

ENMIENDA AL CONVENIO DE PROYECTO DE DONACION

Entre

Los Estados Unidos de América, a través de la
Oficina Regional para Programas Centroamericanos
(ROCAP)
en nombre de la
Agencia para el Desarrollo Internacional (AID)
y el
Centro Agronómico Tropical de Investigación y Enseñanza
(CATIE)

PROJECT GRANT AGREEMENT AMENDMENT

Between

The United States of America, acting through
the Regional Office for Central American Programs
(ROCAP)
on behalf of the
Agency for International Development (AID)
and
The Tropical Agricultural Research and Training Center
(CATIE)

596-0150-G-008

TITULO DEL PROYECTO - PROJECT TITLE	NUMERO - PROJECT NUMBER
Regional Environmental and Natural Resource Management (RENARM)	596-0150
ENMIENDA No. - AMENDMENT No. Tres - Three	FECHA DEL CONVENIO ORIGINAL DATE OF ORIGINAL AGREEMENT 15 de septiembre 1989 September 15, 1989 PIO/T 515-0000-3-00092 PIO/T 515-0000-3-00093

CONSIDERANDO, que A.I.D. y CATIE
firmaron un Convenio para el
Proyecto de Manejo de Recursos
Naturales y Medio Ambiente el 15
de septiembre de 1989, el cual
fue enmendado posteriormente el 17
de julio de 1990 (a los cuales
nos referiremos como "Convenio");
y

CONSIDERANDO, que la A.I.D. desea
agregar fondos:

WHEREAS, A.I.D. and CATIE entered
into a Project Grant Agreement
for the Regional Environmental
and Natural Resource Management
Project on September 15, 1989,
which was subsequently amended on
July 17, 1990 (together referred
to as the "Agreement"); and

WHEREAS, A.I.D. wishes to add
funds;

POR LO TANTO, A.I.D. y CATIE por este medio convienen en lo siguiente:

1. El Artículo 3 del Convenio se enmienda por medio de los siguientes cambios a la Sección 3.1 para proveer:

"Sección 3.1. La Donación. Para ayudar a CATIE a financiar los costos de ejecución de las actividades acordadas en el Proyecto, A.I.D., de conformidad con la Ley de Asistencia Externa de 1961, y sus enmiendas, acuerda donar a CATIE, bajo los términos de este Convenio, una cantidad adicional que no exceda de veintidos mil ochocientos ochenta y tres dólares Estadounidenses (EU\$22,883), con lo cual la contribución de ROCAP, a la fecha, asciende a cinco millones doscientos doce mil trescientos ochenta y tres dólares Estadounidenses (EU\$5,212,383) de acuerdo con el cuadro I anexo. La Donación adicional provista por esta enmienda se usará con la participación de financiamiento en proyectos de otras misiones provistas en este Convenio, para financiar la preparación de a) Análisis de Divulgación Social, y b) Sistema de Manejo de Información para el Proyecto de Manejo de Cuencas, USAID/Costa Rica, según se describe en los Anexos I y II de esta enmienda. Esto hace un total de \$22,883 obligado a la fecha bajo las provisiones de participación de financiamiento en proyectos de otras misiones de este Convenio. Los desembolsos y los procedimientos contables a seguir relacionadas con los \$22,883 adicionales que se donan se establecerán en una Carta de Ejecución."

NOW THEREFORE, A.I.D. and CATIE hereby agree as follows:

1. Article 3 of the Agreement is amended by revising Section 3.1 to provide:

"Section 3.1. The Grant. To assist CATIE to meet the costs of carrying out the agreed activities of the Project, A.I.D., pursuant to the Foreign Assistance Act of 1961, as amended, agrees to grant CATIE under the terms of this Agreement an additional amount not to exceed twenty two thousand eight hundred eighty three United States Dollars (US\$22,883) making ROCAP's contribution to date five million two hundred twelve thousand three hundred eighty three United States Dollars (US\$5,212,383) in accordance with the attached table I. The additional Grant provided by this amendment is to be used under the 'buy-in' provision of this agreement to finance the preparation of a) Social Soundness Analysis, and b) Management Information System for the Watershed Management Project, USAID/Costa Rica as described in Annex I and Annex II to this amendment. This makes a total obligated to date of \$22,883 under the 'buy-in' provision of the Grant. Disbursements and accountability procedures to be followed relative to the additional \$22,883 being granted will be set forth in a Project Implementation Letter."

Excepto a lo enmendado aquí, el
Convenio seguirá en plena
vigencia.

Except as amended hereby, the
Agreement shall remain in full
force and effect.

POR EL DONATARIO
FOR THE GRANTEE

POR LA AGENCIA PARA EL
DESARROLLO INTERNACIONAL
FOR THE AGENCY FOR
INTERNATIONAL DEVELOPMENT

Dr. Rodrigo Barté

Nadine Hogan

FIRMA - SIGNATURE

FIRMA - SIGNATURE

TITULO - TITLE
Director General
General Director
CATIE

TITULO - TITLE
Directora Regional
Regional Director

FECHA - DATE

FECHA - DATE

9-28-90

CUADRO I - Table I

PRESUPUESTO - BUDGET

Proyecto 596-0150: Proyecto de Manejo de Recursos Naturales y Medio Ambiente
Project 596-0150: Regional Environmental and Natural Resources Management
(US\$)

Rubro Line Item	Presupuesto Total Anterior Prior LOP Budget (A)	Obligaciones a la fecha Obligations to date (B)	Cambios esta enmienda Changes this amendment (C)	Nuevo Total Obligado New Total Obligated (D)
Personal - Personnel	8,003,400	2,146,200	0	2,146,200
Adiestramiento - Training	1,973,400	471,400	0	471,400
Viajes y Viáticos - Travel and Per Diem	1,141,200	298,472	0	298,472
Equipo - Equipment	835,500	609,100	0	609,100
Suministros y Materiales - Materials and Supplies	<u>1,312,700</u>	<u>274,075</u>	<u>0</u>	<u>274,075</u>
SUBTOTAL	13,266,200	3,799,247	0	3,799,247
Overhead (13%)	1,724,606	493,902		493,902
Variance (5%)	663,310	189,962		189,962
Evaluations	92,000			
Contingency	<u>658,384</u>	<u>706,389</u>		<u>706,389</u>
SUBTOTAL	16,404,500	5,189,500	0	5,189,500
Allowance for USAID buyins	<u>343,000</u>	<u>0</u>	<u>22,883</u>	<u>22,883</u>
GRAND TOTAL	16,747,500	5,189,500	22,883	5,212,383

PREPARATION OF SOCIAL SOUNDNESS ANALYSIS
WATERSHED MANAGEMENT

A. BACKGROUND

USAID Costa Rica has begun a major initiative in assisting the Government of Costa Rica as well as Costa Rican non-governmental organizations to enhance sustainable management of natural resources and to conserve biological diversity. One of the key projects within this initiative will be the Watershed Management Project. The project goal is to support the sustainable socio-economic development of Costa Rica by preserving and developing renewable natural resources at the community level. The project's purpose is to increase the authority and strengthen the capability of local communities to plan, finance, implement and sustain micro watershed management programs. These micro watersheds are of high priority because of their downstream effects on water supply and quality, infrastructure, agriculture and coastal areas.

B. SCOPE OF WORK - Social Soundness Analysis

The Social Analysis will examine three general concepts: (1) the compatibility of the project with the sociocultural environment in which it is introduced (sociocultural feasibility); (2) the likelihood that the new practices or institutions introduced among the initial project target population will be diffused among other groups (spread effect); and (3) the social impact or distribution of benefits and burdens among different groups, both within the initial project population and beyond.

Key components of the social situation in Costa Rica about which the contractor will describe include the following:

1. The social and cultural conditions that influence, in general, small scale, marginal and commercial farmers, and people living in rural communities.
2. The social and cultural factors that influence reactions to:
 - Conservation Interventions
 - Changes in agricultural practices
 - Perceptions of watershed management
 - Women's involvement in the above activities
 - Increases in water user fees
3. The social, cultural and political factors that influence the interrelationship of project beneficiaries to:
 - Government institutions and personnel
 - Foreign advisors
 - Accepting a greater financial burden for receipt of water services
4. The interrelationships in the GOCR institutions responsible for natural resources management and how these may affect the project.
5. The perceived influence of project recipients on the design and implementation of the program.

C. REPORTS

CATIE will work with Mr. Xavier Vela, USAID Office of General Development to draft the social soundness analysis as describee in Section B, above. A draft of the analysis will be submitted at the end of three weeks to the USAID Watershed Design Committee, for their review and comment. The final "draft" report will be submitted at the end of 26 work days. The report will be produced in Spanish and English.

AID liaison officials: William R. Garland and Anne Lewandowski, Office of Rural Development, USAID/Costa Rica, San José, Costa Rica.

ILLUSTRATIVE BUDGET

I	SALARY	($\$$)
	Daily rate \$160	
	\$160 x 6 day/week x 4 weeks, 2 days	4,160
	CATIE Overhead: 18%	<u>749</u>
	Sub-Total	<u>\$4,909</u>
II	OTHER DIRECT COSTS	
	Per diem: 14 days (in San José) x \$114/day	1,596
	Taxis in San José	200
	Materials and Supplies	218
	Data Processing/Secretarial Services/Translation	<u>2,000</u>
	TOTAL	<u>\$8,923</u> =====

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**PREPARATION OF WATERSHED MANAGEMENT
INFORMATION SYSTEM**

A. BACKGROUND

USAID Costa Rica has begun a major initiative in assisting the Government of Costa Rica as well as Costa Rican non-governmental organizations to enhance sustainable management of natural resources and to conserve biological diversity. One of the key projects within this initiative will be the Watershed Management Project. The project goal is to support the sustainable socio-economic development of Costa Rica by preserving and developing renewable natural resources at the community level. The project's purpose is to increase the authority and strengthen the capability of local communities to plan, finance, implement and sustain micro watershed management programs. These micro watersheds are of high priority because of their downstream effects on water supply and quality, infrastructure, agriculture and coastal areas.

B. SCOPE OF WORK - Management Information System

CATIE will work closely with the Watershed Management Specialist and the water resources/institutional specialist to develop a Management Information System, including data collection, monitoring and evaluation.

CATIE in collaboration with the specialists listed above will make sure that the Information System includes the following major functions: (a) regular analysis of administrative data on select indicators of project progress and performance i.e., performance monitoring, (b) planned studies on key management or impact questions, and (c) procedures for timely feedback of both types of information to project managers.

CATIE will also make sure that the Information System developed is characterized by its simplicity, feasibility, timeliness and relevance. In order to fulfill the above, the Vendor will study documentation available on relevant natural resources projects, interview project planners, project implementors, managers (all levels) and community leaders.

The MIS should be developed as an integral component of the Watershed project. The Vendor will provide specific information on:

- a. A system of baseline studies. The system will take into account that project sites will be selected during project implementation, therefore a strategy for arranging the selection of baseline information in each area will have to be developed.
- b. Type of data to be collected under each project component.
- c. Frequency of data collection.
- d. Administrative focus and staffing of the monitoring and evaluation unit.
- e. Data collection formats.

- f. Procedures for feedback (turn raw data into action-oriented reports for management).

CATIE, in collaboration with the specialists listed above, will prepare the data collection, monitoring, and evaluation plan for the Project Paper. Presentation of the information will be as follows:

- a. The Users of the Information. This section should specify the following:
- The users of the information (counterpart field and planning staff, AID staff, STC, community organizations, municipal executive officers, etc.)
 - Users' organizational affiliation
- b. Institutional Locus. This section of the plan should specify the following:
- Describe the monitoring and evaluation unit
 - The agency in which the monitoring and evaluation unit should be located
 - The number and type of staff for the monitoring and evaluation unit
- c. Project Goal, Purpose, and Output Questions, Indicators, and Methodologies. This section should reference the project's logical framework and the section of the Project Paper that discusses purpose, goals, inputs, and outputs. This section should also identify the following:
- Managers' priority questions for monitoring the project's output, purpose, and goal (specifying high, medium and low-priority questions)
 - The key indicators which will be used to answer managers' questions
 - The data collection methodology which will be used to provide information on these indicators and the procedures for applying it. If the methodology selected is "administrative record analysis", the plan should indicate whether new formats for administrative data will have to be designed and how these will be developed.
- d. Special Studies. For questions which will require more intensive investigation over the life of project, this section should specify the following:
- The types of studies and combination of methods that will be used for gathering and analyzing data to answer managers questions
 - The type of data that will be gathered
 - The frequency of these studies and who should conduct them (the monitoring and evaluation unit or local firms, universities, or research institutions)
- e. Counterpart Support and Involvement. This section should identify the following:
- The counterpart agencies (STC, local communities, regional government agencies, private NGOs) which will be involved in data collection

- The nature and level of their involvement (e.g., staff to prepare administrative data, staff for the monitoring and evaluation unit, and their approximate numbers and type)
- f. Feedback Procedures. This section should specify the procedures which will be used to generate feedback (e.g., quarterly or annual reports, biennial or semiannual workshops).
- g. Budget Development. This section should identify specific budget line items to support the monitoring and evaluation system, or it should reference the overall project budget which includes this information. Budget line items might include the following:

A.I.D.

- Long-term technical assistance (e.g., resident monitoring and evaluation advisor-24 months)
- Short-term technical assistance (short-term consultancies to advise on or participate in specific data collection and analysis efforts)
- Training in data collection and methodologies: long-term (university training) and short-term (seminars, workshops, conferences)
- Commodities (e.g., calculators and computers, if appropriate)
- Funds for data processing, if appropriate

Host Country

- Counterpart agency field staff to fill out administrative data forms
- Counterpart agency supervisors
- Office space for monitoring and evaluation units (e.g., three district units, one central unit)
- Staff for monitoring and evaluation units (e.g., four Ph.D.s, eight M.A.s)

h. Evaluation Schedule. This section should specify the following:

- The points in the project life at which external evaluations will be conducted
- The purpose of these evaluations
- The type of empirical data generated by the monitoring and evaluation system which will be available for review by the evaluation teams

C. REPORTS

CATIE will work with the Watershed Management Specialist to draft the document describing the Project Management Information System, per Section B of this Scope of Work.

Drafts of all work will be submitted at the end of five weeks of work to the USAID Watershed Design Committee, for their review and comment. The final "draft" report will be submitted at the end of 7 weeks.

The reports will be produced in Spanish and English.

AID liaison officers: William R. Garland and Anne Lewandowski, Office of Rural Development, USAID/Costa Rica, San José; Costa Rica.

ILLUSTRATIVE BUDGET

I	SALARY	(\$)
	Daily rate \$160	
	\$160 x 6 day/week x 7 weeks	6,720.00
	CATIE Overhead: 18%	<u>1,210.00</u>
	Sub-Total	<u>\$ 7,930.00</u>
II	OTHER DIRECT COSTS	
	Per diem: 24 days (in San José) x \$114/day	2,736.00
	Taxis in San José	300.00
	Materials and Supplies (maps, data bases)	643.00
	Data Processing/Secretarial Services/Translation	<u>2,351.00</u>
	TOTAL	<u>\$13,960.00</u> =====

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