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UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
Washington, D. C. 20523

HAITI

PROJECT PAPER

ELECTIONS MANAGEMENT ASSISTANCE

AID/LAC/P-526

Project Number: 521-0232

UNCLASSIFIED

PD-ABP-733

| AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT DATA SHEET | | | | 1. TRANSACTION CODE <input type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete | | Amendment Number | | DOCUMENT CODE 3 | |
|---|-------------------------|-----------------------------|---------|---|-----------------|--|----------|---|---------|
| 2. COUNTRY/ENTITY HAITI | | | | 3. PROJECT NUMBER 521-0232 | | | | | |
| 4. BUREAU/OFFICE LAC/CAR | | | | 5. PROJECT TITLE (maximum 60 characters) Elections Management Assistance | | | | | |
| 6. PROJECT ASSISTANCE COMPLETION DATE (PACD) MM DD YY 07 01 91 | | | | 7. ESTIMATED DATE OF OBLIGATION (Under "B" below, enter 1, 2, 3, or 4) A. Initial FY 910 B. Quarter 4 C. Final FY 910 | | | | | |
| 8. COSTS (\$000 OR EQUIVALENT \$1 =) | | | | | | | | | |
| A. FUNDING SOURCE | | FIRST FY 90 | | | LIFE OF PROJECT | | | | |
| | | B. FX | C. L/C | D. Total | F. FX | F. L/C | G. Total | | |
| AID Appropriated Total | | | | | | | | | |
| (Grant) | | (2,500) | (3,500) | (6,000) | (2,500) | (3,500) | (6,000) | | |
| (Loan) | | (-) | (-) | (-) | (-) | (-) | (-) | | |
| Other U.S. | | | | | | | | | |
| 1. Host Country | | | 1,385 | 1,385 | - | 1,385 | 1,385 | | |
| 2. Other Donor(s) | | | 1,022 | 1,022 | | 1,022 | 1,022 | | |
| TOTALS | | 2,500 | 5,907 | 8,407 | 2,500 | 5,907 | 8,407* | | |
| *Core Election Budget | | | | | | | | | |
| 9. SCHEDULE OF AID FUNDING (\$000) | | | | | | | | | |
| A. APPROPRIATION | B. PRIMARY PURPOSE CODE | C. PRIMARY TECH. CODE | | D. OBLIGATIONS TO DATE | | E. AMOUNT APPROVED THIS ACTION | | F. LIFE OF PROJECT | |
| | | 1. Grant | 2. Loan | 1. Grant | 2. Loan | 1. Grant | 2. Loan | 1. Grant | 2. Loan |
| (1) ESF | 930 | 980 | | | | 3,000 | | 3,000 | |
| (2) DA | 930 | 980 | | 2,000 | | 1,000 | | 3,000 | |
| (3) | | | | | | | | | |
| (4) | | | | | | | | | |
| TOTALS | | | | 2,000 | | 4,000(A) | | 6,000(A) | |
| 10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each) | | | | | | | | 11. SECONDARY PURPOSE CODE | |
| 12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each) | | | | | | | | | |
| A. Code | | | | | | | | | |
| B. Amount | | | | | | | | | |
| 13. PROJECT PURPOSE (maximum 400 characters) | | | | | | | | | |
| To provide financial and technical assistance to the Provisional Electoral Council and related organizations so they can contribute to the process of carrying out free, fair and credible democratic elections in Haiti. | | | | | | | | | |
| 14. SCHEDULED EVALUATIONS | | | | | | 15. SOURCE/ORIGIN OF GOODS AND SERVICES | | | |
| Interim | | MM YY | | Final | | MM YY | | | |
| | | | | | | <input checked="" type="checkbox"/> 600 <input checked="" type="checkbox"/> 941 <input checked="" type="checkbox"/> Local <input type="checkbox"/> Other (Specify) | | | |
| 16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a _____ page FF Amendment.) | | | | | | | | | |
| (A) Up to \$3.0 million in DA was approved separately for a grant to IFES, a grant to NED and the services of a Democratic Coordinator in the USAID/Haiti Mission. | | | | | | | | | |
| 17. APPROVED BY | | Signature Gerald H. Zarr | | | | Date Signed | | | |
| | | Title Director | | | | MM DD YY 07 02 91 | | | |
| | | | | | | | | 18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION | |
| | | | | | | | | MM DD YY 07 02 91 | |

LAC/CONT:CADams
E. Adams

a

PROJECT AUTHORIZATION

Country: Haiti
Project Name: Elections Management Assistance Project
Project Number: 521-0232

1. Pursuant to Section 531 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the ESF-funded activities under the Elections Management Assistance Project for Haiti (the "Cooperating Country") involving planned obligations of not to exceed \$3,000,000 in ESF grant funds over the one-year period from the date of this authorization, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process, to help in financing foreign exchange and local currency costs for the project. The planned life of the project is one year from the date of this authorization.
2. The ESF-funded activities under the project consist of support for the operating costs of the Provisional Electoral Council (CEP) of Haiti and support for the participation of international observer groups, principally the Organization of American States, in connection with the upcoming elections in Haiti.
3. The grants and agreements which may be negotiated and executed by the officers to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.
4. Commodities financed by A.I.D. under the project shall have their source and origin in countries included in A.I.D. Geographic Code 941 (which includes the United States), except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have the countries included in A.I.D. Geographic Code 941 as their place of nationality, except as A.I.D. may otherwise agree in writing. Ocean shipping under the project shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States.

8/17/90
Date

Bastian B. Schomb
~~James H. Michel~~
Assistant Administrator (acting)
Bureau for Latin America
and the Caribbean

Clearances:

| | | | |
|--------------------------|----------------|------|----------------|
| DAA/LAC, F.Schieck | <u>B.S. /a</u> | Date | <u>8/12/90</u> |
| SA/AA/LAC, M.Keenan-Wood | <u>B.S. /a</u> | Date | <u>8/12/90</u> |
| LAC/DR, J.Evans | <u>OK JWB</u> | Date | <u>8/14/90</u> |
| LAC/DR/C, D.Blane | <u>(15)</u> | Date | <u>8/16/90</u> |
| LAC/CAR, C.Tyson | <u>OK</u> | Date | <u>8/16/90</u> |
| LAC/CAR, A.Diaz | <u>(14)</u> | Date | <u>8/16/90</u> |

Drafted: GC/LAC, P.Sullivan: 8/15/90: x79182

8/16/90

HAITI ELECTIONS MANAGEMENT ASSISTANCE PROJECT

(521-0232)

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I. SUMMARY

A. The Problem

Since the fall of the Duvalier dynasty in February 1986, the Haitian people have struggled with deep-rooted political obstacles to have a voice in governing their country. In the four years since "Baby Doc" Duvalier was ousted, the country has been ruled mostly by military leaders who professed to be leading Haiti to democracy, but who reneged on their promises. In a short time span, the sequence of governments has included the National Council of Government led by the Army; Leslie Manigat in January 1988, who lasted four months; General Namphy, who ruled five months until September 1988; and General Prosper Avril who resigned in March 1990.

On March 13, 1990, a coalition of twelve Haitian political and civic leaders installed an interim civilian government headed by Supreme Court Judge Ertha Pascal Trouillot. The vital mandate of President Trouillot is to lead the country through the electoral period to a democratic transition. Elections are now tentatively scheduled to be held at all levels -- local, legislative and presidential -- in early November 1990.

The interim government faces formidable obstacles as it prepares the country for elections. Political violence, intimidation by anti-democratic forces, a collapsed economy, a bankrupt government, and a largely illiterate, impoverished population with little experience in democratic processes will tax to the limit its ability to carry out a smooth political transition to democracy.

Financing the elections will be a major problem for the Trouillot government. The previous government's fiscal undiscipline has led the country to the verge of bankruptcy. The International Monetary Fund (IMF) agreed to a 15-month Stand-by assistance program in September 1989, but the assistance is only maintaining Haiti's debt payments to the IMF.

Presently, the Government is having difficulty promoting the fiscal reforms required to meet the terms of the Stand-by. Financing for the elections, therefore, must be provided almost entirely from external resources.

Section V of this Project Paper provides a detailed budget and indicates the expected donor contributions to Haiti's three-stage electoral process: the three-to four-month period prior to elections, a potential second round phase to select one of the two winners of the first phase, and installation of the new government. The estimates are based on the most recent discussions with the Provisional Electoral Council (CEP) and the various donors.

B. A.I.D. Financing

A.I.D.'s contribution to Haiti's electoral process is estimated at \$6.0 million. This amount is composed of \$3.0 million in Development Assistance (DA) funds and \$3.0 million in ESF funds earmarked for Haiti in the Dire Emergency Supplemental Appropriations Act of FY 1990. The Government of Haiti (GOH) will contribute at least \$1.385 million consisting of approximately \$385,000 in local currency available from the 1987 election budget and \$1.0 million in new funds from its own budgetary resources. In addition, the GOH has provided approximately \$200,000 in local currency to the Human Resources Development Center for assistance in civic education. Other donor contributions may range between \$3.0 to \$5.0 million in in-kind and cash assistance.

Primarily, the A.I.D. funds will finance: (a) assistance to the CEP to cover operational costs and advisory services related to the electoral process through a Handbook 13 International Organization grant to the United Nations Development Program (UNDP); (b) complementary technical assistance, training, commodities, and logistic support for the electoral process through two lead U.S. organizations -- the International Foundation for Electoral Systems (IFES) and the National Endowment for Democracy (NED); and (c) costs associated with the participation of an observer mission from the Organization of American States (OAS) and possibly other international observer missions.

The budget breakdown contained in Section V (Estimated Costs and Financial Plan) indicates the detailed distribution and uses of these funds.

C. Project Design Factors

1. Project Analyses. Based on the general objective of the Project, which is to support the democratic electoral process in Haiti, the Design Team concluded that certain project analyses such as the economic, institutional and social soundness analyses, although useful, would not affect the project design. The Project Paper, however, contains sufficient analysis and background on Haiti's political, social and economic situation to compensate to a certain extent for the absence of separate analyses.

The project is technically feasible. Its implementation and the provision of A.I.D.-financed assistance incorporate the lessons learned in recent electoral processes in other countries, including Nicaragua, Panama, and Bolivia. The Design Team had comprehensive discussions with a UN team of experts on electoral processes and reflected their suggestions in the implementation plan. The PERT Chart on the process (Annex II) is largely based on the report of the UN experts.

2. Environmental Threshold Recommendation. The Design Team

recommended that the project be excluded from the provisions set forth in Regulation 16 in accordance with Section 216.2(c)(2)(1). This section excludes from the provision of Regulation 16 education, technical assistance or training programs, except to the extent such programs include activities directly affecting the environment. A Categorical Exclusion was approved for the project on July 24, 1990 (attached as Annex IV).

3. Authorization Amount. Although this Project Paper (PP) describes the overall A.I.D. participation and financing (\$6.0 million) for Haiti's upcoming elections, the net amount to be authorized under this PP is \$3.0 million in ESF provided for Haiti in the Dire Supplemental legislation. Previous AA/LAC decisions gave programmatic concurrence to USAID/Haiti to sign cooperative agreements with the International Foundation for Electoral Systems and the National Endowment for Democracy based on unsolicited proposals, in addition to a personal services contract with an individual to coordinate A.I.D.-funded democracy activities in Haiti. This procedure was necessary to allow the early provision of initial assistance to the CEP. Funding is also budgeted for a project audit.

D. Recommendation.

USAID/Haiti has determined that the project is technically, socially and administratively feasible. It furthers the ultimate USG objective of supporting the electoral process which is expected to lead eventually to a stable, prosperous and democratic Haiti. As indicated above, the amount to be authorized totals \$3.0 million in ESF funds.

II. **RATIONALE and FRAMEWORK for ELECTIONS**

Haiti's political transition to democracy is inextricably linked to its economic situation. Its economic deterioration has affected, and will continue to affect, prospects for a peaceful, orderly transition. Political instability and social unrest will also affect prospects for investments and sustained economic development. The following analysis provides a perspective on Haiti's current political and economic situation and the rationale for A.I.D.'s assistance as Haitians prepare for the planned elections of November 1990.

A. Political

The long and repressive Duvalier family dictatorship ended on February 7, 1986. Since then, attempts to create a democratic form of government in Haiti have met with resistance from military and para-military elements who have maintained a strong influence over many aspects of Haitian life.

Haiti has had five governments since February 1986, each with varying length and commitment to the democratic process. The first, a governing council dominated by the Army (the National Council of Government, CNG), committed itself, at least on the surface, to constitutional development and democratic elections. It also generated strong financial support from the World Bank/IMF and external donors by undertaking a program of badly needed economic reforms. Considerable progress was made under the economic reform program, but when election day arrived on November 29, 1987, the voting was disrupted and the election was halted as voters were murdered at the polls by roving bands of thugs with the support of elements of the Army.

Two months later, in January 1988, the CNG held another election which was manipulated by the Army with very low voter turnout. Leslie Manigat became President and made some attempts toward democratic reform but was unable to achieve meaningful progress. Four months into his Presidency, Manigat attempted to shuffle key Army personnel and was promptly removed from office by the Army and exiled.

The generals who ousted President Manigat in June 1988 installed General Namphy (the former Head of the CNG in 1987) as President. He dissolved the legislature, set aside the Constitution, and ruled by decree. The economic reform program was not reversed but the economy deteriorated since investors and foreign donors avoided major involvement, seeing little hope for stability and progress under the military regime.

In early September 1988, when the excesses of Namphy's allies went too far even for a large part of the Army (i.e. killing followers of a radical priest in their local church), a group of non-commissioned officers ousted General Namphy, and General Avril assumed the Presidency on September 17. In the first few months after September 17, numerous Macoute leaders were driven underground or out of the country, Duvalierist Army officers were fired, political parties were encouraged again, and the new government committed itself to holding elections. Another electoral council (the CEP) was set up in April 1989, and its electoral calendar was adopted in September 1989.

The apparent "good start" made by President Avril gradually gave way to inaction regarding support to the CEP and setting an early date for elections. Instead, it became clear that Avril was in fact pursuing the time-honored practices of arbitrary government and that he had little respect for the aspirations of the Haitian people. In January 1990, Avril announced a "state of siege" against "destabilizing elements," censored the media, and exiled some political leaders. Discontent and active protests against the Avril regime spread country-wide and Avril agreed to resign in March 1990. A "transition government" was established with the mandate to organize democratic elections by the end of the year.

Ertha Pascal Trouillot, a judge on Haiti's Supreme Court, was named transitional President.

The importance of democratic elections at this point in Haiti's history cannot be overemphasized. The current civilian government is indeed a "transition" government. Even though its mandate to hold elections is clear, its political backing is weak in the face of strong, well-established anti-democratic elements in Haitian society. Coupled with a virtually bankrupt economy involving economic mismanagement, the very tenuous political situation continues to erode the confidence of potential investors as well as tourists. Successful elections may very well be Haiti's last chance to change direction and generate the kind of social and economic planning that begins to take the aspirations of the Haitian people into account.

B. Economic

In September 1989 the GOH negotiated with the International Monetary Fund a fifteen-month Stand-By Facility, an arrangement designed to arrest the country's serious economic deterioration. Essentially it is a debt refinancing operation which, if carried out as planned, could result in a much bigger longer-term, softer-money Enhanced Structural Adjustment Facility in late 1990. The fiscal and monetary stabilization goals of the agreement require sizeable deficit reduction, (largely through more efficient revenue collection), removal of economic distortions and incentives to export-led growth.

After a satisfactory performance in the first quarter of the program - September to December 1989 - mounting central government deficits and parastatal mismanagement began to seriously endanger continuation of the program. An IMF mission to Haiti in April 1990 found the program barely on track for the second quarter, and proposed mid-stream modifications by the GOH before Fund management could go to its Board with assurances regarding the program's continued viability. Among the required measures are promulgation of decrees on budget reductions, interest rate liberalization, trade liberalization, and administrative measures to improve revenue collection (both internal and customs).

On the expenditure side for the April to September 1990 period, in addition to the Gdes. 65 million in budget cuts already accepted by the GOH in April (but yet to be made official by decree), the survival of the program requires that the GOH come up with yet Gdes. 30 million more. On the revenue side, GOH fiscal measures must produce Gdes. 57 million more than originally projected for the period - and still the program will require Gdes. 25 million in budget support, plus a net increase of Gdes. 15 million in the special development accounts of the GOH (e.g., PL-480, Japanese food aid).

Worse still, these austerity measures - the legacy to the present GOH of its immediate predecessor - must be faced at a time when the GOH must find at least Gdes. 50 million more to fund the upcoming elections. Only Gdes. 1 million per month had been budgeted in FY 89-90 by the GOH for elections, essentially for basic operations of the CEP itself, not for the electoral process. The GOH, therefore, has in its budget for the remainder of the fiscal year only Gdes. 4 million (June to September) of the approximately Gdes. 50 million needed to finance the entire electoral operation. If the GOH is to stay in compliance with the terms of its agreement with the IMF, avoid extreme public sector deficits, fuel inflation and sharp price rises in basic food items that could impede progress toward democracy, the cost of elections must be externally financed.

C. The Framework for the 1990 Elections

1. The Constitution

The Haitian Constitution, voted in 1987, provides a mechanism for an independent body whose primary mission is the organization of free and fair elections. The constitution was suspended temporarily by the Avril government. However, it has been reinstated and at present provides the basis for elections and a democratic transition.

2. The Electoral Councils

The first Provisional Electoral Council (CEP I) was formed in May 1987. According to most observers, CEP I did a remarkable job of organizing for elections in the face of a hostile, unsupportive government (CNG). The November 29, 1987 election day massacre led to the dissolution of CEP I amid unsubstantiated CNG government accusations of corruption and foreign interference in the elections process.

With the refusal of the designating organizations to name replacement members to a government-sponsored CEP II, members were all designated by the CNG government. Elections were held on January 17, 1988 resulting in the fraudulent designation of Leslie Manigat as president. His presidency was followed by the Namphy and Avril military governments and CEP III.

CEP III was constituted in April 1989 as a permanent CEP.¹ This interpretation of the 1987 constitution intimated that the provisional council's mission was terminated with the swearing-in

¹ The legal framework for the CEP III was an adaptation of the constitutional provisions. This fact later contributed to the dissolution of the basic structure of CEP III (permanent) in favor of the formation of CEP IV.

of Manigat as president. The constitution provided that the new permanent CEP be chosen from members designated by the Departmental councils. As these councils did not exist in April 1989, (due to the political ramifications of the coups of 1988), a formula similar to that provided for the establishment of the provisional council was used.

The nine members of the CEP III set about the task of organizing elections by holding consultations with popular and political organizations throughout the country on a basic framework for organizing elections. The result of these consultations was the elaboration of the formula of three levels of elections.

Under the Trouillot Interim Government a new CEP -- CEP IV -- has been formed. CEP IV is made up of members designated by popular and official organizations named in the Constitution to form a provisional electoral council. These are: The executive branch of government, the Catholic Church, unions, the Supreme Court, human rights organizations, the University Council, the Journalists Association, protestant churches, and the National Cooperatives Council.

3. The Electoral Law and Calendar

By law, the CEP is mandated to issue an electoral law setting forth the rules, the organization, and the procedures for the upcoming elections. The law was promulgated on July 10, 1990. Meanwhile, the CEP has been planning, preparing procedures, and designing ballot and registration forms in anticipation of donor funding to firm-up election implementation actions.

Local, legislative and presidential elections are planned to be held in one day -- now scheduled for November 4, 1990. At the local (municipal) level, voters will elect Communal and Communal Section Councils, composed of slates of three people each. At the legislative level, voters will elect some 77 assemblymen and 27 senators (3 senators per geographic department). At the presidential level, voters will choose among candidates having met certain qualifying requirements, e.g. being a candidate of an officially registered party, etc.

4. The Electoral Universe

The following facts provide a perspective on the magnitude of the inputs required to carry out the 1990 elections:

Presidential candidates: There are some 42 registered parties of which 15 will probably qualify to designate candidates. A number of coalitions are expected to be formed, thus reducing the number of presidential candidates to 7 to 10.

No. of senators to be elected: 27 (3 per depart.)

No. of Assemblymen to be elected: 77
 Total No. of qualified voters: Approx. 3 million.
 Registered voters - 1987 elections: Approx. 2.2 million
 Registered voters (Expected) - 1990: ... Approx. 2.0 million
 Departmental Electoral Offices (BEDs)... 9
 Municipal Electoral Offices (BECs) 80 to 135
 Polling sites (there are several
 polling tables per site) 1,200 to 1,500
 Polling tables 7,500 to 12,000

III. STRATEGY, PROJECT GOAL, PURPOSE and OUTPUTS

A. The Strategy

A.I.D. will provide assistance to CEP IV, political parties (on a non-partisan basis) and a range of local organizations to upgrade the local capability at all levels to participate in democratic elections. This assistance will be in the form of operational support to the CEP, consulting services from specialized organizations, civic education, training on electoral processes, commodities and logistics support, and financing for international observers. The assistance will complement Government of Haiti (GOH) and other donor resources to finance a wide range of inputs required to carry out free, fair, and credible elections.

This assistance, however, will not guarantee free and fair elections. Certain basic conditions, almost entirely dependent on the Haitian will to pursue democratic processes, must be met. A critical condition is the provision of the necessary registration and voter security to allow unimpaired popular participation in the electoral process at all levels.

It is recognized the proposed assistance, and indeed the elections themselves, are not expected to result in massive changes in the short run in the attitudes and perceptions of the Haitian population on the technicalities and virtues of democratic processes. Haiti's population is largely uneducated, does not have a democratic tradition, and developing the appropriate attitudes requires a long-term, sustained effort.

The provision of A.I.D assistance is and will continue to be closely coordinated with local and other multilateral and bilateral institutions to avoid duplication of inputs, reduce the prospects for conflicting activities, and assure consistency of advice to Haitian organizations. To attain this, two levels of coordination will be established. The first level of coordination entails frequent meetings with international organizations under the auspices of the UN Resident Representative and/or the OAS. The A.I.D. Mission Director and Deputy Director (or designees), jointly with U.S. Embassy representatives, will participate in meetings at this level. The second level of coordination will be carried out

at the A.I.D. Mission/U.S. Embassy level with the participation of each of the A.I.D.-funded organizations -- IFES, NDI, NRI, ADF, AIFLD -- and their Haitian counterpart implementing organizations. This coordinating mechanism is already in place. It will be expanded to include the above U.S.-funded organizations, as appropriate.

B. Goal. To support Haitian efforts at all levels to attain a democratic form of government.

C. Purpose. To provide financial and technical assistance to the CEP and related organizations so they can contribute to the process of carrying out free, fair, and credible democratic elections in Haiti.

D. Outputs. Attainment of the purpose assumes the following outputs as a result of A.I.D. and other donor-financed inputs:

1. A well functioning CEP with the necessary staff and resources to design and carry out an effective electoral process.
2. Civic education campaigns carried out on a nation-wide basis to educate the population on the basics of democratic elections and the registration/voting process.
3. Adequate voter registration and balloting procedures in place.
4. Qualified political parties strengthened on democratic processes.
5. A computerized database and analysis system in place, particularly for use in carrying out the voter registration task and tabulating election results.
6. Observer missions under the sponsorship of the UN, OAS, A.I.D., and others.

E. End-of-Project Status (EOPS). By the end of the project, it is expected that:

1. A democratically elected government will be in place; and
2. A system will have been established for carrying out regularly-scheduled national and local elections, conducted in a credible fashion and with their results accepted by the Haitian population and international observers.

F. Assumptions. Attainment of the goal, purpose and EOPS assumes that:

- Bilateral and international organizations provide in a timely manner the required financial and technical support to the CEP and finance the inputs discussed below in Section V.A., Financing Requirements.
- Haitians at all levels support the democratic process.
- The security conditions exist to allow wide, open and fair popular participation in the electoral process.

G. Relation to the U.S. Assistance Strategy. The program supports directly A.I.D.'s ultimate objective of building a prosperous, stable and democratic Haiti.

IV. PROJECT IMPLEMENTATION

Implementation of A.I.D.-funded activities in support of Haiti's electoral process will be carried out through Haitian, multilateral and U.S. organizations. The key Haitian organization is the CEP, which will receive A.I.D. assistance to cover operational costs through a grant to the UNDP. The U.S. organizations include the International Foundation for Electoral Systems (IFES), the National Endowment for Democracy (NED), the National Democratic Institute (NDI), the National Republican Institute (NRI), the American Free Trade Union Institute (AIFLD), and America's Development Foundation (ADF). These U.S. organizations have participated in other electoral processes in Latin America and will provide a wealth of experience to reduce to the minimum potential problems during the Haitian elections. A.I.D. will also support the monitoring activities of international observer groups. To date such support has been requested by the Organization of American States (OAS).

A. Participating Institutions

1. The CEP -- with Assistance through UNDP

1.1 CEP -- the Institution.

The CEP is the lead Haitian agency in charge of the 1990 elections. CEP has recruited a very capable pool of individuals to plan, monitor and complete the electoral process. Presently, the CEP is composed of nine members designated by the sponsoring organizations named in the constitution. It is supported by a management staff consisting of a director general and deputy director general, who are technically responsible for the operations of the CEP. The CEP also has one electoral operations manager and one administrative manager. In all, the central CEP

staff consists of 111 persons. The detailed staffing of the CEP is shown in Table 1-a under Section V, Estimated Costs and Financial Plan.

1.2 UNDP Support

The UNDP office in Haiti is playing a pivotal role in support to the electoral process. In addition to serving as coordinator for donor assistance to the CEP, it has been providing direct support to the CEP since early June. Presently, five international experts, supported by local hire experts, are assisting the CEP on a daily basis in general election administration and organization and in more specialized areas such as counting and verification, civic education and legal aspects. This assistance will continue through completion of the electoral process.

While this ongoing activity does not currently include funding for operational costs of the CEP, the UNDP would like to expand it to incorporate such costs. A.I.D. will provide a grant to the UNDP to partially cover the CEP's operational costs. The grant will specify that A.I.D. funds will cover specific line items in the CEP budget, with highest priority given to salaries for temporary workers during registration and voting, and salaries of field (commune) level staff.

The ongoing UNDP operation in Port-au-Prince includes administrative staff who will oversee financial management of the A.I.D.-funded operational cost component. Moreover, the technical assistance provided by UNDP and the technical assistance, commodities and training to be provided by A.I.D. (through U.S. organizations, see 2. below) will assure that the CEP has the technical and administrative capability to effectively utilize the A.I.D.-financed contribution.

2. U.S. Organizations

The strategy envisions the provision of technical assistance, training, commodities, and logistic support for the electoral process through two lead organizations -- IFES and NED. USAID/Haiti will sign cooperative agreements with these organizations to obligate the funds for such inputs. The cooperative agreement with NED will include special provisions to ensure adequate coordination of activities to be implemented through sub-grants to NDI, NRI, AIFLD and ADF. This arrangement is expected to simplify A.I.D.'s project management burden as it will deal with two main U.S. recipients instead of six. The estimated A.I.D. financing for each recipient and sub-grantee is detailed in the financial plan. The role of each is discussed below (see also Chart 1).

2.1. International Foundation for Electoral Systems (IFES)

IFES will be the principal provider of technical assistance, training and commodities to the CEP. The A.I.D. cooperative agreement with IFES will include funds for the following activities:

(a) On-Site Technical Assistance. An on-site IFES consultant will provide day-to-day assistance to the CEP with budgeting, resource management, data processing, logistics, election management, development of training projects for CEP personnel, development of a public information campaign, election commodity product design, handling and distribution, liaison with other donors' technicians and general technical assistance and advice to CEP. In addition, a US-based IFES project manager will spend eight or more days per month in Haiti to implement the project and an IFES project office will be established in Port-au-Prince to facilitate implementation and coordination.

(b) Comprehensive Needs Analysis. IFES will carry out a detailed needs analysis for the Haitian electoral process. The analysis will address all the critical elements of a democratic election including the electoral law, the organization and role of the CEP, voter registration, the CEP selection of poll workers, the role of political party observers, the availability and use of election commodities, civic education, systems management, transportation, ballot design and security on election day, counting and certification of results, and the prospects for institutionalizing the democratic election process in Haiti. The needs analysis will be completed in late June or early July 1990 to serve as a planning guide.

(c) Election Training. IFES will train (through a Haitian organization) election officials and poll workers, political party observers, and others involved in safeguarding the sanctity of the election process on election day. The training of election officials and poll workers will include the use of voter registry; the mechanics of the electoral/voting process and procedures at voting places; proper distribution and use of commodities and voting materials; counting, reporting and certification of ballots; planning and implementation of ballot security measures and administration of the total electoral process.

(d) Election Commodities. IFES will assist CEP in the design and procurement of commodities which will include, for example: ballots, ballot boxes, locks, voting booths, registration cards, voter registers, indelible ink, paper and computer hardware and software.

(e) Civic Education. IFES will help the CEP in developing a public education campaign on voting procedures and the rights and responsibilities of citizens of a democratic country. This

campaign, which will be one of the most important components of the IFES' assistance, aims to instill confidence in the electorate that the process will be safe, open and fair.

(f) Liaison with International and Local Donors. IFES staff will maintain close contact with international and local donors to avoid or reduce as much as possible the prospects of duplication of efforts. This will be done in the context of USAID/Haiti's coordinating mechanisms, previously described.

The Program Description in the cooperative agreement with IFES is attached as Annex III.

2.2. National Endowment for Democracy (NED)

NED and its core institutes (composed of the National Democratic and Republican Institutes for International Affairs and the Free Trade Union International), as well as NED's sub-grantee, America's Development Foundation, will support the Haitian election process by carrying out a comprehensive program to demonstrate the strong international commitment to free and fair elections and to Haiti's long-term democratic development. USAID/Haiti will negotiate with NED the details of the sub-grant activities. Preliminary activities are proposed as follows:

a. National Democratic Institute (NDI)

NDI's assistance has two components: (a) monitoring and observer missions, and (b) support for political parties.

(1) Monitoring and Observer Missions. In July 1990, NDI will begin a pre-election monitoring effort which will include two visits to Haiti during the pre-election period of nine international elections experts to review the electoral process and, in particular, the security arrangements. The team members will consult with Haitian civilian and military leaders to identify potential problems, recommend appropriate modifications and underscore the importance of the security aspects.

Based on the team's assessments, NDI will sponsor an international election observer mission. This fifty-five-person, multi-partisan delegation, will consist of political leaders and election experts. In addition, the Council of Freely Elected Heads of Governments, a group spearheaded by former President Jimmy Carter, may have an interest in co-sponsoring the monitoring and observer missions. Previous NDI-sponsored observer missions have demonstrated that the mere presence of a respected delegation can help deter possible misconduct during the election process.

(2) Non-partisan Support for Political Parties. NDI will focus on strengthening (on a non-partisan basis) the role of the political parties in Haiti's transition to democracy.

NDI will conduct a seminar (non-partisan) in Port-au-Prince, during the summer of 1990, for mid-level representatives of political parties. The seminar will provide them with practical grassroots political training (with special emphasis on poll watching, parallel vote count systems and voter education). Participants would in turn train their party colleagues in Haiti's outlying areas to ensure a more cohesive nation-wide party organization. The trainers, international and U.S. experts, will return to Haiti for follow-up consultations with the political parties during the pre-election period.

b. National Republican Institute (NRI)

The NRI role entails: strengthening assistance to political parties to the extent that such assistance is made available to all parties and is provided on a non-partisan basis, complementary advice to the CEP, voter education, public opinion research and international observers (in conjunction with NDI and in coordination with the UN, OAS, and CARICOM).

(1) Non-Partisan Political Party Development. The NRI will train a cadre of party activists to establish political structures nation-wide, especially in rural areas. Such training will be made available to all parties and will be non-partisan. The objectives are to ensure that political parties know their roles in a pluralistic society, encourage political participation, and enable parties to become effective instruments in the on-going policy debate in Haiti.

(2) Provisional Electoral Council (CEP). NRI will assist the CEP in conducting a colloquium on the Haitian Election Law. Participants will include party leadership, CEP members, election administration staff, representatives of relevant government agencies, and interested civic leaders. The colloquium would provide all groups access to information on the Election Law and would enable the foreign election law experts to interact with their Haitian counterparts.

NRI support would also enable the CEP to conduct a public education campaign through mass media outlets, such as radio and basic printed material, to heighten public awareness of the right to register and vote, the secrecy of the ballot, and the need for popular participation in the democratic process. This program will also inform citizens of the mechanics of voting and the provision of the election law.

(3) Public Opinion Survey and Analysis. NRI will conduct a public opinion survey of Haitians' attitudes and perceptions toward democracy, governmental institutions, political actors, and the different policies that will be proposed in the campaign to raise the country from its political and economic difficulties. Survey results will be analyzed and distributed to all political

parties and the media. The findings of the poll will provide an insight into voter attitudes and allow parties to refine their strategies.

(4) Election Observation. The NRI, in conjunction with the NDI, will organize an election observation mission to witness the election. The thirty-member delegation will be composed of representatives of democratic political parties from around the world. The delegation will issue a final report to the Haitian and international communities based on their observations and evaluations of the electoral process.

c. American Free Trade Union Institute (AIFLD)

Working mainly with the Workers Federation of Trade Unions (FOS) and the Independent General Organization of Haitian Workers (OGITH), AIFLD will assist Haitian democratic labor unions in carrying out a voter registration and mobilization campaign to encourage voter participation and training poll watchers to guard against fraud. In addition, AIFLD will organize an election observers mission with participants from the international free trade union movement.

(1) Training. AIFLD will conduct ten training conferences, throughout Haiti, for trade union leaders to enable them to assist in voter registration and mobilize voter turnout. It is expected that at least 250 members will be trained, who can in turn prepare hundreds more trade union members to act as monitors and poll watchers during the election process.

An important part of the training programs is to heighten public awareness of both the voter's civil rights and his human and trade union rights. Trainees will be expected to create a mechanism for reporting violations to Haitian government authorities, the U.N., the O.A.S. and other international bodies, and the world free trade union movement, as appropriate.

(2) Education/Registration Campaign. AIFLD will support a nationwide and bipartisan education/registration campaign, using the media, to persuade all Haitians to register and vote. An important component of this activity would be the employment of at least two activists, experienced in political and electoral work, to advise the democratic trade union leadership on electoral strategies.

(3) Monitoring and International Observers. The final component of the AIFLD program is the formation of an electoral observer team from the international labor movement, to be on hand to monitor election arrangements beforehand and the actual voting on election day.

d. America's Development Foundation (ADF)

Based on its experience in working with private-sector organizations in Haiti, the ADF will support five Haitian civic groups in carrying out programs of civic education to inform citizens of their rights, encourage participation in the electoral process and improve the political environment for the election.

The five civic education groups which ADF will work with are: the Institute for Human Research and Development (IHRED), the Human Resources Development Center (HRDC), Celebration 2004, the Association of Haitian Journalists, and the Haitian Center for Human Rights (CHADEL). The proposed funding will complement other resources which USAID/Haiti has provided already to some of these organizations to enable them to engage in activities directly supportive of a free and fair electoral process.

(1) Institute of Haitian Research and Development (IHRED). Since 1986, NED has supported IHRED's program of national fora and civic education. In addition, IHRED has received support from USAID/Haiti to develop local democratic networks utilizing rural leadership fora. Under the new funding, IHRED will mobilize these local democratic networks to support Haiti's electoral process through registration activities, drives urging people to vote, and through a civic education program of six workshops and seminars.

(2) Human Resources Development Center (HRDC). HRDC has a major civic education program currently financed with host government-owned local currency. The organization works closely with the CEP to develop and publish civic educational materials and arrange for their distribution among voluntary organizations selected with proven field capability.

(3) Celebration 2004. Celebration 2004 is a civic and social organization, with approximately 8,781 members throughout Haiti, dedicated to the promotion of democracy. The organization is especially concerned with education and developing the social awareness of young people, promoting the participation of women in the political process and increasing the level of political consciousness among Haitians. Utilizing a network of local leaders, its civic education program targets grassroots communities and organizations.

Under this program, Celebration 2004 will continue its radio campaign addressing issues such as the role of international observers in the elections, the democratic transition, and how to vote. It will also run non-partisan seminars around Port-au-Prince where political candidates will explain their platforms and where the electoral process will be discussed.

In rural areas, Celebration 2004 will sponsor meetings of civic and social education, including debates and round tables.

CHART 1

**HAITI 1990 ELECTIONS
ROLE OF U.S. ORGANIZATIONS**

USAID/H IFES NDI NRI AIFLD ADF

I.- TECHNICAL ASSISTANCE

CEP
Political parties *
Civic Organizations
Trade Unions

| | | | | | |
|---|---|---|---|---|--|
| • | • | | • | | |
| | | • | • | | |
| | | | | | |
| | | | | • | |

II.- TRAINING

CEP
Political parties *
Civic Organizations
Trade Unions

| | | | | | |
|---|---|---|---|---|---|
| • | • | | | | |
| | | • | • | | |
| | • | | | | • |
| | | | | • | |

III.- COMMODITIES

CEP

Civic Organizations
Trade Unions

| | | | | | |
|---|---|--|--|--|---|
| • | • | | | | |
| | | | | | |
| | | | | | • |
| | | | | | |

IV.- Observer Missions/Monitoring

| | | | | | |
|--|--|---|---|---|--|
| | | • | • | • | |
|--|--|---|---|---|--|

V.- Civic Education Campaigns

| | | | | | |
|---|---|---|---|---|---|
| • | • | • | • | • | • |
|---|---|---|---|---|---|

VI.- Research

| | | | | | |
|--|--|--|---|--|--|
| | | | • | | |
|--|--|--|---|--|--|

*Non-Partisan Support Only.

It will also support registration campaigns in the urban areas, round tables on the electoral process, and organize fora for the various candidates.

(4) The Association of Haitian Journalists. Independent and factual reporting by the media will be important to keep Haitians informed of the electoral process and campaign issues as the elections develop. Currently, there are thirty-three radio stations, twenty magazines and newspapers and two television

stations in Haiti. However, the professional standards are low, often leading to the reporting of rumors and distortions.

Seeking to promote the development of the journalistic profession and to consolidate the structures of civil society, the Association of Haitian Journalists has devised a program of seminars for its 400 members throughout the country to discuss the proper role and standards of the profession. Under this funding, the Association will carry out a series of training programs and technical assistance to some 124 journalists in Cap-Haitien, Port-de-Paix, Gonaives, Jacmel, Cayes and Jeremie. An additional 50 journalists will be trained in Port-au-Prince.

(5) The Haitian Center for Human Rights (CHADEL). CHADEL is a voluntary organization that promotes human rights, monitors human rights abuses, and encourages the adoption of laws and development of institutions that protect human rights.

CHADEL will expand its radio program to at least 10 spots per day to be aired on twelve stations throughout Haiti. The civic education spots will emphasize themes such as the rule of law, the rights of citizens, mechanisms for recourse should electoral rights be violated, the electoral process and democratic norms.

2.3. Other A.I.D. Assistance through HRDC.

Approximately \$200,000 in local currency has been provided by the GOH to the HRDC for democracy-related, civic education activities in support of the CEP. As the elections process evolves and costs are clarified, additional local resources could be made available for appropriate unmet local currency needs.

3. The Organization of American States (OAS)

The Organization of American States is the most important forum for its 32 member states (nearly all democracies) to address their special political concerns in the hemisphere, especially vis-a-vis the U.S. The OAS promotes democracy, played a key role in the success of the recent Nicaraguan elections, and defends human rights throughout the hemisphere. It also provides technical assistance and promotes hemispheric cooperation against drugs and in education, scientific and cultural fields.

The U.S. is committed to the OAS as an important hemispheric institution. This reflects the Bush Administration's determination to use multilateral diplomacy, where feasible and appropriate, to resolve regional problems and to engage our neighbors on topics of hemispheric concern.

Despite its recently enhanced role in the hemisphere's political agenda, the OAS remains seriously underfunded, largely the result of arrears owed by the U.S. (\$48 million) and other members. The OAS had to cut back programs and reduced personnel by 30 percent last year in order to hold expenses to levels consistent with anticipated payments. Now that the FY 1990 Supplemental is passed, the U.S. will be able to pay its annual quota to the OAS for the first time in eight years. The Administration has requested Congress for full funding of the FY 1991 quota assessment for the OAS, as well as funds to begin paying our arrears.

The U.S. strongly supported and funded the OAS elections monitoring effort in Nicaragua. The OAS created an infrastructure which provided communications, housing, transport, data handling capabilities and a parallel voting tabulation system throughout Nicaragua, with offices in all nine election districts. This network served not only the OAS observers, who reached a maximum complement of 433 members, but also cooperated with observers sent by the UN, the Carter Center and other groups. Success of the observer program in Nicaragua promoted the Secretary General to offer similar services to other members, which Haiti has already accepted.

The OAS has already established an electoral mission in Haiti under the direction of a Canadian, Mr. Pierre Cote, who was Quebec Province's key election official. Mr. Cote has made a number of trips to Haiti since March and talked extensively with President Trouillot and numerous other government and nongovernment leaders.

Based on these visits, the OAS has prepared a detailed budget totalling \$4.7 million to cover the cost of the monitoring effort, which will include fielding 100 observers for the Registration Period, scheduled to begin August 19, 1990, through the last days of the electoral process, by which time there may be over 400 observers. The OAS is already drawing down a \$500,000 balance from its funds set aside but undisbursed in 1987 for the abortive elections in Haiti.

B. The Electoral Process

The organization of the 1990 elections in Haiti encompasses five broad activities, each one consisting of multiple inter-linked steps. The main activities are:

- Organization of central electoral council staff;

- Organization of regional offices and staff;
- Civic Education planning and implementation;
- Registration planning and implementation;
- Elections planning and implementation.

The various steps under the five basic activities are shown in Annex II, which indicates the expected starting and completion dates based on the situation as of June 20, 1990. The PERT Chart shows the inter-relationships among the multiple activities and steps. Dark lines in the PERT Chart and bold printing in the list indicate the activities which are located on the critical path. The assumption for the starting and completion dates are the issuance of the electoral law and calendar, and the timely provision of funds, per the financial plan.

V. ESTIMATED COSTS and FINANCIAL PLAN

A. Financing Requirements

Tables 1 through 4 provide in summary and detailed form the financing required from all sources to meet the requirements of the Haiti 1990 elections.

Based on the best available information at this time, the CEP will require a minimum of US \$9.3 million to plan, organize, and carry out the 1990 elections. Resources identified so far include: the Government of Haiti (GOH) -- the equivalent of US\$1.0 million from its central budget and approximately \$585,000 in local currency generations from USAID-sponsored programs; A.I.D. -- up to \$2.0 million in ESF to finance some of the operational costs of the CEP, and \$2.9 million in DA-funded TA, training, commodities and logistic support; Canada -- \$0.8 million in commodities; France, perhaps \$1.0 million; and Japan, perhaps \$300,000 in commodities.

All donors are in the process of finalizing the amount and nature of their assistance. It is important to note that the CEP's official budget could exceed \$10 million.

1. The A.I.D. Contribution

A.I.D.'s overall contribution to Haiti's electoral process is estimated at \$6.0 million. This amount includes \$3.0 million in Development Assistance (DA) funds, and the \$3.0 million in ESF funds provided for Haiti in the Dire Supplemental Appropriations Act of FY 1990. Up to \$2.0 million of the \$6.0 million will

contribute to the operational costs of the CEP, leaving a gap of about \$6.4 million.

2. The GOH Contribution

The 25 percent host country contribution requirement under FAA Section 110 does not apply to this project because it is not a bilateral project. Nonetheless, it is anticipated that the GOH will contribute an estimated \$1.6 million including \$1.0 million from its central budgetary resources, \$385,000 in GOH-owned local currency generations still available from the 1987 election budget and approximately \$200,000 in GOH-owned local currency generations which have been provided to the Human Resources Development Center.

3. Other Donor Support

Currently, the UNDP is providing five consultants to the CEP in the areas of electoral administration, electoral processes, time and motion studies, counting and verification of votes, and the legal aspects of elections. In addition, an elections coordinator has been added to the UNDP's staff in Port-au-Prince, and the UN Secretary General has named a personal Representative for Electoral Affairs, who will coordinate the whole process until election date.

The OAS has asked a Canadian, the Chief of the Electoral Office in Quebec, to represent the OAS with respect to Haitian elections. This person will collaborate with the UN in providing the GOH with technical assistance and up to 400 election observers during the two critical periods -- registration (which is supposed to last twenty-two days) and the actual elections. The OAS has approximately \$560,000 of unspent funds remaining from the 1987 elections. We have no confirmation that additional funding has yet been secured.

Canada has offered the GOH \$800,000, which would most probably finance paper for the ballots. France has informally discussed assistance in the range of \$1 to \$2 million. Japan has informally indicated they might assist in the area of communications (\$300,000). Italy, Spain, Taiwan and Venezuela are possible sources of additional assistance, but to date amounts are not known.

UN assistance for observation and verification is awaiting approval. President Trouillot has also asked the UN for security-related assistance before and during the elections. In addition, CARICOM has offered the GOH a peace-keeping force of 50 to 100 Creole-speaking police volunteers, but has advised the UN that CARICOM could not pay for the in-country costs of such a force.

Table 1
Haiti 1990 Elections
 A.I.D. Financing
 (US\$)

| | | |
|------|---|-------------------|
| I. | Grant to UNDP for support to the CEP..... | Up to \$2,000,000 |
| II. | Cooperative Agreement with IFES | 1,800,000 |
| III. | Cooperative Agreement with NED..... | 1,100,000 |
| IV. | Agreement with the OAS..... | 1,000,000 |
| V. | Democracy Coordinator (PSC) | 75,000 |
| VI. | Project Audit | <u>25,000</u> |
| | Total | \$6,000,000 |

B. Procurement Plan

USAID/Haiti will sign an International Organization grant with the UNDP and cooperative agreements with IFES and NED. All procurement of goods and services will be carried out by these organizations, following A.I.D. guidance and procurement regulations, as appropriate. For instance, most of the commodities will be procured by IFES, which will write specifications and solicit bids which will be analyzed in concert with USAID/Haiti. Funding for activities to be undertaken by NDI, NRI, AIFLD, and ADF will be provided through NED. USAID/Haiti's arrangements with NED will be similar to those negotiated with IFES.

Table 2
Haiti Elections Management Assistance Project
Estimated Budget \$
(In US Dollars)

| Budget Item | Foreign Exchange | Local Costs | Total | Ref Table |
|---|--------------------|--------------------|--------------------|-----------|
| I. CEP Personnel Costs | | | | |
| Central CEP | --- | \$491,371 | \$491,371 | Table 1-a |
| Departmental Electoral Offices | --- | 365,571 | 365,571 | Table 1-b |
| Training of Electoral Officials | --- | 164,286 | 164,286 | |
| Registration personnel costs | --- | 1,800,000 | 1,800,000 | |
| Voting personnel costs | --- | 1,630,357 | 1,630,357 | |
| Total CEP Personnel Costs | --- | 4,451,585 | 4,451,585 | |
| II. Other Operations Costs | | | | |
| Civic Education (loc. Adv. agency | --- | 428,572 | 428,572 | |
| Transportation for Regist./Electi | --- | 228,572 | 228,572 | |
| Press Centre | --- | 42,857 | 42,857 | |
| Computerization of Elect. registe | --- | 42,857 | 42,857 | |
| Insurance Costs | --- | 20,000 | 20,000 | |
| Travel Costs | --- | 100,000 | 100,000 | |
| Other operating costs | --- | 215,000 | 215,000 | |
| Total Other Operations Costs | --- | 1,077,858 | 1,077,858 | |
| Total CEP Operating Costs | --- | 5,529,443 | 5,529,443 | |
| III. Commodities | | | | |
| Office furniture | 150,000 | --- | 150,000 | |
| Computer | 125,000 | --- | 125,000 | |
| Other office furniture & equipment | 180,000 | --- | 180,000 | |
| Communications equipment | 400,000 | --- | 400,000 | |
| Civic Education materials | 600,000 | --- | 600,000 | |
| Electoral cards/registers | 125,000 | --- | 125,000 | |
| Registration materials | 45,000 | --- | 45,000 | |
| Voting materials | 150,000 | --- | 150,000 | |
| Ballots | 800,000 | --- | 800,000 | |
| Ballots boxes & selected voting equipment | 800,000 | --- | 800,000 | |
| Indelible ink | 120,000 | --- | 120,000 | |
| Total Commodities | 3,495,000 | --- | 3,495,000 | |
| IV. Contingencies | 280,000 | --- | 280,000 | |
| Grand Total CEP Costs | \$3,775,000 | \$5,529,443 | \$9,304,443 | |

\$ As of 8/20/90.

HAITI 1990 ELECTIONS

Table 2a

Breakdown of Budget Items

I.- CENTRAL STAFFING

| | Number of Staff | STAGE I | STAGE II | STAGE III | TOTAL |
|------------------------------------|--------------------|----------|----------|-----------|------------|
| | | May-Sept | October | November | US dollars |
| Members of CEP | 9 | 112,500 | 22,500 | 22,500 | 157,500 |
| Director General | 1 | 10,714 | 2,143 | 2,143 | 15,000 |
| Deputy Director General | 1 | 8,929 | 1,786 | 1,786 | 12,500 |
| | 11 | 132,143 | 26,429 | 26,429 | 185,000 |
| Electoral Operations Manager | 1 | 7,143 | 1,429 | 1,429 | 10,000 |
| Administrative Manager | 1 | 7,143 | 1,429 | 1,429 | 10,000 |
| | 2 | 146,429 | 29,286 | 29,286 | 205,000 |
| Other Personnel | | | | | |
| Legal dept (lawyers) | 3 | 12,857 | 3,214 | 1,071 | 17,143 |
| Legal dept staff | 2 | 3,714 | 929 | 464 | 5,107 |
| Financial Department (Fin. Mgr) | 1 | 4,643 | 929 | 929 | 6,500 |
| Fin Dept. (Acct personnel) | 2 | 4,000 | 1,000 | 500 | 5,500 |
| Cashier | 1 | 2,500 | 500 | 250 | 3,250 |
| Personnel Manager | 1 | 4,286 | 857 | 429 | 5,571 |
| Pers. Dept Staff | 2 | 5,143 | 1,286 | 643 | 7,071 |
| Civic Education coordinators | 3 | 8,571 | 2,143 | 714 | 11,429 |
| Inspection staff | 4 | 6,857 | 2,286 | 1,143 | 10,286 |
| Protocol dept (incl. Obs. rel.) | 3 | 10,286 | 2,571 | 857 | 13,714 |
| Attache de presse | 2 | 5,143 | 1,286 | 643 | 7,071 |
| Photographers | 3 | 3,857 | 1,286 | 429 | 5,571 |
| Registration/Vote coordinator | 2 | 6,857 | 1,714 | 857 | 9,429 |
| Computer consultant | 1 | 3,714 | 929 | 464 | 5,107 |
| Computer support staff | 5 | 10,000 | 2,500 | 1,500 | 14,000 |
| Security manager | 1 | 4,643 | 929 | 0 | 5,571 |
| Security agents | 18 | 32,143 | 6,429 | 3,214 | 41,786 |
| Executive secretaries | 4 | 17,143 | 3,429 | 2,571 | 23,143 |
| Secretarial staff (general) | 6 | 13,286 | 3,214 | 1,607 | 18,107 |
| Radio operations personnel | 2 | 2,500 | 714 | 357 | 3,571 |
| Drivers | 14 | 29,000 | 7,000 | 5,000 | 41,000 |
| Messengers | 8 | 5,821 | 1,429 | 714 | 7,964 |
| Assets control personnel | 2 | 4,914 | 1,143 | 571 | 6,629 |
| Warehouse staff | 4 | 6,857 | 1,714 | 857 | 9,429 |
| Custodial Staff | 4 | 1,779 | 429 | 214 | 2,421 |
| | 98 | 210,514 | 49,857 | 26,000 | 286,371 |
| Total Staff Central Council | 111 | 356,943 | 79,143 | 55,286 | 491,371 |

HAITI 1990 ELECTIONS
Breakdown of Budget Items

Table 2b

II.- DEPARTMENTAL STAFFING

DEPARTMENT - WEST

Permanent staff

| | Number of Staff | STAGE I May-Sept | STAGE II October | STAGE III November | TOTAL US dollars |
|--------------------|-----------------|---------------------|---------------------|-----------------------|---------------------|
| Manager | 1 | 5,143 | 1,286 | 1,286 | 7,714 |
| Assistant managers | 2 | 6,857 | 1,714 | 1,714 | 10,286 |
| Secretaries | 2 | 3,429 | 857 | 857 | 5,143 |
| Drivers/Messengers | 2 | 1,429 | 357 | 357 | 2,143 |
| | 7 | 16,857 | 4,214 | 4,214 | 25,286 |

Temporary staff (duration of electoral period)

| | | | | | |
|---------------------|----|--------|--------|---|--------|
| Legal counsel | 1 | 2,357 | 786 | 0 | 3,143 |
| Coordination staff | 8 | 12,000 | 4,000 | 0 | 16,000 |
| Bookkeepers | 1 | 1,071 | 357 | 0 | 1,429 |
| Secretaries | 3 | 3,214 | 1,071 | 0 | 4,286 |
| Messengers | 6 | 2,571 | 857 | 0 | 3,429 |
| Logistics personnel | 12 | 6,857 | 3,429 | 0 | 10,286 |
| Security Agents | 6 | 3,214 | 1,071 | 0 | 4,286 |
| Guards | 6 | 1,929 | 643 | 0 | 2,571 |
| Custodial Staff | 2 | 429 | 143 | 0 | 571 |
| | 45 | 33,643 | 12,357 | 0 | 46,000 |

OTHER REGIONAL DEPARTMENTS (8)

Permanent staff

| | | | | | |
|--------------------|----|--------|--------|--------|---------|
| Managers | 8 | 34,286 | 8,571 | 8,571 | 51,429 |
| Secretaries | 16 | 27,429 | 6,857 | 6,857 | 41,143 |
| Drivers/Messengers | 8 | 5,714 | 1,429 | 1,429 | 8,571 |
| | 32 | 67,429 | 16,857 | 16,857 | 101,143 |

Temporary staff (duration of electoral period)

| | | | | | |
|---------------------|-----|---------|--------|---|---------|
| Legal Counsel | 16 | 41,143 | 13,714 | 0 | 54,857 |
| Coordination staff | 32 | 48,000 | 16,000 | 0 | 64,000 |
| Bookkeepers | 8 | 8,571 | 2,857 | 0 | 11,429 |
| Secretaries | 8 | 8,571 | 2,857 | 0 | 11,429 |
| Messengers | 24 | 10,286 | 3,429 | 0 | 13,714 |
| Logistics personnel | 32 | 8,000 | 0 | 0 | 8,000 |
| Security Agents | 24 | 12,857 | 4,286 | 0 | 17,143 |
| Guards | 24 | 7,714 | 2,571 | 0 | 10,286 |
| Custodial Staff | 8 | 1,714 | 571 | 0 | 2,286 |
| | 176 | 146,857 | 46,286 | 0 | 193,143 |

TOTAL DEPARTMENTAL OFFICES

| | | | | | |
|--|-----|---------|--------|--------|---------|
| | 260 | 264,786 | 79,714 | 21,071 | 365,571 |
|--|-----|---------|--------|--------|---------|

C. Disbursement Plan

Project funds will be disbursed to the UNDP, the U.S. organizations and the OAS based on a disbursement schedule to be negotiated by the parties shortly after the signing of the various obligating documents.

Methods of implementation and financing are as follows:

1. Grant to UNDP: Up to \$2.0 million in one or two tranches. Direct payment through Letter of Credit.
2. Grant to IFES: Approx. \$1.8 million. Direct payment through Letter of Credit.
3. Grant to NED: Approx. \$1.1 million. Direct payment through Letter of Credit.
4. Grant to the OAS: Approx. \$1.0 million through an Inter-Agency Agreement with the Department of State.
5. Democracy Coordinator: \$75,000. Direct Payment. A.I.D. Direct Contract with PSC.
6. Non-federal project audit \$25,000. Direct payment. A.I.D. Direct Contract

With reference to the International Organization Grant to the UNDP, the UNDP will disburse funds for CEP operational costs based on detailed requests for financing from the CEP. Since the GOH normally pays salaries on a monthly basis, UNDP disbursements will probably be made on a monthly basis against payroll listings. It is anticipated that the UNDP will disburse to the Ministry of Economy and Finance, which is the GOH agency normally responsible for payments to the CEP. The UNDP will apply its normal financial management system to provide for effective control over, and accountability for, these funds in accordance with its usual procedures and generally accepted accounting procedures.

The conditions precedent to disbursement (see Section VI below) will be strictly applied. The ESF funds will be obligated and disbursed only after these conditions have been met. Moreover, the UNDP grant will contain a provision which will require continued compliance with these conditions prior to each disbursement to the GOH (Ministry of Economy and Finance).

Obligation and disbursement of ESF funds in the UNDP Grant will also be subject to the Mission's periodic review of the CEP's financial situation and the possible need to cover some of the

costs of international observer groups. These reviews will also consider the in-kind and cash contributions which other international and bilateral donors may provide to the CEP. Adjustments in the A.I.D. contribution for CEP's operational costs will be made, as appropriate, based on the results of such reviews.

E. Evaluations and Audits

Funds will be included in the grants to the U.S. organizations to cover audit requirements under OMB Circular A133.

In addition, the IFES grant includes funds for an evaluation of the electoral process. The evaluation will cover, among other things: an assessment of the whole electoral process in Haiti, the strengths and weaknesses of the process, the role and effectiveness of observers, the effectiveness of the civic education campaigns and training programs, the appropriateness of the coordinating mechanisms, lessons learned, and recommendations that should be considered in future elections.

The Financial Plan also includes \$25,000 for a non-federal project audit.

VI. CONDITIONS PRECEDENT

Prior to the disbursement of the ESF funds, the GOH will be required to meet the four conditions specified in House of Representatives Conference Report No. 101-493 of May 22, 1990. These conditions are:

(1) the GOH has named the members of a genuinely independent electoral council to conduct free, fair and open elections;

(2) the GOH has established and promulgated an electoral law that is acceptable to such electoral council;

(3) official investigations have been reopened in connection with the disruption of the November 29, 1987 election; and

(4) meaningful steps are being taken by Haitian civil and military authorities to provide electoral security.

As quoted in a letter from the A.I.D. Assistant Administrator for Legislative Affairs to Senator Robert W. Kasten, dated July 30, 1990, "the Department of State has informed A.I.D. that the conditions outlined [above] have been met by the Government of Haiti."

ANNEXES

- I. Budget Tables 3 and 4
- II. Electoral Process Charts
- III. IFES Cooperative Agreement: Program Description
- IV. Environmental Threshold Recommendation
- V. FAA Section 611(e) Determination
- VI. The Design Team
- VII. Statutory Checklist

Table 3
Haiti Elections Management Assistance Project
Illustrative Distribution of USG Funding
(In US Dollars)

Annex I
1 of 3

| Budget Item | USG | | | | | | | Total USG Funding |
|-------------------------------------|-----------------------|------------------------|----------------|----------|----------|----------|----------|-------------------|
| | Total CEP Local Costs | Budget Supp. Thru UNDP | IFES | ADF | NDI | NRI | AIFLD | |
| I. CEP Personnel Costs | | | | | | | | |
| Central CEP | \$491,371 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Departmental Electoral Offices | 365,571 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Training of Electoral Officials | 164,286 | 0 | 80,000 | 0 | 0 | 0 | 0 | 80,000 |
| Registration personnel costs | 1,800,000 | 1,500,000 | 0 | 0 | 0 | 0 | 0 | 1,500,000 |
| Voting personnel costs | 1,630,357 | 500,000* | 0 | 0 | 0 | 0 | 0 | 500,000 |
| Total CEP Personnel Costs | 4,451,585 | 2,000,000 | 80,000 | 0 | 0 | 0 | 0 | 2,080,000 |
| II. Other Operations Costs | | | | | | | | |
| Civic Education (loc. Adv. agency) | 428,572 | 0 | 106,250 | 0 | 0 | 0 | 0 | 106,250 |
| Transportation for Regist./Electi | 228,572 | 0 | 228,572 | 0 | 0 | 0 | 0 | 228,572 |
| Press Centre | 42,857 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Computerization of Elect. registe | 42,857 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Insurance Costs | 20,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Travel Costs | 100,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Other operating costs | 215,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total Other Operations Costs | 1,077,850 | 0 | 334,822 | 0 | 0 | 0 | 0 | 334,822 |
| Total CEP Operating Costs | 5,529,443 | 2,000,000 | 414,822 | 0 | 0 | 0 | 0 | 2,414,822 |

* It has not yet been conclusively determined whether or not this funding will be allocated for the CEP or for international observer groups.

Table J
Haiti Elections Management Assistance Project
Illustrative Distribution of USG Funding
(In US Dollars)

Annex I
2 of 3

| Budget Item | Total CEP Costs | USG Budget Supp. | | | | | AIFLD | Total USG Funding |
|--|--------------------|---------------------|-------------------|-----------|-----------|-----------|-----------|-------------------------|
| | | Thru UNDP | IFES | ADF | NDI | MRI | | |
| III. Commodities | | | | | | | | |
| Office furniture | 150,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Computer | 125,000 | 0 | 125,000 | 0 | 0 | 0 | 0 | 125,000 |
| Other office furniture & equipment | 180,000 | 0 | 25,000 | 0 | 0 | 0 | 0 | 25,000 |
| Communications equipment | 400,000 | 0 | 400,000 | 0 | 0 | 0 | 0 | 400,000 |
| Civic Education materials | 600,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Electoral cards/registers | 125,000 | 0 | 125,000 | 0 | 0 | 0 | 0 | 125,000 |
| Registration materials | 45,000 | 0 | 45,000 | 0 | 0 | 0 | 0 | 45,000 |
| Voting materials | 150,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ballots | 800,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ballots boxes & selected voting equipment | 800,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Indelible ink | 120,000 | 0 | 100,000 | 0 | 0 | 0 | 0 | 100,000 |
| | 3,495,000 | 0 | 820,000 | 0 | 0 | 0 | 0 | 820,000 |
| IV. Contingencies | 280,000 | 0 | 140,714 | 0 | 0 | 0 | 0 | 140,714 |
| Total Commodities & Contingencies | 3,775,000 | 0 | 960,714 | 0 | 0 | 0 | 0 | 960,714 |
| Grand Total CEP Costs | 99,364,443 | 92,000,000 | 91,375,536 | 90 | 90 | 90 | 90 | 93,375,536 |

1992
 Multi-Elections Management Assistance Project
 Illustrative Distribution of USG Funding
 (In US Dollars)

Page 3
 3 of 3

| Budget Item | USG | | | | | | | Total USG Funding | |
|--------------------------------------|---------------------|------------------------|--------------------|------------------|------------------|------------------|------------------|--------------------|--------------------|
| | Total Other Costs | Budget Supp. Thru UNDP | IFES | ADF | NDI | NRI | AIFLD | | OAS |
| Other Elections Related Costs | | | | | | | | | |
| Technical Assistance: | | | | | | | | | |
| CEP | 63,300 | 0 | 63,300 | | | | | | 63,300 |
| Political Parties | 383,969 | 0 | 0 | | 183,969 | 200,000 | 0 | 0 | 383,969 |
| Civic Organizations & Education | 179,800 | 0 | | 110,200 | 0 | 0 | 69,600 | 0 | 179,800 |
| Observation & Monitoring Missions | 44,549 | 0 | | | 44,549 | 0 | | 1,000,000 | 1,044,549 |
| Training | 66,250 | 0 | | | | | 66,250 | 0 | 66,250 |
| Commodities | 159,600 | 0 | | 81,700 | | 67,900 | 10,000 | 0 | 159,600 |
| Other Costs | | 0 | | | | | | | 0 |
| Transportation | 464,381 | 0 | 32,026 | 3,600 | 192,420 | 149,495 | 86,840 | 0 | 464,381 |
| Seminars | 48,000 | 0 | 0 | 48,000 | 0 | 0 | 0 | 0 | 48,000 |
| Other Adm. Costs | 512,690 | 0 | 336,288 | 6,700 | 31,905 | 86,000 | 51,797 | 0 | 512,690 |
| Total Other Costs | 1,922,539 | 0 | 431,614 | 250,200 | 452,843 | 503,395 | 284,487 | 1,000,000 | 2,922,539 |
| Grand Total Election Costs | \$11,226,982 | \$2,000,000 | \$1,807,150 | \$250,200 | \$452,843 | \$503,395 | \$284,487 | \$1,000,000 | \$6,298,075 |

** The U.S.G. funding for ADF NDI NRI and AIFLD will be refined to total \$1.1 million.

The Grand Total USG funding of \$6,298,075 does not include the services of a PSC Coordinator (\$75,000) and a project audit (\$25,000).

Table 4
Haiti: Elections Management Assistance Project
Estimated Budget By Source
(In US Dollars)

Annex I
1 of 2

| Budget Item | Total Costs | Govt. of Haiti | United Nations | O.A.S. | CARICOM | Canada | France | Japan | U.S.A. | Others | Total Funding |
|---|--------------------|--------------------|----------------|------------|------------|------------------|------------|------------|--------------------|------------|--------------------|
| I. CEP Personnel Costs | | | | | | | | | | | |
| Central CEP | 949,371 | 491,371 | | | | | | | | | 491,371 |
| Departmental Electoral Offices | 365,571 | 365,571 | | | | | | | | | 365,571 |
| Training of Electoral Officials | 164,286 | 84,286 | | | | | | | 80,000 | | 164,286 |
| Registration personnel costs | 1,800,000 | | | | | | | | 1,500,000 | | 1,500,000 |
| Voting personnel costs | 1,630,357 | | | | | | | | 500,000 | | 500,000 |
| Total CEP Personnel Costs | 4,451,585 | 941,228 | 0 | 0 | 0 | 0 | 0 | 0 | 2,080,000 | 0 | 3,021,228 |
| II. Other Operations Costs | | | | | | | | | | | |
| Civic Education (loc. Adv. agency) | 428,572 | | | | | | | | | | |
| Transportation for Regist./Electi | 228,572 | | | | | | | | 106,250 | | 106,250 |
| Press Centre | 42,857 | | | | | | | | 228,572 | | 228,572 |
| Computerization of Elect. registe | 42,857 | | | | | | | | 0 | | 0 |
| Insurance Costs | 20,000 | | | | | | | | 0 | | 0 |
| Travel Costs | 100,000 | | | | | | | | 0 | | 0 |
| Other operating costs | 215,000 | 5,000 | | | | | | | 0 | | 0 |
| Total Other Operations Costs | 1,077,858 | 5,000 | 0 | 0 | 0 | 0 | 0 | 0 | 334,822 | 0 | 339,822 |
| Total CEP Operating Costs | 5,529,443 | 946,228 | 0 | 0 | 0 | 0 | 0 | 0 | 2,414,822 | 0 | 3,361,050 |
| III. Commodities | | | | | | | | | | | |
| Office furniture | 150,000 | 55,000 | | | | | | | | | |
| Computer | 125,000 | | | | | | | | 125,000 | | 180,000 |
| Other office furniture & equipment | 180,000 | | | | | | | | 25,000 | | 25,000 |
| Communications equipment | 400,000 | | | | | | | | 400,000 | | 400,000 |
| Civic Education materials | 600,000 | | | | | | | | 0 | | 0 |
| Electoral cards/registers | 125,000 | | | | | | | | 125,000 | | 125,000 |
| Registration materials | 45,000 | | | | | | | | 45,000 | | 45,000 |
| Voting materials | 150,000 | | | | | | | | 0 | | 0 |
| Ballots | 800,000 | | | | | | | | 0 | | 0 |
| Ballots boxes & selected voting equipment | 800,000 | | | | | 800,000 | | | 0 | | 800,000 |
| Indelible ink | 120,000 | | | | | | | | 100,000 | | 100,000 |
| Total Commodities | 3,495,000 | 55,000 | 0 | 0 | 0 | 800,000 | 0 | 0 | 820,000 | 0 | 1,675,000 |
| IV. Contingencies | 280,000 | | | | | | | | 140,714 | | 140,714 |
| Grand Total CEP Costs | \$9,304,443 | \$1,001,228 | \$0 | \$0 | \$0 | \$800,000 | \$0 | \$0 | \$3,375,536 | \$0 | \$5,176,764 |

As of 8/20/90.

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Table 4
Haiti Elections Management Assistance Project
Estimated Budget By Source §
(In US Dollars)

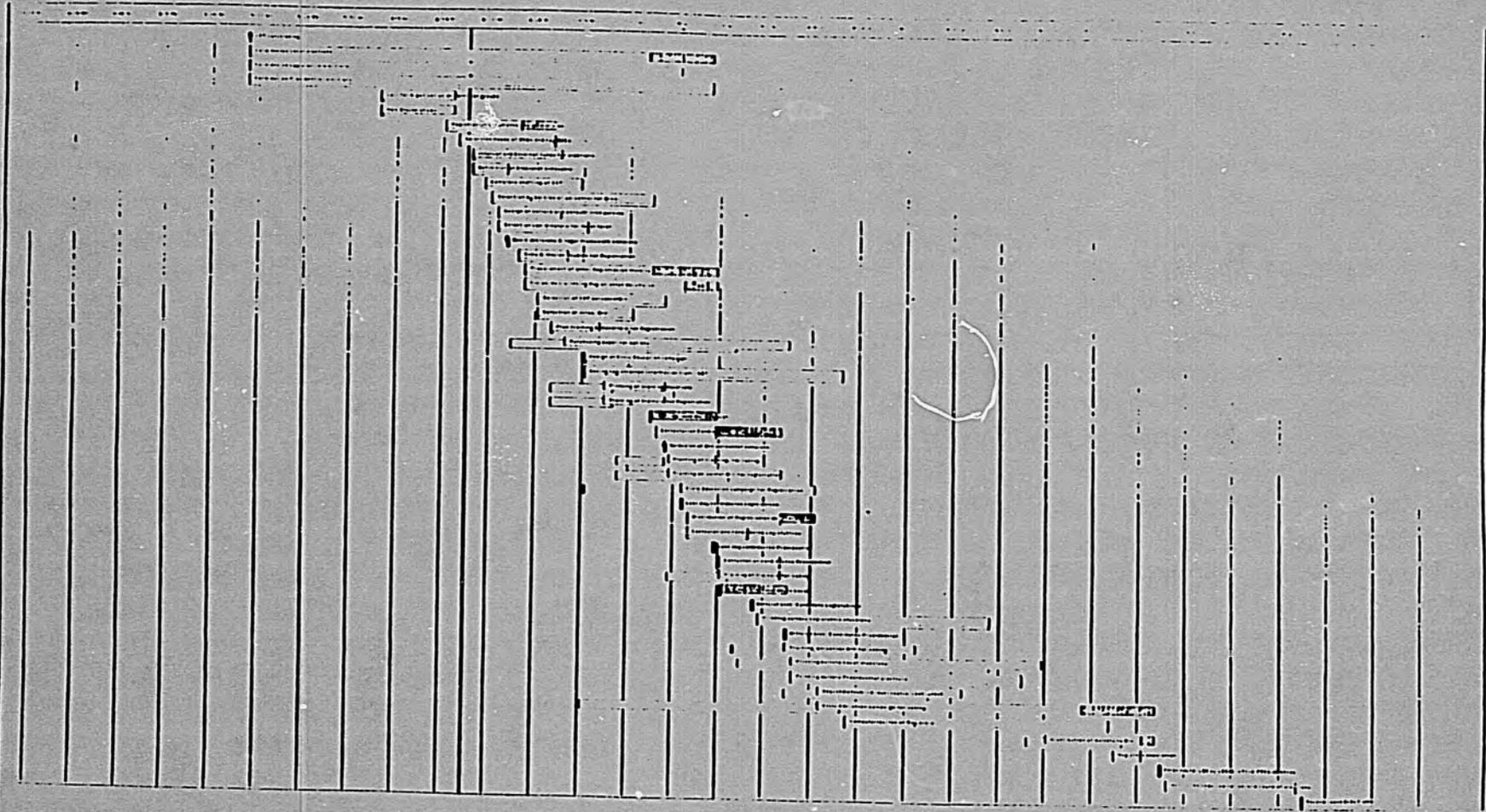
Annex I
2 of 2

| Budget Item | Total Costs | Govt. of Haiti | United Nations | O.A.S. | CARICOM | Canada | France | Japan | U.S.A. | Others | Total Funding |
|--|---------------------|--------------------|----------------|------------|------------|------------------|------------------|----------------|--------------------|------------|--------------------|
| Other Elections Related Costs | | | | | | | | | | | |
| Technical Assistance: | | | | | | | | | | | |
| CEP | 63,300 | | | | | | | | 63,300 | | 63,300 |
| Political Parties | 383,969 | | | | | | | | 383,969 | | 383,969 |
| Civic Organizations & Education | 179,800 | | | | | | | | 179,800 | | 179,800 |
| Observation & Monitoring Missions (including \$1 million grant to OAS). | 1,044,549 | | | | | | | | 1,044,549 | | 1,044,549 |
| Training | 66,250 | | | | | | | | 66,250 | | 66,250 |
| Commodities | 159,600 | | | | | | | | 159,600 | | 159,600 |
| Other Costs | | | | | | | | | | | 0 |
| Transportation | 464,381 | | | | | | | | 464,381 | | 464,381 |
| Seminars | 48,000 | | | | | | | | 48,000 | | 48,000 |
| Other Adm. Costs | 512,690 | | | | | | | | 512,690 | | 512,690 |
| Total Other Costs | 2,922,539 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2,922,539 | 0 | 2,922,539 |
| (88) | | | | | | | | | | | |
| Grand Total Election Costs | \$12,226,982 | \$1,001,228 | \$0 | \$0 | \$0 | \$800,000 | \$0 | \$0 | \$6,298,075 | \$0 | \$8,099,303 |
| Other Unconfirmed Funding Sources: | | | | | | | | | | | |
| France | | | | | | | | | | | 0 |
| Japan | | | | | | | 1,000,000 | | | | 1,000,000 |
| Taiwan | | | | | | | | 300,000 | | | 300,000 |
| Spain | | | | | | | | 200,000 | | | 200,000 |
| Italy | | | | | | | | | | | 0 |
| OAS | | | | | | | | | | | 0 |
| | 2,922,539 | 0 | 0 | 0 | 0 | 800,000 | 1,000,000 | 500,000 | 6,298,075 | 0 | 8,599,303 |

§ As of 8/20/90.

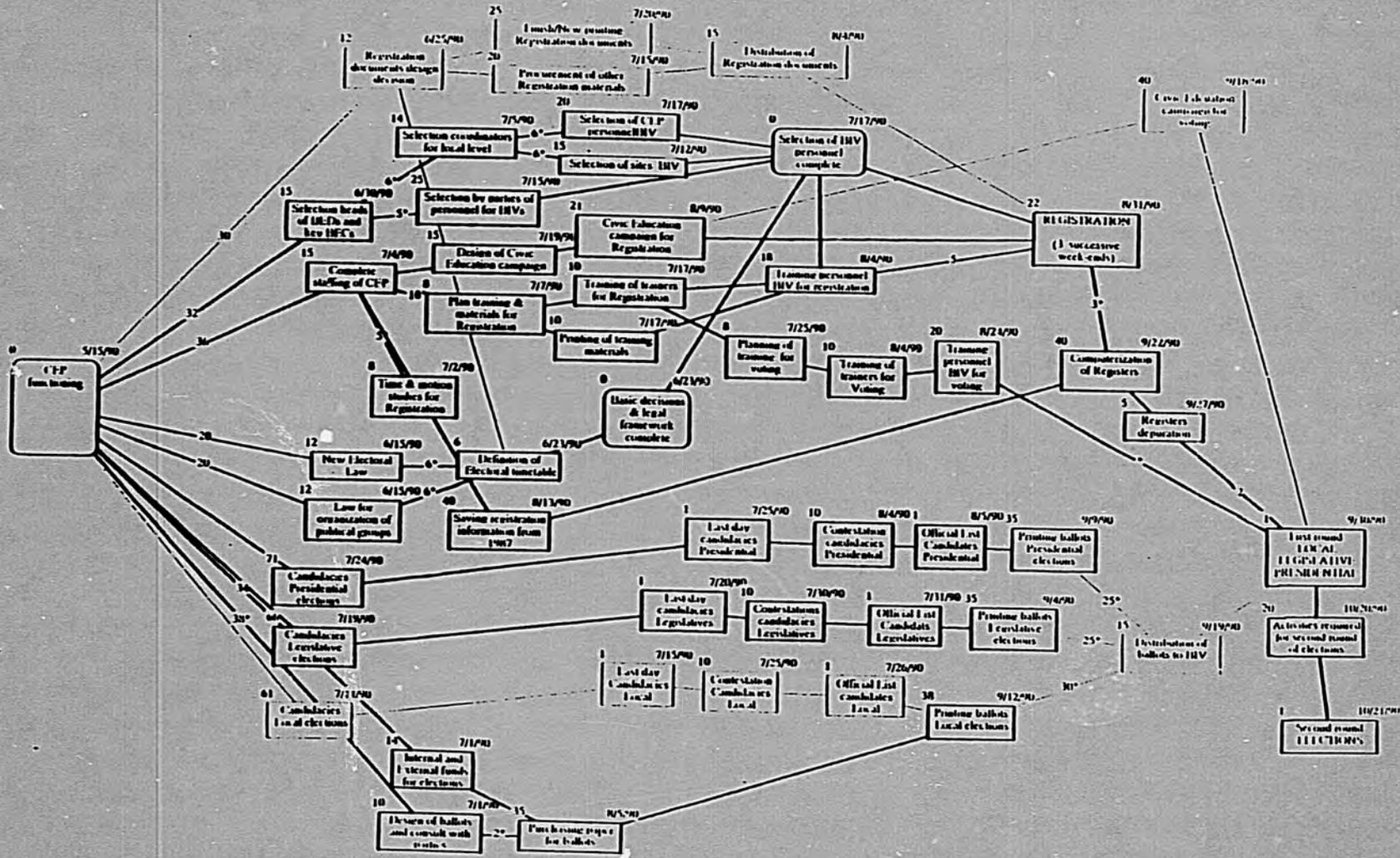
(88) The Grand Total US\$ funding of \$6,298,075 does not include the services of a PSC Coordinator (\$75,000) and a project audit (\$25,000).

Table 1. 1990 Elections
Implementation Schedule



1990

Ball 1 1990 Elections
 F1K1 Class C
 (Based on UN Technical Analysis)



for

COOPERATIVE AGREEMENT WITH IFESATTACHMENT 1
PROGRAM DESCRIPTIONA. Title

Haiti Election Assistance

B. Objective, Purpose and Goal

The Agreement objective is to enable the CEP (Provisional Electoral Council) to plan and implement the technical and operational aspects of Haiti's 1990 elections. The Agreement purpose is to support elections management assistance which will enable the CEP to organize and hold free and fair elections. The broad goal toward which this Agreement contributes is a successful democratic transition in Haiti.

C. Background

As the civilian Transitional Government proceeds with the 1990 elections, it faces formidable financial challenges. The total cost of the elections effort is estimated at about \$10.0 million. This figure is consistent with our experience in 1987, as well as the findings of the UN elections team that recently visited Haiti. Many of these costs require foreign exchange. In addition, the CEP will be in need of both full-time, on-site technical assistance and targeted, short-term technical assistance to facilitate planning and implementing efficient and credible elections. This Agreement will help finance dollar and local currency costs of elections-related commodities, technical assistance, and training.

Due to the uncertainties surrounding implementation of aspects of the Electoral Law, and the level and nature of other donor funding for the electoral process, the description and schedule of activities to be undertaken (see D. and E. below) is illustrative and may require adjustment several times over the life of the Agreement. Other donor funding is likely to be provided from Canada, France, and other bilateral donors, as well as the U.N. and the OAS. In addition, complementary A.I.D. support for CEP operating costs may also be provided.

The Agreement's Substantial Involvement Understandings (Attachment 3) include clauses which address the need for regular contact with USAID/Haiti and other donors and for careful attention to the need to revise implementation planning subject to changing circumstances.

D. Activities to be Undertaken

Elections assistance will be provided in the following major activity areas:

1. Elections Technical Assistance

IFES will prepare an initial needs assessment of all critical elements for Haiti's 1990 elections, which includes recommendations concerning the electoral law, voter registration, role of different categories of observers, availability and use of election commodities, selection of poll workers, training requirements, voter education and motivation, systems management, transportation requirements, ballot design, polling place procedures, and counting and certification of results. The assessment will be developed in close consultation with the CEP. This assessment will be used by IFES to develop a work plan which includes a time line for implementation of each activity area.

General, ongoing technical assistance as well as targeted, short term technical assistance in a wide range of topics related to election requirements will be provided to the CEP, depending on needs identified by the CEP. Assistance will be provided in such areas as transportation of election materials and personnel, voter registration, ballot design, operation of voting tables, method of selecting officials at the voting tables, skills required by poll workers, role of party observers, role of international observers, counting and certification of results. In addition, management assistance will be provided in the areas of budgeting, resource management, data processing, logistics, and operations planning. IFES will assist, as needed, with development of training for CEP personnel; development of a public information campaign; elections commodity product design, handling and distribution; and other elections-related topics.

2. Training of CEP Staff and Election Workers

Training will be supported for CEP staff at headquarters and in the field, poll workers, and others working at polling places. Curricula will be developed jointly with CEP staff. IFES will train trainers who are working with the CEP or for local organization(s), and will provide financial support for training, as needed. Subgrants (or contracts) with local organizations may be funded by IFES in order to assist with this activity area.

37'

Based on IFES experience, training for CEP staff and poll workers is likely to include: role of the CEP, review of the electoral law; creation and maintenance of voter registration lists; overall election procedures; role and duties of poll workers; ballot counting, reporting and certification; proper distribution, use and final disposition of elections commodities and voting materials; planning and implementation of ballot security measures; and administration of the election day process.

3. Civic Education and Popular Participation

IFES will assist the CEP and involved private organizations with curriculum design, training of trainers, and materials development for nationwide civic education to instruct and motivate the electorate with regard to democratic procedures in general, election participation, and the process of registration and voting. IFES will provide the CEP and involved Haitian organizations with training information and material it can access as a result of previous experience in elections civic education. Depending on funding needs, support under this component may include one or more subgrants (or contracts) with a local, private organization with expertise in human resources development.

4. Procurement of Elections Commodities

IFES will develop specifications (and design, as required), source and procure elections commodities required by the CEP, including but not limited to registration books and cards, indelible ink, ballot paper, ballot boxes, locks for ballot boxes, voting booths, communications equipment, computer hardware and software. The use of practical, efficient and cost effective commodities will be encouraged. IFES will use its computerized data base which includes information on suppliers of elections commodities. All procurement will be on a competitive basis.

E. Implementation Plan

IFES will provide ongoing technical assistance and administrative backup; locate and arrange for specialized technical assistance and training support; conduct procurement planning and undertake procurement of elections commodities; and, as needed, undertake sub-grants and contracts with organizations able to assist with elections-related activities. IFES will establish an office in Port au Prince to facilitate the implementation of the activities described in this Program Description. The office will operate until after completion of the Presidential and Legislative elections.

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Project staff will include a Haiti-based full-time project coordinator who is skilled in elections operations and financial management, and a U.S. based project manager with strong credentials in elections organization. The U.S. based project manager will work an average of 12 days per month on this project and spend between eight and ten working days a month in Haiti. These project staff will be supplemented, as needed, by short term technical assistance. An IFES Project Assistant will devote 10 days per month to the project, and IFES will hire a full time Administrative Assistant for the project who has experience in procurement, financial management and project administration.

The local coordinator will work in conjunction with and under the supervision of the U.S.-based project manager. The local coordinator will assist the CEP on a day-to-day basis, in such areas as operational planning and logistics, communications planning, information systems development and management, and budget analysis. The U.S.-based project manager will work with the local coordinator, and short term technical assistance as needed, in such areas as development of CEP training, civic education/public information; use of appropriate technology in design of elections commodities; voter registration procedures; logistics for elections material and personnel; ballot design; polling place procedures; poll worker task definition; role of various types of observer groups; and vote counting and certification. The initial needs assessment will be directed by the U.S. project manager.

F. Illustrative Outputs

Because of uncertainties surrounding key budget and implementation decisions which remain to be made by the CEP, and as-yet uncommitted support from other donors, the following list of outputs must be considered illustrative. Numerical targets have been calculated conservatively.

| <u>Output</u> | <u>Target</u> |
|--|---------------|
| Improved CEP Operations | X |
| Cost-effective Computerized Register | X |
| Reliable, Country-wide Communications System | X |
| Improved Voter Registration and Balloting Procedures | X |
| Trainers Trained | 260 |
| People Reached By Civic Education | 2,000,000 |
| Poll Workers Trained | 6,000 |

G. Evaluation

Funds are included in this Agreement for an evaluation of the activities undertaken during the life of the Agreement. The scope of work for this evaluation will address: (a) activities undertaken vs. planned, and factors contributing to differences; (b) effectiveness of coordination of inputs provided under this Agreement with those provided by other donors; (3) usage made and location of key commodities funded under the Agreement; (4) effectiveness of Agreement activities in contributing to objective, purpose and goal as stated in Section B., above, constraints met, and reasons for constraints; (5) applicability to other country settings of provision of multi-faceted elections assistance an electoral council by U.S. private organization, as funded under this Agreement.

H. Audit

Funds are included in this Agreement for direct incremental costs for audit of this Agreement in connection with the Recipient's annual audit as required by OMB Circular A133.

I. Reporting

The Recipient will provide USAID/Haiti with the following reports:

--The initial needs assessment and resulting work plan;

- 40 -

--A monthly narrative report which summarizes activities undertaken during the previous month and planned for the next month, by type of activity as described in D., above, including factors which resulted in changes from previous plans;

--A monthly financial report which reports status of funds advanced, and summarizes expenditures made and funds unexpended. (This is in addition to reporting required under Letter of Credit payment procedures.);

--Any audits of the Agreement;

--The project evaluation and a final report summarizing activities under the Agreement, no later than 60 days after termination of the Agreement.

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

LAC-IEE-90-43

ENVIRONMENTAL THRESHOLD DECISION

| | |
|---------------------------------------|--|
| <u>Project Location</u> | : Haiti |
| <u>Project Title</u> | : Elections Management Assistance |
| <u>Project Number</u> | : 521-0232 |
| <u>Funding</u> | : \$6.0 million |
| <u>Life of Project</u> | : Two years (FY 90-91) |
| <u>IEE Prepared by</u> | : Michelet Fontaine, ARDO Mission Environmental Officer |
| <u>Recommended Threshold Decision</u> | : Categorical Exclusion |
| <u>Bureau Threshold Decision</u> | : Concur with Recommendation |
| Comments | : None |
| Copy to | : Franz Herder, Director USAID/Haiti |
| Copy to | : Rosalie Fanale, USAID/Haiti |
| Copy to | : Michelet Fontaine, USAID/Haiti |
| Copy to | : Dianne Blane, LAC/DR/CAR |
| Copy to | : REA/CAR |
| Copy to | : IEE File |

John O. Wilson Date JUL 24 1990

John O. Wilson
Deputy Chief Environmental Officer
Bureau for Latin America
and the Caribbean

ENVIRONMENTAL DETERMINATION

Project Location: Haiti

Project Title and Number: Elections Management Assistance
(521-0232)

Funding: ESF -- \$3.0 million; DA -- \$3.0 million

Project Description: The goal of the Project is to support Haitian efforts at all levels to attain a constitutional form of government. The Project purpose is to provide financial and technical assistance to the Provisional Electoral Council and related organizations so they can contribute to the process of carrying out free, fair, and credible democratic elections in Haiti.

Statement of Categorical Exclusion: It is the opinion of USAID/Haiti that the project does not require an Initial Environmental Examination, because its activities are within the class of actions described in Section 216.2, paragraph (C) (2) (1) of 22 CFR part 216 on "Categorical Exclusions".

Concurrence of Mission Director:

I have reviewed the above statement and concur in the determination that the Haiti Elections Management Assistance Project does not require an Initial Environmental Examination.

Date: _____

Gerald H. Zarr
Director

CERTIFICATION PURSUANT TO SECTION 611 (E) OF THE FOREIGN
ASSISTANCE ACT OF 1961, AS AMENDED

I, Gerald H. Zarr, as Mission Director of the Agency for International Development Mission to Haiti, having taken into account, among other things, the maintenance and utilization of projects previously financed by USAID/Haiti, do hereby certify that in my judgement the Provisional Electoral Council of Haiti and the implementing U.S. organizations have the human resources capability to effectively utilize the A.I.D.-provided funds and to establish the necessary systems to carry out future electoral processes in Haiti.

Gerald H. Zarr
Mission Director
USAID/Haiti

Date: _____

The Design Team was composed of:

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The Design Team interviewed the following persons:

1. Mr. Reinhart W.A. Helmke
UNDP Representative, Haiti
2. Mr. Pierre F. Cote
General Director of the Quebec Elections
OAS Representative to Haiti in charge of elections.
3. Mr. Jean Robert Sabalat
President of the Provisional Electoral Council (CEP)
4. Mr. Jean Claude Bodel
United Nations Mission to Haiti in charge of Time and Motion
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5. Dr. Michael White
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6. Ambassador Alvin Adams
American Embassy, Port Au Prince
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American Embassy, Port Au Prince

5C(2) - PROJECT CHECKLIST

Listed below are statutory criteria applicable to projects. This section is divided into two parts. Part A includes criteria applicable to all projects. Part B applies to projects funded from specific sources only: B(1) applies to all projects funded with Development Assistance; B(2) applies to projects funded with Development Assistance loans; and B(3) applies to projects funded from ESF.

CROSS REFERENCES: IS COUNTRY CHECKLIST UP TO DATE? HAS STANDARD ITEM CHECKLIST BEEN REVIEWED FOR THIS PROJECT?

Yes, completed with FY 90 CLASP II Project Paper. Yes

A. GENERAL CRITERIA FOR PROJECT

FY 1990 Appropriations Act Sec. 523:

FAA Sec. 634A. If money is to be obligated for an activity not previously justified to Congress, or for an amount in excess of amount previously justified to Congress, has Congress been properly notified?

Congressional Notification cleared August 2, 1990

FAA Sec. 611(a). Prior to an obligation in excess of \$500,000, will there be: (a) engineering, financial or other plans necessary to carry out the assistance; and (b) a reasonably firm estimate of the cost to the U.S. of the assistance?

YES

FAA Sec. 611(a)(2). If legislative action is required within recipient country with respect to an obligation in excess of \$500,000, what is the basis for a reasonable expectation that such action will be completed in time to permit orderly accomplishment of the purpose of the assistance?

N/A

4. FAA Sec. 611(b); FY 1990 Appropriations Act Sec. 501. If project is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U.S.C. 1962, et seq.)? (See A.I.D. Handbook 3 for guidelines.)

N/A
5. FAA Sec. 611(e). If project is capital assistance (e.g., construction), and total U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability to maintain and utilize the project effectively?

N/A
6. FAA Sec. 209. Is project susceptible to execution as part of regional or multilateral project? If so, why is project not so executed; information and conclusion whether assistance will encourage regional development programs.

Project is not a regional effort.
7. FAA Sec. 601(a). Information and conclusions on whether projects will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

Not directly. A successful democratic transition should, however, create the conditions for improvements in trade, private investment, competition and technical efficiency
8. FAA Sec. 601(b). Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

N/A

9. FAA Secs. 612(b), 636(h). Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars. GOH is contributing about \$1.1 million to the elections effort. This is an appropriate level, given INF-impose budgetary restrictions.
10. FAA Sec. 612(d). Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release? NO
11. FY 1990 Appropriations Act Sec. 521. If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity? N/A
12. FY 1990 Appropriations Act Sec. 547. Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff Schedule "Section 807," which allows reduced tariffs on articles assembled abroad from U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel? NO
13. FAA Sec. 119(g)(4)-(6) & (10). Will the assistance: (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other a) NO
b) NO

- wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas?
- c) NO
d) NO
14. FDA Sec. 121(d). If a Sahel project, has a determination been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of project funds (either dollars or local currency generated therefrom)? N/A
15. FY 1990 Appropriations Act, Title II, under heading "Agency for International Development." If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government? N/A
16. FY 1990 Appropriations Act Sec. 537. If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of A.I.D., and is the PVO registered with A.I.D.? N/A
17. FY 1990 Appropriations Act Sec. 516. If funds are being obligated under an appropriation account to which they were not appropriated, has the President consulted with and provided a written justification to the House and Senate Appropriations Committees and has such obligation been subject to regular notification procedures? N/A

18. State Authorization Sec. 139 (as interpreted by conference report). Has confirmation of the date of signing of the project agreement, including the amount involved, been cabled to State L/T and A.I.D. LEG within 60 days of the agreement's entry into force with respect to the United States, and has the full text of the agreement been pouched to those same offices? (See Handbook 3, Appendix 6G for agreements covered by this provision).
- Project does not fund an agreement covered by this provision.
19. Trade Act Sec. 5164 (as interpreted by conference report), amending Metric Conversion Act of 1975 Sec. 2. Does the project use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate?
20. FY 1990 Appropriations Act, Title II, under heading "Women in Development." Will assistance be designed so that the percentage of women participants will be demonstrably increased?
- Women are anticipated to be equal participants in the Electoral process.
21. FY 1990 Appropriations Act Sec. 592(a). If assistance is furnished to a foreign government under arrangements which result in the generation of local currencies, has A.I.D. (a) required that local currencies be deposited in a separate account established by the recipient government, (b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of A.I.D. and that government to monitor and account for deposits into and disbursements from the separate account?
- N/A, since no local currencies will be generated.

Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government?

Has A.I.D. taken all appropriate steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes?

N/A

If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government?

N/A

B. FUNDING CRITERIA FOR PROJECT

1. Development Assistance Project Criteria

a. FY 1990 Appropriations Act Sec. 546 (as interpreted by conference report for original enactment). If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities: (1) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U.S. exporters of a similar agricultural commodity; or (2) in support of research that is intended primarily to benefit U.S. producers?

N/A

b. FAA Sec. 107. Is special emphasis placed on use of appropriate technology (defined as relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?

NO

c. FAA Sec. 281(b). Describe extent to which the activity recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civic education and training in skills required for effective participation in governmental and political processes essential to self-government.

A successful democratic transition is the key to such recognition and utilization of Haiti's human resources. Project directly supports civic education and training for democratic participati

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d. FAA Sec. 101(a). Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase of productive capacities and self-sustaining economic growth?

This should be the ultimate outcome of a successful democratic transition.

e. FAA Secs. 102(b), 111, 113, 281(a). Describe extent to which activity will:
(1) effectively involve the poor in development by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U.S. institutions;
(2) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward a better life, and otherwise encourage democratic private and local governmental institutions; (3) support the self-help efforts of developing countries; (4) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (5) utilize and encourage regional cooperation by developing countries.

The electoral process directly involves all Haitians and should lead to economic growth at the local level and strengthened self-help efforts of Haitian men and women.

f. FAA Secs. 103, 103A, 104, 105, 106, 120-21; FY 1990 Appropriations Act, Title II, under heading "Sub-Saharan Africa, DA." Does the project fit the criteria for the source of funds (functional account) being used?

YES

g. FY 1990 APPROPRIATIONS ACT, TITLE II, under heading "Sub-Saharan Africa, DA." Have local currencies generated by the sale of imports or foreign exchange by the government of a country in Sub-Saharan Africa from funds appropriated under Sub-Saharan Africa, DA been deposited in a special account established by that government, and are these local currencies available only for

N/A

use, in accordance with an agreement with the United States, for development activities which are consistent with the policy directions of Section 102 of the FAA and for necessary administrative requirements of the U. S. Government?

h. FAA Sec. 107. Is emphasis placed on use of appropriate technology (relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?

NO

i. FAA Secs. 110, 124(d). Will the recipient country provide at least 25 percent of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or is the latter cost-sharing requirement being waived for a "relatively least developed" country)?

This is not a bilateral project and Haiti is a RLDC.

j. FAA Sec. 128(b). If the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, has it been designed and will it be monitored to ensure that the ultimate beneficiaries are the poor majority?

N/A

k. FAA Sec. 281(b). Describe extent to which program recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civil education and training in skills required for effective participation in governmental processes essential to self-government.

l. FY 1990 Appropriations Act, under heading "Population, DA," and Sec. 535. Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions?

NO

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Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations?

NO

Are any of the funds to be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization?

NO

Will funds be made available only to voluntary family planning projects which offer, either directly or through referral to, or information about access to, a broad range of family planning methods and services?

Not a population project.

In awarding grants for natural family planning, will any applicant be discriminated against because of such applicant's religious or conscientious commitment to offer only natural family planning?

N/A

Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning?

NO

m. FAA Sec. 601(e). Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

YES

n. FY 1990 Appropriations Act Sec. 579. What portion of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, colleges and universities having a student body in which more than 40 percent of the students are Hispanic Americans, and

None. Such arrangements are not appropriate for project activities.

private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?

o. FAA Sec. 118(c). Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16? Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does the assistance, to the fullest extent feasible: (1) stress the importance of conserving and sustainably managing forest resources; (2) support activities which offer employment and income alternatives to those who otherwise would cause destruction and loss of forests, and help countries identify and implement alternatives to colonizing forested areas; (3) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management; (4) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices; (5) help conserve forests which have not yet been degraded by helping to increase production on lands already cleared or degraded; (6) conserve forested watersheds and rehabilitate those which have been deforested; (7) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing; (8) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation; (9) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected areas a

YES

Yes, to the fullest extent feasible.

condition of support for activities involving forest clearance or degradation, and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas; (10) seek to increase the awareness of U.S. Government agencies and other donors of the immediate and long-term value of tropical forests; and (11) utilize the resources and abilities of all relevant U.S. government agencies?

p. FAA Sec. 118(c)(13). If the assistance will support a program or project significantly affecting tropical forests (including projects involving the planting of exotic plant species), will the program or project: (1) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land, and (2) take full account of the environmental impacts of the proposed activities on biological diversity?

N/A

q. FAA Sec. 118(c)(14). Will assistance be used for: (1) the procurement or use of logging equipment, unless an environmental assessment indicates that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems; or (2) actions which will significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas?

NO; NO

r. FAA Sec. 118(c)(15). Will assistance be used for: (1) activities which would result in the conversion of forest lands to the rearing of livestock; (2) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undergraded forest lands; (3) the

NO

colonization of forest lands; or (4) the construction of dams or other water control structures which flood relatively undergraded forest lands, unless with respect to each such activity an environmental assessment indicates that the activity will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?

s. FY 1990 Appropriations Act Sec. 534(a). If assistance relates to tropical forests, will project assist countries in developing a systematic analysis of the appropriate use of their total tropical forest resources, with the goal of developing a national program for sustainable forestry? N/A

t. FY 1990 Appropriations Act Sec. 534(b). If assistance relates to energy, will such assistance focus on improved energy efficiency, increased use of renewable energy resources, and national energy plans (such as least-cost energy plans) which include investment in end-use efficiency and renewable energy resources? N/A

Describe and give conclusions as to how such assistance will: (1) increase the energy expertise of A.I.D. staff, (2) help to develop analyses of energy-sector actions to minimize emissions of greenhouse gases at least cost, (3) develop energy-sector plans that employ end-use analysis and other techniques to identify cost-effective actions to minimize reliance on fossil fuels, (4) help to analyze fully environmental impacts (including impact on global warming), (5) improve efficiency in production, transmission, distribution, and use of energy, (6) assist in exploiting nonconventional renewable energy resources, including wind, solar, small-hydro, geo-thermal, and advanced

biomass systems, (7) expand efforts to meet the energy needs of the rural poor, (8) encourage host countries to sponsor meetings with United States energy efficiency experts to discuss the use of least-cost planning techniques, (9) help to develop a cadre of United States experts capable of providing technical assistance to developing countries on energy issues, and (10) strengthen cooperation on energy issues with the Department of Energy, EPA, World Bank, and Development Assistance Committee of the OECD.

u. FY 1990 Appropriations Act Title II under heading "Sub-Saharan Africa, DA"

(as interpreted by conference report upon original enactment). If assistance will come from the Sub-Saharan Africa DA account, is it: (1) to be used to help the poor majority in Sub-Saharan Africa through a process of long-term development and economic growth that is equitable, participatory, environmentally sustainable, and self-reliant; (2) being provided in accordance with the policies contained in section 102 of the FAA; (3) being provided, when consistent with the objectives of such assistance, through African, United States and other PVOs that have demonstrated effectiveness in the promotion of local grassroots activities on behalf of long-term development in Sub-Saharan Africa; (4) being used to help overcome shorter-term constraints to long-term development, to promote reform of sectoral economic policies, to support the critical sector priorities of agricultural production and natural resources, health, voluntary family planning services, education, and income generating opportunities, to bring about appropriate sectoral restructuring of the Sub-Saharan African economies, to support reform in public administration and finances and to establish a favorable environment for individual enterprise and self-sustaining development, and to take

N/A

into account, in assisted policy reforms, the need to protect vulnerable groups; (5) being used to increase agricultural production in ways that protect and restore the natural resource base, especially food production, to maintain and improve basic transportation and communication networks, to maintain and restore the renewable natural resource base in ways that increase agricultural production, to improve health conditions with special emphasis on meeting the health needs of mothers and children, including the establishment of self-sustaining primary health care systems that give priority to preventive care, to provide increased access to voluntary family planning services, to improve basic literacy and mathematics especially to those outside the formal educational system and to improve primary education, and to develop income-generating opportunities for the unemployed and underemployed in urban and rural areas?

v. International Development Act Sec. 711, FAA Sec. 462. If project will finance a debt-for-nature exchange, describe how the exchange will support protection of: (1) the world's oceans and atmosphere, (2) animal and plant species, and (3) parks and reserves; or describe how the exchange will promote: (4) natural resource management, (5) local conservation programs, (6) conservation training programs, (7) public commitment to conservation, (8) land and ecosystem management, and (9) regenerative approaches in farming, forestry, fishing, and watershed management.

N/A

w. FY 1990 Appropriations Act Sec. 515. If debt/reob authority is sought to be exercised in the provision of DA assistance, are the funds being obligated for the same general purpose, and for countries within the same region as originally obligated, and have the House and Senate Appropriations Committees been properly notified?

YES

2. Development Assistance Project Criteria
(Loans Only)

a. FAA Sec. 122(b). Information and conclusion on capacity of the country to repay the loan at a reasonable rate of interest.

b. FAA Sec. 620(d). If assistance is for any productive enterprise which will compete with U.S. enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20 percent of the enterprise's annual production during the life of the loan. Or has the requirement to enter into such an agreement been waived by the President because of a national security interest?

c. FAA Sec. 122(b). Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities?

3. Economic Support Fund Project Criteria

a. FAA Sec. 531(a). Will this assistance promote economic and political stability? To the maximum extent feasible, is this assistance consistent with the policy directions, purposes, and programs of Part I of the FAA?

YES, YES

b. FAA Sec. 531(a). Will this assistance be used for military or paramilitary purposes?

NO

c. FAA Sec. 609. If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made?

No such proceeds will be generated.

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