PD-AAU-353
47312

GRANT AGREEMENT
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 CEN
(CATIE)

596-0000-G-00-6429-00

1. PROJECT TITLE	2. AID PROJECT NUMBER
Study of Central American Farmers' Attitudes Toward Tree Planting	PROJECT DEVELOPMENT AND SUPPORT (ARDN) 596-0000.3
3. AMOUNT OF AID GRANT	**4. PROJECT ASSISTANCE COMPLETION DATE**
$10,477.00	January 31, 1987

5. The purpose of this agreement is to finance the performance of a sociological study based on the experience of various current tree planting efforts, in order to provide guidance to ROCAP in the design of an amendment to the Tree Crop Production project and to USAID/Honduras and USAID/El Salvador in orientation of their tree planting activities. These activities will be coordinated and carried out by CATIE (Tropical Agricultural Research and Training Center.)

This agreement consists of this title page; Annex A, Project Description; and Annex B, Standard Provisions.

6. FOR THE GRANTEE	7. FOR THE AGENCY FOR INTERNATIONAL DEVELOPMENT
Rodrigo Tarté	Nadine Plaster
FIRMA - SIGNATURE Director	SIGNATURE Director
DATE September 29, 1986	DATE September 26, 1986

TITLE: STUDY OF CENTRAL AMERICAN FARMERS' ATTITUDES TOWARD TREE PLANTING

STUDY DESCRIPTION:

A. Study:

Perform a sociological study based on the experience of various current tree planting efforts to provide guidance to ROCAP in the design of an amendment to the Tree Crop Production project, and to USAID/Honduras and USAID/El Salvador in the orientation of their tree planting activities.

B. Objectives:

1. To develop socially sound strategies for promoting planting and management of trees on farms, based on the investigation of farmers' attitudes and responses to various on-going tree planting efforts.

2. To answer the following questions for the locations and conditions of tree planting activities:

- Which tree products, services and types of species are most important to farmers?

- Which factors motivate farmers to plant and to manage trees?

- Which factors constrain farmers from planting? What is the relative importance of these factors?

- Which promotional strategies have been proven most effective in motivating farmers to plant trees? How can large number of farmers be motivated to plant and manage trees through extensive government or non-government efforts?

The above results should be qualified by size of farm holding, type of organization of farmers, location, major crop regions, local availability of tree products, markets or other determining variables

3. Initially the study will be limited to Honduras and El Salvador. Depending on the results of this study, it may be expanded at a later stage to include Guatemala, Costa Rica and Panama.

C. Background:

Problems of wood supply and environmental degradation in Central America cannot be alleviated unless tree planting by farmers is accelerated dramatically. Several projects in the region are making efforts in this direction, spending considerable amounts of money including AID funds. How likely are their initiatives to continue and expand after the project ends? Which of the many approaches are most effective in the long-run? Much can be learned from this experience to improve on-going operations and to design new projects.

It is especially important to examine farmer attitudes toward tree planting and management in order to conceive more effective motivation and incentive schemes. Although considerable attention has been given to improving forest techniques of these projects, the sociological dimension has often been neglected. Yet, this is precisely where the constraints tend to appear.

Before proceeding with the design of major AID funded tree planting efforts, an evaluation is needed of the state of knowledge on motivation of farmers in Central America to plant and manage trees. Results of such a study would be immediately applicable to the following AID asisted projects, as well as to many others.

On-going projects:

USAID/Honduras Natural Resource Management project which has been supporting tree planting since 1981.

USAID/El Salvador Reforestation on Land of Cooperativ Farms, consuming about $1 million in local currency annually since 1980; there is interest in exploring strategies that increase this continuity.

ROCAP Tree Crop Production project promoting farm forestry in five countries since 1981.

Proposed:

ROCAP amendment to Tree Crop Production project to encourage Tree Crop Production in CAP.

USAID/Honduras Forest Development project which will have a major component in social forestry. PP scheduled for completion before the end of 1986.

Honduras: COHDEFOR is contemplating the design of an incentive scheme to encourage tree planting and management.

Various NGOs and PVOs are actively trying to expand forestry activities throughout Central America and Panama, most using AID funding to some extent. They need guidance for design of tree planting projects. Specific examples are: PADF which has fielded forestry project identification missions to Honduras and Guatemala; CARE which has tree planting project in Honduras, Guatemala and is starting in Panama; Partners of the Americas which operates a project in Honduras and is trying to start in Guatemala; and World Neighbors working in Honduras and Guatemala.

D. Study Activities:

1. Review existing documentation.

2. Prepare Work Plans and develop survey methods.

3. Visit project office and field sites in Honduras and El Salvador. Interview staff and project beneficiaries.

4. Conduct field surveys in selected areas.

5. Present and discuss findings at seminar to be organized in Honduras for participants involved in social forestry project design.

6. Draft report with major findings including descriptions of strategies to follow under selected conditions.

7. Submit draft report to ROCAP for comments and incorporate comments as appropriate. Submit final report.

CONTRACTING PROCEDURE:

Funds will be provided to CATIE to contract with the required specialist according to AID regulations. CATIE will submit to ROCAP the scope of work and name of proposed consultant for the approval of the study prior to initiating work under this Agreement.

QUALIFICATONS OF SPECIALIST REQUIRED:

The specialist should possess a university degree in Rural Anthropology or Sociology and have at least five years of practical field experience in Latin America. Ample experience with peasant farmers is required, including the design and administration of surveys related to farming. A basic understanding of farm forestry is desirable. Fluency in Spanish is a must.

REPORTS:

Within a week of initiation of the study, CATIE will submit a work plan to ROCAP for approval. CATIE will provide ROCAP with a final report preferably in Spanish. Ten copies of the report are to be submitted within 75 days of starting contract.

As a minimum, the report should cover the following subjects: objectives of study; methodology used, including survey forms for possible future expansion of study; critical description of motivational aspects of tree planting in projects visited; systematic rating of promotional approaches that have been used in the countries visited; and an analysis indicating what has or has not worked and why; practical guidelines on how to promote and organize on-farm tree planting and management under the conditions specified for Honduras and El Salvador. CATIE will also provide a certified listing of AID funds expended under this Agreement.

BUDGET AND METHOD OF DISBURSEMENT:

Under the terms of this Agreement, ROCAP will provide $10,477 dollars from FY 86 funds toward the estimated requirement of $16,000 dollars as shown in the attached Illustrative Budget. Advance of funds may be made according to normal AID procedures.

DOCUMENTATION FOR PAYMENT:

Claims for payment due under the Grant shall be submitted to the ROCAP/Controller. These claims shall be submitted on Voucher

Form SF-1034 (original) and SF-1034-A (copies). Each claim shall be accompanied by an invoice (original and two copies) indicating the period for which compensation is claimed, the paragraph of the Grant under which payment is requested and, when appropriate, a fully itemized statement of costs, and such other supporting documentation and justification as the ROCAP Controller may prescribe.

The invoice shall include a certification signed by an authorized representatiave of CATIE as follows:

"The undersigned hereby certifies: (1) that payment of the sum claimed is proper and due and that appropriate refund to AID will be made promptly upon request of AID in the event of non-performance, in whole or in part, under the agreement or of any breach of the terms of the Grant; (2) that information on the invoice is correct and such detailed supporting information as AID may require will be furnished as appropriate and promptly by CATIE to AID on request; and (3) that all requirements called for by the Agreement to the date of this certification have been met."

ILLUSTRATIVE BUDGET
(US $)

Line Items	FY '86	FY '87	TOTAL
Honorarium (36 workdays at $220 dollars)	5,186	2,734	7,920
Per Diem (42 days at $90 dollars)	2,472	1,308	3,780
International Travel (U.S.-Tegucigalpa-San Salvador-Tegucigalpa-U.S.)	660	340	1,000
In-country travel	325	175	500
Secretary, reporting, communications	650	350	1,000
Contingency	1,184	616	1,800
Total	$10,477 1/	$5,523	$16,000

1/ Only FY'86 funding is provided under this Agreement. The balance of $5,523 will be provided from FY'87 PD&S funds.

ANEXO "B"

DISPOSICIONES GENERALES

A. Al hacer referencia al término 'este Convenio' se hace referencia al Convenio de Proyecto original y sus modificaciones hechas a través de revisiones que hayan entrado en vigor. Al hacer referencia al término 'país cooperante' se hace referencia al país o territorio del Donatario.

B. (1) AID hará disponible la suma especificada en la Casilla 3 de este Convenio, según sea necesario para el Proyecto, tal y como se describe más ampliamente en el Anexo A.

(2) El Donatario hará disponible suma especificada en la Casi 4 de este Convenio, según sea necesari para el Proyecto, tal y como se descri más ampliamente el en Anexo A. El Don tario también hará, o hará arreglos pa que se hagan, contribuciones adicionale como propiedades, servicios, instalaci nes y fondos necesarios para llevar a c bo el Proyecto según se especifica en e Anexo A.

C. AID y el Donatario podrán obtener asistencia de otras agencias públicas o privadas para llevar a cabo sus obligaciones respectivas dentro de este Convenio. Las dos partes podrán llegar a un acuerdo respecto a la aceptación de contribuciones en calidad de propiedades, servicios, instalaciones y fondos de otra agencias públicas o privadas para cubrir los propósitos de este Convenio, y podrán llegar a un acuerdo respecto a la participación de cualquier parte tercera para llevar a cabo actividades dentro de este

ANNEX

STANDARD PROVISION

A. Reference to 'this Agreement' means the original Project Agreement as modified by any revisions which have entered into effect. Reference to 'cooperating country' means the country or territory of the Grantee.

B. (1) AID will make available the amount specified in Block 3 of this Agreement, as necessary for the Project, as may be further described in Annex A.

(2) The Grantee will make available the amount specified in Block 4 of this Agreement, as necessary for the Project, as may further be described in Annex A. The Grantee will also make, or arrange to have made, additional contributions of property, services, facilities and funds required for carrying out the Project as specified in Annex A.

C. AID and the Grantee may obtain the assistance of other public and private agencies in carrying out their respective obligations under this Agreement. The two parties may agree to accept contributions of property, services, facilities and funds for purposes of this Agreement from other public and private agencies, and may agree upon the participation of any such third party in carrying out activities under this Agreement.

D. Excepto si aquí se especificare de otra manera o se llegare a un acuerdo posterior entre las partes, todas las contribuciones de las partes conforme a este Convenio deberán hacerse en o antes de la Fecha de Terminación de Asistencia al Proyecto, o en una fecha posterior especificada a través de enmiendas. Se considerará como hecha una contribución de bienes o servicios cuando los servicios se hayan llevado a cabo y se hayan entregado los bienes tal y como se contempla en este Convenio. El desembolso de fondos podrá llevarse a cabo después de que se hayan hecho las contribuciones finales, pero no podrá solicitarse a AID que desembolse fondos para este Proyecto después de la expiración de los nueve meses posteriores a la Fecha de Terminación de Asistencia al Proyecto estimada (Casilla 5 de este Convenio) o cualquier enmienda hecha a la Fecha de Terminación de Asistencia al Proyecto que se haya especificado.

D. Except as otherwise specified herein or subsequently agreed by the parties, all contributions of the parti pursuant to this Agreement shall be madi on or before the Project Assistance Completion Date, or amended date. A contribution of goods or services shall be considered to have been made when the services have been performed and the goods furnished as contemplated in this Agreement. Disbursement of funds may take place after final contributions hav been made, but AID shall not be required to disburse funds hereunder after the expiration of nine months following the estimated Project Assistance Completion Date (Block 5 of this Agreement) or any amended Project Assistance Completion Date specified.

E. La compra de suministros y servicios financiados en su totalidad o parcialmente por AID podrá (en donde así sea requerido por los procedimientos de AID) llevarse a cabo solamente conforme a Ordenes de Ejecución de Proyecto (PIO) emitidas por AI

E. The procurement of commodities and services to be financed in whole or in part by AID may (where so required by AID procedures) be undertaken only pursuant to Project Implementation Orders (PIOs) issued by AID.

F. Excepto que se especifique de ot nera en la PIO o en la Carta de Ejec de Proyecto (CEP) que se aplique, la quisición de suministros importados cíficamente para el Proyecto y finan dos con la contribución de AID a que hace referencia en la Casilla 3 de e Convenio deberán estar sujetos a las posiciones del Reglamento No. 1 de Al

F. Unless otherwise specified in the ap plicable PIO or Project Implementation Letter (PIL), the procurement of commodities imported specifically for the Project and financed with the AID contribution referred to in Block 3 of this Agreement shall be subject to the provisions of AID Regulation 1.

G. Excepto que sea convenido de otra manera por las Partes o se especifique de otra manera en la PIO que se aplique, el título de propiedad de todas las propiedades que se adquieran a través de financiamiento proporcionado por AID de conformidad con la Casilla 3 de este Convenio deberá estar a nombre del Donatario, o al de la agencia pública o privada que éste haya autoriza

G. Unless otherwise agreed by the partie or otherwise specified in the applicable PIO, title to all property procured through financing by AID pursuant to Block 3 of this Agreement shall be in the Grantee, or such public or private agency as it may authorize.

H. (1) Cualquier propiedad proporciona da a cualquiera de las partes a través de financiamiento proporcionado por la otra parte de conformidad con est Convenio deberá, excepto si la parte que ha financiado la adquisición ha convenid de otra manera, ser utilizada eficazment para los propósitos del Proyecto de acue do con este Convenio, y al terminar el Proyecto, será utilizada para promover los objetivos buscados al llevar a cabo el Proyecto. Cualquiera de las partes de berá ofrecer la devolución a la otra, o reembolsar a la otra, por cualquier propiedad que ésta obtenga a través de finan ciamiento cubierto por la otra parte de conformidad con este Convenio y que no esté siendo utilizada de acuerdo con la oración que precede.

H. (1) Any property furnished to either party through financing by the other party pursuant to this Agreement shall, unless otherwise agreed by the party which financed the procurement, be used effectively for the purposes of the Project in accordance with this Agreement, and upon completion of the Project, will be used so as to further the objectives sought in carrying out the Project. Either party shall offer to return to the other, or to reimburse the other for, any property which it obtains through financing by the other party pursuant to this Agreement which is not used in accordance with the preceding sentence.

(2) Cualquier suma de fondos proporcionada por cualquiera de las partes de conformidad con este Convenio que no sea utilizada de acuerdo con este Convenio, deberá ser reembolsada a la parte que haya proporcionado los fondos.

(2) Any funds provided to either party pursuant to this Agreemen which are not used in accordance with this Agreement, shall be refunded to the party providing the funds.

(3) Cualquier suma devengada por intereses u otras ganancias sobre los fondos proporcionados por AID al Donatario dentro de este Convenio deberá ser devuelta a AID por el Donatario.

(3) Any interest or other earnings on funds provided by AID to the Grantee under this Agreement will be returned to AID by the Grantee.

10

I. (1) Si AID o cualquier organización pública o privada que esté proporcionando suministros a través de financiamiento proporcionado por AID para las operaciones de este Proyecto, está, dentro de las leyes, los reglamentos o los procedimientos administrativos del país cooperante, sujeto a pagar derechos aduanales o impuestos de importación sobre los artículos importados al país cooperante con el propósito de llevar a cabo este Convenio, el Donatario cancelará tales derechos e impuestos a menos que se obtenga exención a ser proporcionada por cualquier convenio internacional que se aplique.

(2) Si cualquier miembro del personal (que no sea ciudadano o residente del país cooperante), ya sean empleados del Gobierno de los Estados Unidos, o empleados de organizaciones públicas o privadas que se encuentren bajo contrato con, o individuos que estén contratados por AID, por el Donatario o por cualquier agencia autorizada por el Donatario, las cuales estén presentes en el país cooperante para proporcionar los servicios que AID ha acordado brindar o financiar dentro de este Convenio, se encuentren dentro de las leyes, los reglamentos o los procedimientos administrativos del país cooperante sujetos a pagar impuesto sobre la renta o seguro social con respecto a los ingresos por los cuales estén obligados a pagar impuesto sobre la renta o seguro social al Gobierno de los Estados Unidos de América, para impuestos de propiedades o propiedades personales destinadas para su uso personal o para la cancelación de cualquier tarifa o impuesto sobre bienes personales o de menaje de casa traídos al país cooperante para uso propio o de miembros de sus familias (no incluyendo tales bie-

I. (1) If AID and any public or private organization furnishing commodities through AID financing for operations hereunder in the cooperating country, is, under the laws, regulations or administrative procedures of the cooperating country, liable for customs, duties and import taxes on commodities imported into the cooperating country for purposes of carrying out this Agreement, the Grantee will pay such duties and taxes unless exemption is otherwise provided by any applicable international agreement.

(2) If any personnel (other than citizens and residents of the cooperating country), whether United States Government employees, or employees of public or private organizations under contract with, or individuals under contract with AID, the Grantee or any agency authorized by the Grantee, who are present in the cooperating country to provide services which AID has agreed to furnish or financed under this Agreement, are under the laws, regulations or administrative procedures of the cooperating country, liable for income and social security taxes with respect to income which they are obligated to pay income or social security taxes to the Government of the United States of America, for property taxes on personal property intended for their own use, or for the payment of any tariff or duty upon personal or household goods brought into the cooperating country for the personal use of themselves and members of their families (not including such personal or household goods as may be sold by any such personnel in the cooperating country) or if any firm, not

nes personales o de menaje de casa que pudieran ser vendidos por cualquiera de estas personas en el país cooperante) o si cualquier empresa, que normalmente no es residente del país cooperante, esté sujeta a impuestos sobre ingresos, recibos u otros sobre trabajos financiados por AID dentro de este Proyecto, el Donatario cancelará tales impuestos, tarifas o derechos a menos que se obtenga exención a ser proporcionada por cualquier convenio internacional que se aplique.

normally resident in the cooperating country, is liable for income, receipt or other taxes on work financed by AID hereunder, the grantee will pay such taxes, tariff, or duty unless exemptio is otherwise provided by any applicabl international agreement.

J. Si los fondos proporcionados por AID son introducidos al país cooperante por AID o por cualquier agencia pública o privada con el propósito de llevar a cabo las obligaciones de AID con respecto a este Proyecto, el Donatario hará los arreglos necesarios de manera que tales fondos puedan ser convertidos a la moneda del país cooperante a la más alta tasa de cambio que, al momento de la conversión, no contravenga las leyes del país cooperante.

J. If funds provided by AID are introduced into the cooperating country by AID or any public or private agency fo: purposes of carrying out obligations of AID hereunder, the Grantee will make such arrangements as may be necessary so that such funds shall be convertible into currency of the cooperating country at the highest rate whi h, at the time the conversion is made, is not unlawful in the cooperating country.

K. AID deberá desembolsar fondos y llevar a cabo las operaciones de conformidad con este Convenio solamente si están de acuerdo con las leyes y reglamentos del Gobierno de los Estados Unidos que se apliquen.

K. AID shall expend funds and carry operations pursuant to this Agreement only in accordance with the appl ble laws and regulations of the Unite States Government.

L. Las dos partes tendrán el derecho en cualquier momento de observar las operaciones que se llevan a cabo dentro de este Convenio. Cualquiera de las partes durante el término del proyecto y durante los tres años posteriores a la terminación del proyecto tendrán además el derecho de (1) examinar cualquier propiedad que haya sido comprada con financiamiento proporcionado por tal parte dentro de este Convenio, en donde esta propiedad esté localizada, y (2) inspeccionar y auditar cual-

L. The two parties shall have the right at any time to observe operations carried out under this Agreement. Either party during the term of the Project and for three years after the completion of the Project shall further have the right (1) to examine any property procured through financing by that party under this Agreement, wherever such property is located, and (2) to inspect and audit any records and accounts with respect to funds provided by, or any properties

quiera de los registros y cuentas con respecto a los fondos proporcionados por, o cualquiera de las propiedades y servicios por contrato adquiridos a través de financiamiento proporcionado por, tal parte dentro de este Convenio, en donde tales registros puedan estar localizados y mantenidos. Cada una de las partes, al hacer arreglos para la disposición de cualquiera de las propiedades adquiridas a través de financiamiento proporcionado por la otra parte dentro de este Convenio, se asegurará que los derechos de examen, inspección y auditoría descritos en la oración que antecede sean reservados a la parte que proporcionó el financiamiento.

and contract services procured through financing by, that party under this Agreement, wherever such records may be located and maintained. Each party, in arranging for any disposition of any property procured through financing by the other party under this Agreement, shall assure that the rights of examination, inspection and audit described in the preceding sentence are reserved to the party which did the financing.

M. AID y el Donatario proporcionarán cada uno al otro tal información que sea necesaria para determinar la naturaleza y alcance de las operaciones llevadas a cabo dentro de este Convenio y para evaluar la efectividad de tales operaciones.

M. AID and the Grantee shall each furnis the other with such information as may be needed to determine the nature and scope of operations under this Agreement and to evaluate the effectiveness of such operations.

N. El presente Convenio entrará en vig al ser suscrito. Cualquiera de las partes podrá dar por terminado este Convenio al proporcionar a la otra parte c treinta (30) días de anticipación una n tificación por escrito sobre su intenci de terminarlo. La terminación de este Convenio finalizará con cualquier obliga ción de ambas partes para hacer contribu ciones conforme a las Casillas 3 y 4 de este Convenio, excepto los pagos a que estén comprometidas a hacer conforme a compromisos que no puedan ser cancelados incurridos con terceras partes antes de la terminación del Convenio. Queda expresamente entendido que las obligaciones contraídas dentro del párrafo H. relacionadas con la utilización de propiedades o fondos deberán mantenerse vigen-

N. The present Agreement shall enter int force when signed. Either party may terminate this Agreement by giving the other party thirty (30) days written notice of interntion to terminate it. Termination of this Agreement shall terminate any obligations of the two parties to make contributions pursuant to Blocks 3 and 4 of this Agreement, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to the termination of the Agreement. It is expressly understood that the obligations under paragraph H relating to the use of property or funds shall remain in force after such termination. In addition upon such termination AID may, at AID's expense, direct that title to goods

13

tes después de tal terminación. Asimis mo, después de tal terminación AID podr cubriendo AID los costos, girar sus ins trucciones a fin de que el título de lo bienes financiados dentro del Convenio. financiado con fondos no reembolsables sea transferido a AID si los bienes pro vienen de una fuente fuera del país del Donatario, si están en condiciones de ser entregados y si no han sido desembarcados en los puertos de entrada del país del Donatario.

O. Para ayudar en el ejecución del Proyecto, AID, periódicamente, emitirá CEPs que proporcionarán información adicional sobre los asuntos estipulados en este Convenio. Las partes también podrá utilizar CEPs que hayan sido acordadas conjuntamente para confirmar y registrar su mutuo entendimiento sobre aspectos de la ejecución de este Convenio.

P. El Donatario conviene que, a solicitud de AID, cederá a AID los derecho: sobre cualquier causa o acción que pueda corresponder al Donatario en relación cor o como resultado del cumplimiento o incum plimiento de contrato por una de las partes a un contrato directo en Dólares esta dounidenses financiado por AID, en su totalidad o en parte, con fondos donados por AID bajo este Convenio.

financed under the Grant be transferred to AID if the goods are from a source ou side the Grantee's country, are in a deliverable state and have not been offloaded in ports of entry of the Grantee': country.

O. To assist in the implementation of th Project, AID, from time to time, may issue PILs that will furnish additional information about matters stated in this Agreement. The parties may also use jointly agreed-upon PILs to confirm and record their mutual understanding on aspects of the implementation of this Agreement.

P. The Grantee agrees, upon request, to execute an assignment to AID of any cause of action which may accrue to the Grantee in connection with or arising out of the contractual performance or breach of performance by a party to a direct U.S. Dollar contract with AID financed in whole or in part out of funds granted by AID under this Agreement.

/meh
11-09-79

/cs
11-09-79