be enabled by an agreement between Harvard University and Ecuador's Fundacion Capacitar, and funded by the Grantee using non-USAID funds.

B. Project Activities

Applied research will be accomplished under four approaches as follows:

1. Computer-based Event Monitoring:

Harvard has developed a computer-based system, PANDA for monitoring conflict in key countries in Latin America. The program is based on inputs of data from Reuters news reports and is currently programmed to only interpret data in the English language, and a limited source. During Phase II, researchers will 1) begin work with a regional colleague from Latin America to adapt the protocol to interpret more detail from a wider range of local news sources; 2) modify the system to read Spanish, and 3) establish a LAC regional "institutional home" for the system at the Universidad San Francisco de Quito (USFQ). This will involve training (funded by non-USAID source) of the USFQ senior computer programmer at Harvard to increase local capacity to utilize and help modify the system.

2. Social Analysis

The on-site social analysis component is at the heart of the research effort, guiding the computer-based monitoring system and making important adjustments to conflict analysis and management. Data collected from ethnographies and other social analysis methods can be used to substantiate results of and set parameters for the predictive computer-based PANDA. In addition, social analysis is critical to

understanding the basis for conflict in indigenous communities and the degree of "power asymmetry." During Phase II, Harvard will sponsor a Latin American social science scholar under the Center for International Affairs and/or the David Rockefeller Center for training with program staff and faculty on conflict analysis skills. In addition, social analysis of specific case study sites within particular communities will continue to be a part of the research effort and continual data gathering.

3. Mapping Technologies and Land Use Data Gathering

Community-based mapping and local use of advanced technologies are tools for managing important information used in conflict management. The primary need is to greatly expand the extent and quality of data through the use of Global Positioning Systems (GPS). The research project will focus on assisting local researchers and communities to learn applications of simple, low-cost GPS technology to link information with a position (eg. a territorial boundary, important site, location of incident, etc).

At the same time, Harvard Researchers will feed data collected by GPS, social analysis and PANDA into a greater Geographical Information System (GIS) to depict information geographically on maps for particular case studies. These data maps will complement the country profiles and case study reports. Harvard will also demonstrate the potential of GIS to its cooperating institutional partners.

4. Conflict Management

Harvard is working with a cooperator, the Conflict Management Group (CMG) on developing a intercultural conflict management framework. This framework provides a set of guiding principles to address "protracted social conflict," or that which persists over time in the absence of addressing a basic human need. During the grant period, this framework will be applied to specific indigenous groups and contexts and will be coordinated with the regional centers and working groups in Ecuador, and incorporated into training activities, funded by sources other than USAID..

Identifying methods for and building local capacity in Conflict Management is the ultimate end goal of the research project, and it involves a combination of the tools described above. In addition to non-formal training for local researchers in the focussed areas, Harvard and its cooperators will also sponsor two workshops on Conflict Management, using non-USAID funds, as follows:

a) Workshop in Ecuador: "Conflicts between Groups of Different Cultural, Social and Economic Structural Equity: Methods for their Analysis and Treatment." The goal was to strengthen the skills of LA regional participants, who prepared papers on local conflict and discussed and applied traditional and new methods of analysis and approaches. They also discussed the formation of a broad regional working group.

b) Fall 1996 Workshop in Cambridge, MA: Participants will revise papers in preparation for this workshop. In addition to human capacity development and sharing of research findings, the workshop will also continue to build upon establishing the LAC regional network of working groups on conflict management, with a focus on indigenous peoples/ethnic minorities. Papers prepared by LA participants will be published jointly by the various programs and *Ediciones Abya-Yala* in Quito, Ecuador.

C. Second Grant Phase Deliverables

Harvard will supply USAID/LAC/RSD/BBEG with two reports:

1) an interim progress report which describes the process, participation and results of the two workshops, progress of institution-building activities and any pertinent research developments.

2) a final report detailing achievements of the on-going research on specific sites involved in conflict

- analysis and conflict management, modification of PANDA and its impact, and progress and status of the development of a regional institutional node in Ecuador for conflict management, including the building of a network of regional professionals and a local working group on conflict management. The report will include, as an annex, data for the Evaluation Matrix (see below).

D. Monitoring and Evaluation

Due to the stage of Harvard's conflict management research program in Latin America and the short length of the grant period under Phase I, USAID and Harvard researchers were unable to construct an evaluation matrix which had any long lasting validity. With the selection of a country site, the establishment of institutional ties and solidification of a longer term approach of working with its collaborators, Harvard and USAID can now set up the appropriate evaluation matrix. LAC/RSD/BBEG is working with Harvard on establishing indicators and targets to measure activity level performance. Potential indicators include:

- number of papers prepared by local LAC researchers on conflict management pertaining to indigenous/ethnic communities.
- number of conflict analysis and management tools and skills acquired by Visiting Scholars at Harvard
- number of conflict management papers published locally in Ecuador and disseminated widely in LAC.
- number of conflict management papers published in international journals on conflict analysis, monitoring and management by Harvard, or its cooperators.
- number of local and regional indigenous and research groups tied into the regional node/working group being established in Ecuador.
- number of indigenous communities receiving GPS and skills training in the field by Harvard or one of its counterparts
- number of LAC participants attending workshops.
- number of LAC indigenous/natural resource conflict cases analyzed, mapped and described
- number of specific country profiles generated by PANDA using Spanish language data.

Harvard and USAID will agree on the content of the Evaluation Matrix no later than two weeks after the second grant award is given. It is expected that the matrix will be filled out and delivered to LAC/RSD/BBEG by the end of the grant period, but that success will only be able to be measured after a more reasonable time period of implementation, eg. a year from now.