

~~APPENDIX 3A, Attachment 1~~

L. Smith

PD-ABD-247
65991

APPENDIX 3A, Attachment 1
Chapter 3, Handbook 3 (TM 3:43)

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT DATA SHEET

1. TRANSACTION CODE: **A** (A = Add, C = Change, D = Delete)
Amendment Number: _____
DOCUMENT CODE: **3**

COUNTRY/ENTITY: **Haiti**
3. PROJECT NUMBER: **521-0236**

4. BUREAU/OFFICE: **USAID/Haiti** [5]
5. PROJECT TITLE (maximum 40 characters): **Democracy Enhancement**

6. PROJECT ASSISTANCE COMPLETION DATE (PACD): MM DD YY **01 6 31 09 5**
7. ESTIMATED DATE OF OBLIGATION (Under "B" below, enter 1, 2, 3, or 4)
A. Initial FY **911** B. Quarter **3** C. Final FY **915**

8. COSTS (\$000 OR EQUIVALENT \$1 =)

A. FUNDING SOURCE	FIRST FY 91			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	(2,300)	(500)	(2,800)	(9,595)	(1,405)	(11,000)
(Loan)	()	()	()	()	()	()
Other U.S. 1						
2						
Host Country		2,050	2,050		13,450	13,450
Other Donor(s)						
TOTALS	2,300	2,550	4,850	9,595	14,855	24,450

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION/PURPOSE CODE	B. PRIMARY TECH. 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) EHR						300		1,500	
(2) PSEE						2,500		9,500	
(3)									
(4)									
TOTALS						2,800		11,000	

10. SECONDARY TECHNICAL CODES (maximum 8 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 480 characters)

To expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the Constitution.

14. SCHEDULED EVALUATIONS: Interim MM YY **01 5 9 13** Final MM YY **03 9 5**
15. SOURCE/ORIGIN OF GOODS AND SERVICES: 000 941 Local Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a _____ page PP Amendment.)

USAID/Haiti Controller Clearance
I have reviewed and approved the methods of implementation and financing for this PP.

[Signature]
For Nesterczuk, Mission Controller

17. APPROVED BY: **David Cohen**, Director, USAID/Haiti
Date Signed: MM DD YY _____
18. DATE DOCUMENT RECEIVED IN AID/W. OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM DD YY _____

PROJECT AUTHORIZATION

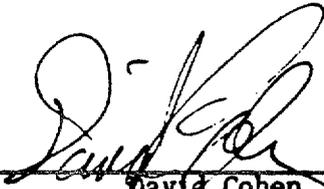
Name of Country: Haiti
Title of Project: Democracy Enhancement Project
Number of Project: 521-0236

1. Pursuant to Chapter 1, Part 1 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Democracy Enhancement Project (the "Project") for Haiti. The Project involves planned obligations of not-to-exceed Eleven Million Dollars (\$11,000,000) in grant funds over a four year period from the date of initial 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 four years from the date of authorization.

2. The project includes support to the following five broad groups to enhance the effectiveness of new constitutional political structures and private participatory democratic organizations: (a) the two houses of the National Assembly; (b) political parties, which are non-governmental by mandate but whose members actively participate in government; (c) the Permanent Electoral Council, which will guarantee political participation through the planning and conduct of all future elections in the country; (d) the diverse Haitian independent sector, which represents and serves numerous citizen interest groups around the country, including but not limited to labor, the media, women, and membership-based associations; and (e) local government, including departmental, communal (municipal), and communal section bodies in selected locations.

3. Goods and services financed by A.I.D. under the project shall have their source and origin in A.I.D. geographic code 000 or in Haiti, except as A.I.D. may otherwise agree in writing.

4. The project 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 such terms and conditions as A.I.D. may deem appropriate.



David Cohen
Director, USAID/Haiti

Date

Drafted:	PDI: GSpence		Date: 5/28/91
Cleared:	PDI: RFanale		Date: 5/28/91
	PO: LDowning		Date: 5/28/91
	HIDO: KPoe		Date: 5/28/91
	CO: MNapier		Date: 5/28/91
	CONT: INesterczuk		Date: 5/30/91
	D/DIR: FHerder		Date: 5-31-91

ACTION MEMORANDUM FOR THE MISSION DIRECTOR, USAID/HAITI

DATE: 31 May 1991

FROM: Rosalie Fanale, Chief, Project Development and Implementation Office

SUBJECT: Democracy Enhancement Project (521-0236) -- Authorization

I. PROBLEM: Your approval is requested for the Democracy Enhancement (521-0236) project, with total grant funding of \$11,000,000 over four years from the Education and Human Resources (EHR) and Private Sector, Environment and Energy (PSEE) accounts, to carry out provisions of Section 105 and 106 of the FAA, as amended.

II. DISCUSSION

A. Project Description

The goal of the Democracy Enhancement Project is to contribute to the development of a constitutional, stable, open democratic society in Haiti. Its purpose is to expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the constitution. The project is designed to foster democratic values and practices by working with constitutional structures and independent organizations that represent key interest groups in the Haitian population. It is planned that the project will last four years, with a PACD of June 30, 1995.

Because of the evolving nature of the democratic process in Haiti, the project will be very broad in focus. It will include components which support the following five groups.

The two houses of the National Assembly. The anticipated output of this component is increased efficiency of administrative systems in both chambers of the National Assembly by 1995.

Political parties. The anticipated output of this component is that a number of political parties will maintain offices nationally, regionally, and at the grass roots level, and increase their institutional identity by the end of the project.

The Permanent Electoral Council. The anticipated output of this component is that the council is established, functioning and using a valid Electoral Registry as a basis for elections.

Independent sector organizations and union confederations. The anticipated output of this component is that the capabilities of 10-15 independent sector organizations and 4-5 union confederations will be strengthened to support effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education.

Local governments. The anticipated output of this component is that up to 350 local government bodies will have improved organizational and individual skills in planning, resource generation and allocation, and constituent participation.

It is planned that the Democracy Enhancement Project will be implemented through two large umbrella grants to U.S. private voluntary organizations, other grants/buy-ins, and a small amount of direct A.I.D. procurements. One of the umbrella grants will be with a competitively selected organization which will serve as an umbrella management unit (UMU) for support to the independent sector and local governments. A grant to the National Endowment for Democracy will support political party and labor union development. The National Assembly will initially be supported through a buy-in to a centrally-funded project with the Consortium for Legislative Development. USAID/Haiti will initiate direct A.I.D. technical assistance and training support (through Indefinite Quantity Contracts, buy-ins and other mechanisms) for the CEP and other project needs, and for project administration/monitoring, evaluation and audit.

The project will be managed by the Chief of the Human and Institutional Development Office (HIDO), who will supervise three full-time project-funded PSC project coordinators in a Democracy Unit within HIDO. Given the high level of political sensitivity surrounding the project, HIDO will manage the project in close collaboration with the U.S. Embassy Political Section and USIS. An active Project Committee will also be maintained to consult and advise on project issues on a periodic basis.

B. Financial Summary

A.I.D.-financed inputs will include technical assistance, operational support, training and a small amount of commodity procurement. The total A.I.D. Development Assistance (D.A.) funding is estimated at \$11 million, of which an estimated \$6.5 million will go to the competitively selected UMU and an estimated \$2.1 million will go to the National Endowment for Democracy. The project will be incrementally funded. Planned FY 91 obligations are \$2.8 million. Development assistance funding will be complemented with local currency (lc) generations totalling an estimated \$13.45 million over the life of the project. Local currency funds will be used to support a portion of the project's training, technical assistance and other support to the independent sector, the National Assembly and local governments.

A summary illustrative project budget by component category is as follows (in \$000):

<u>Components</u>	<u>D.A.</u>		<u>LC Generations</u>
	<u>FX</u>	<u>LC</u>	
1. National Legislature	864	40	3,500
2. Parties/Labor (NED)			
NRI Sub-grant	800		800
NDI Sub-grant	800		800
Labor Sub-grant	500		400
3. Electoral Council			
Equipment Storage		12	
Technical Assistance	252		
4. Independent Sector/ Local Government			
UMU Management/T.A.	2,048	1,100	
Sub-grants (NGOs)	2,250		2,250
Local Government	1,000		5,700
Audit		100	
6. USAID/Haiti Oversight			
PSCs/Short-term T.A. and Training	905	140	
Evaluation	125		
Audit	50		
<u>Subtotal</u>	<u>9,594</u>	<u>1,392</u>	<u>13,450</u>
TOTAL	24,436	Rounded to 24,450	

C. Findings

The project paper and its analyses verify the administrative, financial, economic and social soundness of the project design. Environmental analysis requirements have been met. A Categorical Exclusion was approved as part of the PID-Like document.

The implementation plan included in the paper has been carefully reviewed by the Project Committee. The Committee has concluded that the plan is suitable for the proposed initial activities. Given the evolving local environment in which the project will be implemented, the project design includes the built-in flexibility to make project implementation adjustments in response to the changing climate for democracy enhancing activities.

Based on the information and analyses contained in the PP, financial and other planning requirements are considered satisfied. The Mission Review, held on April 5, 1991, resulted in a recommendation to proceed with approval and authorization. There are no outstanding issues.

D. Justification to the Congress. The Congressional Notification for this project was submitted to the Hill on May 16, 1991 and the waiting period has expired without objection.

E. Authority. PID approval authority was delegated to the Mission on March 5, 1991 at a meeting chaired by the Acting Director, LAC/DR (see 90 State 083769). A PID-like document was approved on May 21, 1991. Existing LAC Delegations of Authority to the field (88 State 417937) (Section II of Delegation) give you the authority to authorize projects of this size and duration.

III. RECOMMENDATION: That you sign the attached Project Paper Face sheet and Project Authorization, thereby approving the Democracy Enhancement (521-0236) project, with life-of-project funding of \$11,000,000.

Attachments: Project Authorization
Project Paper

Drafted: PDI: GSpence/RFanale
Cleared: PO: LDowning
HIDO: KPoe
CO: MNapier
CONT: INesterczuk
D/DIR: FHerder

<u>RF</u>	Date:	<u>5/25/91</u>
<u>RF</u>	Date:	<u>5/28/91</u>
<u>(draft)</u>	Date:	<u>5/29/91</u>
<u>RF</u>	Date:	<u>5/30/91</u>
<u>RF</u>	Date:	<u>5-31-91</u>

**DEMOCRACY ENHANCEMENT PROJECT
(521-0236)
PROJECT PAPER**

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CUBA

HAITI

- International boundary
- - - Département boundary
- ⊕ National capital
- Département capital
- Railroad
- Road

0 10 20 30 Miles
0 10 20 30 Kilometers



GLOSSARY OF TERMS USED

A.I.D.	:	U.S. Agency for International Development
ADF	:	Americas Development Foundation
AHJ	:	Association of Haitian Journalists
AIFLD	:	American Institute for Free Labor Development
ANDP	:	National Alliance for Democracy and Progress
APA	:	Agricultural Producers Association
CASEC	:	Administrative Council of Communal Section
CASER	:	Administrative Council of Rural Section
CATH	:	Central Autonome des Travailleurs Haitiens
CDRH	:	Human Resources Development Center
CEP	:	Provisional or Permanent Electoral Council
CHADEL	:	Haitian Center for Human Rights
Chef de Section:	:	Military Rural Section Chief
CNEH	:	Confederation Nationales des Enseignants Haitiens
CONACOM	:	National Committee of the Congress of Democratic Movements
CTH	:	Confederation des Travailleurs Haitiens
DA	:	Development Assistance
EOPS	:	End of Project Status
FAC	:	French Aid and Cooperation
FHAF	:	Haitian Foundation for Aid to Women
FIOP	:	Form for Identification and Operation of Project
FIU	:	Florida International University
FNCD	:	National Front for Change and Democracy
FONHEP	:	Haitian Foundation for Private Education
FRLC	:	Federal Reserve Letter of Credit
FX	:	Foreign Exchange
FTUI	:	Free Trade Union Institute
GDP	:	Gross Domestic Product
GOH	:	Government of Haiti
HLC	:	Haitian Lawyers Committee
hougan	:	spiritual leader
HIDO	:	Human and Institutional Development Office
IFES	:	International Foundation for Electoral Systems
IHRED	:	Haitian Institute for Research and Development
IIBE	:	Incentives to Improve Basic Education
IQC	:	Indefinite Quantity Contract
kombite	:	traditional workgroup in rural Haiti
LAC	:	A.I.D.'s Bureau for Latin America and the Caribbean
Lavalas	:	Creole for flashflood; refers to movement led by Jean-Bertrand Aristide
LC	:	Local Currency
LOP	:	Life of Project
LT	:	Long Term

GLOSSARY OF TERMS USED (continued)

M&E	:	Monitoring and Evaluation system
MIDH	:	Movement for the Installation of Democracy in Haiti
NDI	:	National Democratic Institute for International Affairs
NEC	:	Not Elsewhere Cited
NED	:	National Endowment for Democracy
NGO	:	Non-Governmental Organization
NRI	:	National Republican Institute for International Affairs
OAS	:	Organization of American States
OGITH	:	Organisation Generale Independante des Travailleurs Haitiens
OMB	:	Office of Management and Budget
PACD	:	Project Assistance Completion Date
P.L. 480	:	Public Law 480, of the Agricultural Trade and Development Act of 1954
PANPRA	:	Haitian National Progressive Revolutionary Party
PD&S	:	Project Development and Support
PDI	:	Project Development and Implementation Office
PIO/T	:	Project Implementation Order/Technical Services
pm	:	Person Month
PP	:	Project Paper
ProAg	:	Project Agreement
PSC	:	Personal Services Contract
PUCH	:	Haitian Unified Communist Party
PVO	:	Private and Voluntary Organization
RFA	:	Request for Assistance
RIG	:	Regional Inspector General
ST	:	Short Term
SUNY	:	State University of New York
TA	:	Technical Assistance
Ti Legliz	:	Creole for little church; refers to popular church movement in Haiti
UMU	:	Umbrella Management Unit
UNDP	:	United Nations Development Program
UNESCO	:	United Nations Education, Scientific, and Cultural Organization
USAID,		
USAID/Haiti	:	A.I.D. Mission in Haiti
USIS	:	U.S. Information Service

DEMOCRACY ENHANCEMENT PROJECT
(521-0236)
PROJECT PAPER

PROJECT SUMMARY

With the recent inauguration of Haiti's first democratically elected government, there currently exists a window of opportunity to positively affect meaningful change in the Haitian social and political context. There is growing evidence that societies that value human rights, respect the rule of law, encourage pluralism and have open and accountable government institutions provide the best environment for economic development as well as for sustained democracy. Consistent with this finding, the Democracy Enhancement project has been designed to strengthen legislative and other constitutional structures, including local governments, as well as independent organizations which foster democratic values and participation in democratic decision making. It is a four year project with a budget of \$11 million in development assistance funds plus \$13.45 million in local currency generations.

The goal of the Democracy Enhancement project is to contribute to the development of a constitutional, stable, open democratic society in Haiti. Pursuit of this goal is based on three critical assumptions: 1) the democratically elected Government will endure and carry out its mandate according to the terms of the 1987 Constitution; 2) the U.S. Government will have access to and influence with the GOH; and 3) an aggressive project of the kind recommended will make a difference to the durability and effectiveness of the country's evolving democracy.

The project's purpose is to expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the Constitution. Achievement of this purpose implies that the following end-of-project status conditions will apply:

Constitutional structures at the national and selected departmental, communal and communal section levels will be functioning according to the Constitution.

Democratic political parties will have improved skills at functioning within legislative structures and as partisan non-governmental interest groups.

An increased number and type of independent sector institutions will be promoting citizen rights and responsibilities both for the general population and for selected groups for which AID has special concern.

Because of the evolving nature of the democratic process in Haiti, the project is very broad in focus. It includes components which will support five broad groups:

1. **The two houses of the National Assembly.** The anticipated output of this component will be increased efficiency of administrative systems in both chambers of the assembly.
2. **Political parties.** The anticipated output of this component will be that a number of political parties will maintain offices nationally, regionally, and at the grass roots level, and increase their institutional identity.
3. **The Permanent Electoral Council.** The anticipated output of this component will be that the council is established, functioning and using a valid electoral registry as a basis for elections.
4. **The Independent Sector.** The anticipated output of this component will be that the capabilities of 10-15 independent sector organizations and 4-5 union confederations will be strengthened to support effective and sustainable programs which enhance democratic values and pluralism through promoting free and independent media, access to justice, debate on democratic issues, and civic education.
5. **Local Government.** The anticipated output of this component will be that up to 350 local government bodies will have improved skills in planning resource generation and allocation, and constituent participation.

It is planned that the project will be implemented through two large umbrella grants to U.S. private voluntary organizations, other grants/buy-ins, and a small amount of other direct A.I.D. procurements. One of the umbrella grants will be with a competitively selected organization which will serve as an umbrella management unit (UMU) for support to the independent sector and local governments. A grant to the National Endowment for Democracy will support political party and labor union development. The National Assembly will initially be supported through a buy-in to a centrally-funded project with the Consortium for Legislative Development; channels for subsequent support to the Assembly will be decided during the initial years of implementation. USAID/Haiti will initiate direct A.I.D. contracts for technical assistance to the Permanent Electoral Council, for supplemental support to other project components, and for project monitoring, evaluation and audit.

A.I.D.-financed inputs will include technical assistance, operational support, training and a small amount of commodity procurement. The total A.I.D. Development Assistance funding is estimated at \$11 million, of which an estimated \$6.5 million will go to the competitively selected UMU and an estimated \$2.1 million will go to the National Endowment for Democracy. Development Assistance funds will be complemented over the life of the project with local currency generations totalling an estimated \$13.45 million.

The project has been designed with a built-in flexibility to respond to the changing social, institutional and political context for democracy-enhancing activities. Annual implementation reviews are scheduled over the life of the project to permit USAID/Haiti to assess the need for adjustments in emphasis, financing or implementation arrangements for project components. These reviews will form the basis for an anticipated annual adjustment in the project's implementation plan, budget and life-of-project targets.

1. PROJECT BACKGROUND AND RATIONALE

1.1 Introduction and Background

1.1.1 Introduction. On February 7, 1991, President Jean-Bertrand Aristide was sworn in as Haiti's first democratically elected president. Shortly thereafter, 27 Senators and 81 Deputies were sworn in as its first democratically elected National Assembly. An additional over 2,000 persons have since constituted Haiti's first credibly elected local government bodies, through formation of 565 communal section councils and 134 municipal councils. The basic and necessary structures to implement the terms of the 1987 Constitution are now in place.

The U.S. government provided significant support to the recent electoral processes, and now proposes to provide additional support to help the Haitian people consolidate the gains made. The Democracy Enhancement Project, described in the following pages, responds to the historic opportunity presented by those elections and the early days of the transition to a post-electoral democracy. The project constitutes our principal effort to advance the overriding objective of U.S. policy towards Haiti. We have as yet no basis for assuring political space, choice, and human liberties assured in a functioning democracy. The project proposes \$ 24.5 million dollars of technical assistance, training, limited commodity support, and program support sub-grants to enhance the constitutional structures that have been recently formed, while at the same time providing significant assistance to the independent sector necessary to

balance the tendencies of the state and to assure that civil society's opinions are heard. It represents the first formal step in USAID's commitment to what it hopes will be a fruitful process of collaboration in Haiti's democratic development. The strategy driving the project emphasizes flexibility, activism, and immediacy.

Because Haiti's democracy is only two months old, however, there exist a number of uncertainties which have militated against overly detailed project design. The new constitutional bodies are still in the process of defining their own organizational structures, and their linkages with each other. The relationship between the new legislative branch and the executive is slowly being defined. And the relationship between Haiti's strong independent sector and the new democratic government is undergoing scrutiny from both sides. It is a time of necessary, and productive, "shaking out," and an exciting time for all.

The Mission recognizes that this "shaking out" will move at a slow, and unsteady, pace. The project is thus presented as a flexible and responsive framework for U.S. assistance, with the explicit assumption that changes both in focus and in resource levels will be necessary as roles are further defined. The design provides for a number of entry points to different institutional "actors" in the democratic scene, with the recognition that some will evolve more quickly than others. The design recognizes that other actors may become important, and that some of those initially identified may merit less assistance than initially planned. The desired end is not simply more individuals who know about democracy, but rather an increase in the number and type of institutions that can channel constructive competition into pluralistic endeavors.

In order to respond to new or emerging institutions, the design provides for an annual implementation review, at which time these new actors can be accommodated and budget and implementation modes revised. While this mode represents somewhat more flexibility than is often made explicit in A.I.D. project designs, the Mission believes it is the most effective and responsive approach to U.S. government support for Haiti's democratic development.

1.1.2 Background: The Haitian Context. The Republic of Haiti has had 21 constitutions and 40 chiefs of state in its 187 year existence. Of the chiefs of state, seven served for more than 10 years, nine declared themselves chiefs of state for life, and 28 were either overthrown or assassinated in office. Only seven finished terms in office. An A.I.D.-financed Democratic Needs Assessment (Zak and Smucker, 1989) summarizes this dynamic as follows:

Political power in Haiti focuses almost exclusively on the office of president. Presidential power is highly centralized, personalized and authoritarian. No real distinction is made between a government and the apparatus of the state. Constitutions are viewed as expendable. Presidents often create their own constitutions as personal charters. Presidents characteristically seek to prolong their prescribed terms of office. There is no real separation of powers. The judiciary is weakly developed. It is a government of men, not of laws. (Zak and Smucker, p. 19).

In addition to what it terms the "president as strongman" phenomenon, the Assessment summarizes several other persistent historical features of the Haitian political system: 1) a state of chronic crisis in succession to power; 2) the army as supreme arbiter of political destiny; 3) intolerance of opposition; 4) a state in which the key functions are extracting wealth and extending patronage; 5) feeble development of government institutions; and 6) the absence of personal security. (Zak and Smucker, pp. 19-20).

These features of the state have been focussed primarily in the metropolitan area of Port-au-Prince, which comprises an estimated 2.2 million people, or almost 30 percent of Haiti's resident population of 6.5 million. Data from 1984 suggest that 65 percent of all government revenues, and approximately 80 percent of government salaries, are spent in Port-au-Prince.

Outside the capital, the state has acted primarily through the army. That is, at least since the rural code of 1864 there have been mandated local civilian organizations (conseils d'administration), but they have been appointed by the center and given virtually no real authority. Garcia-Zamor described the situation as follows:

...in Haiti, two parallel systems, civil and military, are used to govern the nation and each one of these two systems employs a certain number of people at the local level. While the civil system divides the country geographically into departments, arrondissements, communes, and communal or rural sections, the military system divides the country into departments, districts and subdistricts.

...The Haitian peasant has few links to the city and, for the most part, fears such links. The most important man for the peasant is the chef de section, who represents the government in all its functions, from tax collector to policeman....To the peasant, he is the government (Garcia-Zamor, 1986, p. 80).

The Democratic Needs Assessment reinforces this analysis: "People commonly refer to the rural "Chef de Section" and his corps of assistants as "leta" (the state), e.g., "A 'state' came to your house. ... This powerful position is further buttressed by the virtual absence of competing power brokers." (Zak and Smucker, p. 17).

The "competing power brokers" that have emerged have generally been rendered impotent by the authoritarian regimes when they began to compete too effectively. They have never included credible civilian authorities. They have consisted, and continue to consist, of the Church, the private sector, political parties, and a host of different independent sector institutions, e.g. labor, the media, peasant associations. None have ever been able to become strong enough to challenge the state over time, although at various periods of Haiti's history each has affected changes of regimes, and each continues to influence specific power balances in the rural areas and at the center.

Haiti's latest "crisis in the succession to power" lasted five years, from the departure of Jean-Claude Duvalier in February 1986, to the inauguration of President Jean-Bertrand Aristide in February 1991. President Aristide was elected by an overwhelming majority in December 1990, under terms of a new and democratic constitution which had been approved by the electorate in March 1987. He was elected on a populist platform, nominally under the auspices of a political alliance of several parties/ interest groups, but not representing any specific party himself. Since taking office, he has made a number of statements against formal parties and historically-important interest groups, notably the Catholic Church, and further strengthened his populist stance. His Lavalas movement to sweep away vestiges of duvalierism, imperialism, competing interest groups, and anything else which stands in the path of the will of the Haitian masses, remains to be defined in institutional terms.

In December 1990 and January 1991, for the first time in Haitian history, the electorate also elected a slate of over 2,000 local government and 110 national legislative representatives to administer a tiered system of constitutional structures. Many of these officials do represent parties or party alliances, although an indeterminate number have pragmatically proclaimed themselves supporters of Lavalas. The successful elections and the new government are considered by the Haitian people, and by most international observers, as a clear expression of the commitment to move to some form of a representative government.

Perceptions of "democracy" in Haiti, however, are neither clear nor uniformly understood. To quote the Democratic Needs Assessment:

The primary political role models for most Haitians living today are identified with the Duvalier era. For many people, post-Duvalier notions of "democracy" have to do with simply changing the factions and personalities who hold power. Democracy means taking turns at the spoils system: "it's my turn," rotating opportunities, rotating elites. For others, it is an opportunity "to do whatever you please", i.e., liberty without responsibility. For most people, "democracy" should somehow provide jobs, food, survival. In any case, the constitutional referendum in March 1987, the November 29, 1987 elections, clearly demonstrate that there is a popular will in favor of genuine change -- change which can somehow lead to improvement in one's life and livelihood. (Zak and Smucker, p. 16).

The popular will that brought the new government into office over the past four months is now being tested. The elections are over, and little has changed. In terms of the government, the new national legislature must start from scratch on its own internal organization--including finding offices, desks, and staff--while at the same time developing a mass of enabling legislation to support provisions of the constitution. The elective local government positions that have been filled lack authority in the absence of such legislation. The infamous chefs de section are still in power in many cases, alongside the legitimate but almost powerless community councils. The judicial branch needs massive reform. The treasury is almost empty. The will for change may exist, but the means to enact meaningful changes will take some time to develop and come to fruition.

In spite of these problems, the recent elections, and the mass education and registration drives leading up to them, have created a general sense of unity and nationalism rare for Haiti. This strong sense of unity has created a window of opportunity for change to occur. The three branches of the Haitian government, the various competing power brokers and interest groups, and sympathetic donors must act quickly and in relative harmony to sustain what has been gained. This must also be accomplished within the atmosphere of strong nationalism, to avoid any sense of a donor or interest group being disruptive to what the rhetoric describes as "the will of the people". Change in the form of new programs and/or new structures must thus be sensitively undertaken, but soon. Simply stated, it is unclear how long the window of opportunity will last before either the army or the masses lose patience, and mount yet one more extra-legal change of government.

1.1.3 Background: U.S. Government Assistance. The U.S. Government has been supportive of Haiti's attempts to move to a democratic government since the fall of Jean-Claude Duvalier.

Total assistance increased dramatically in 1986, when he departed, to almost \$ 100 million in FY 1987, when the new constitution was approved and it looked as though successful elections would take place. Levels significantly dropped in FY 1988, in response to the election disruptions of November 29, 1987. Assistance levels have increased slightly in subsequent years as a cautious response to improvement in the overall political situation.

Since December 1987, however, with the exception of part of the P.L. 480 program and a very recent cash transfer, virtually all assistance has been provided to the independent sector, with specific U.S. Congressional prohibitions against aid to the Government of Haiti (GOH). While this mode has ensured continuing humanitarian assistance to groups most in need, it has left the Mission with few official contacts in the government.

Most of USAID's sector programs have maintained links with government technocrats through the independent sector activities, and are having little trouble recreating relationships with technical ministries. The field of democracy, however, is new both to A.I.D. and the GOH. As reflected in Figure 1 overleaf, significant pre-election and election assistance was provided through independent institutions and the United Nations. It was thus not always visibly American and has not always been recognized as such by the Aristide government.

Given current sensitivities, the new relationships must be approached judiciously to militate against possible "anti-American" backlash. At the same time, we must not be timid in the pursuit of key foreign policy objectives which our project is designed to serve. A.I.D. must seek to rebuild relationships with the executive it had officially not supported until recently, and to create new relationships with the new legislature. The process will require sensitivity on the part of all concerned.

**Figure 1: U.S. Government Assistance to 1990/91
Haitian Elections**
(Thousands of U.S. Dollars)

<u>Total Elections Management Assistance</u>		<u>\$ 9,988.5</u>
International Foundation for Electoral Systems (IFES)		\$ 1,859.5
United Nations Development Program (UNDP)		1,750.0
Organization of American States (OAS)		1,700.0
Provisional Electoral Council (CEP)		3,436.0 ¹
Human Resources Development Center (CDRH)		143.0 ²
National Endowment for Democracy (NED)		1,100.0
NED Subgrants to:		
National Republican Institute (NRI)	360.4	
National Democratic Institute (NDI)	330.9	
Free Trade Union Institute (FTUI)	219.7	
America's Development Foundation (ADF)	189.0	
ADF Subgrants to:		
Haitian Institute for Research and Development (IHRED)	65.0	
Human Resources Development Center (CDRH)	11.0	
Haitian Association of Journalists	22.2	
Haitian Center for Human Rights (CHADEL)	16.7	
Celebration 2004	50.0	
ADF Administration Support	24.0	
<u>Total Development of Democracy Pre-Election Assistance</u>		<u>780.0</u>
Americas Development Foundation (ADF)		780.0 ³
ADF Sub-Grants to:		
Haitian Institute for Research and Development (IHRED)	630.0	
Haitian Association of Journalists	25.0	
Haitian Center for Human Rights (CHADEL)	25.0	
Celebration 2004	25.0	
Haitian Lawyers Committee (HLC)	25.0	
Amicale des Juristes	25.0	
ADF Administrative Support	45.0	
<u>Total Local Currency Grant to Human Resources Development Center (pre-elections activities)</u>		<u>700.0²</u>

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1. Local currency grant.
 2. \$ 143,000 in local currency was part of the total \$ 700,000 to CDRH.
 3. Sub-grants do not total due to conversion to Haitian dollars.

1.2 Project Rationale

As stated above, there currently exists a window of opportunity to positively affect meaningful change in the Haitian socio-political context. There is growing evidence that open societies that value individual rights, respect the rule of law, and have open and accountable governments, provide better opportunities for sustained economic development than do closed systems, and that democracy is thus an economic development issue, as well as a political one. In light of U.S. economic, humanitarian, developmental, and strategic interests in Haiti, it is important to act upon this opportunity in a timely and effective manner.

The working definition of democracy used by A.I.D.'s Bureau for Latin America and the Caribbean (LAC), and by this PP, will provide a context for the project rationale:

Democracy is a political system that meets three essential conditions: meaningful and extensive competition among individuals and organized groups (especially political parties) for the major positions of governmental power; a 'highly inclusive' level of political participation in the selection of leaders and policies, at least through regular and fair elections; and a level of civil and political liberties sufficient to insure the integrity of political competition and participation. (Diamond, et.al., p. 5)

Haiti's democracy is still very new, and still evolving. Its recent successful conduct of national elections gives it high marks for political participation, although much remains to be done to ensure subsequent elections are a) held; b) held in a timely manner; c) structured to assure the same degree of free participation, credibility, and security as experienced in 1990/91; and d) structured so as to be less management intensive and costly over time.

The bulk of the population is still working out its rage after almost 30 years of repressive duvalierism and five of revolving predominantly military rule. It is currently quite responsive to President Aristide's rhetoric regarding popular empowerment. The development of organized, constructive competition, however, will take time. Nascent governmental and independent sector organizations, including political parties, exist to channel the concerns of interest groups, but are frequently either too weak to do so effectively or composed of numerous separate factions which have little common mandate or ideology against which to form consensus. Longstanding class and color distinctions remain strong.

Civil and political liberties are guaranteed by the constitution, but remain a problem, with many still afraid to exercise their constitutional rights due to fear of the army or retaliation by the empowered masses.

Given the historical and current environment, and the massive needs, there is no one obvious channel through which A.I.D. assistance could have the most significant impact on Haiti's democratic evolution. The proposed project will strengthen legislative and other constitutional structures--e.g., local government and the Permanent Electoral Council--as well as independent organizations which facilitate participation in democratic decision-making and respect for the constitution. This latter category will include numerous well-defined "competing interest groups" which help balance governmental actions, including political parties, labor unions, and membership-based civic associations. Groups selected for attention will have existing common interests, be they ideological, economic, constitutional, or social. The emphasis will be on promoting pluralism and competition, but trying to mobilize competition into constructive and sustainable channels.

The proposed project, described in Section 2, is complex, particularly in terms of the number of actors involved. The rationale is that since no one can predict which of the various interest groups or constitutional structures (or combination thereof) has the greatest potential to affect or sustain democracy in Haiti, support to a wide variety at the outset is merited. As the democratic environment evolves, adept monitoring will inform project management as to which players might merit more assistance to ensure greater impact. The design provides the flexibility for such shifts to occur.

1.3 Relation to A.I.D. Policy and Strategy

A.I.D. worldwide has recently embarked on a number of new, strategically focussed initiatives, among which is "The Democracy Initiative" of December 1990. The initiative argues that:

To succeed, the peoples and governments of democratic societies must: a) build a national identity; b) foster democratic values and practices; c) build effective democratic institutions; d) guarantee the honesty of government; e) promote democratic competition; and f) ensure civilian control of the military. (A.I.D. Democratic Initiative, p. 2).

Haiti benefits from a strong national identity, with a current upsurge of nationalism. The proposed Democracy Enhancement Project will foster democratic values and practices through a number of channels. Key among these is to promote democratic competition through strengthening effective democratic

institutions. Through work with key constitutional structures and independent sector organizations, it will influence the honesty of government by providing effective checks and balances. Finally, by promoting respect for the constitution, it should contribute to maintaining civilian control of the military as well as ensuring the kind of political space and availability of choice centered in a functioning democracy.

The proposed project is consonant with LAC Bureau Objectives, which include "support the evolution of stable, democratic societies." A key sub-objective is to "encourage pluralism, tolerance of opposing views and support for democratic values on the part of nongovernmental bodies, including the press, community organizations, labor unions and business associations." The project is designed to meet this sub-objective, but to do so by emphasizing the development of institutions to sustain the efforts.

The proposed project is fully consonant with the latest USAID/Haiti Strategy Summary. One of the Mission's three key objectives is "support of public and private democratic institutions that respond to the needs of the Haitian people and reinforce the rule of law." As described in Section 2 below, the project will support both elective constitutional structures as well as independent sector institutions that represent key interest groups in the Haitian population.

With reference to the cross-cutting strategic concern about sustainability of development efforts, project activities will contribute in different ways depending on particular project components. For those project activities which strengthen the role of specific constitutional structures (such as the National Assembly, the Electoral Council, and local governments), the project's initial investment in these structures should build long term administrative and technical capability. As they are recognized as important contributors to the evolving democracy, their financial sustainability should be assured through appropriate GOH budgetary measures. For those project activities which strengthen the independent sector -- and its role in a pluralistic society -- support will specifically include institutional strengthening, an obvious requirement for long-term sustainability. Stronger independent sector groups will be more likely to attract other donor support. Moreover, only independent groups which represent and/or serve a segment of the population will be assisted, thus channelling project resources to groups which are likely to have a continuing indigenous basis of support. Criteria for support to the independent sector will enhance the likelihood that the groups selected are those for whom other, private or donor sources of funding will be likely.

1.4 Relation to GOH Policy

The GOH has not articulated a particular policy with regard to reinforcing Haiti's nascent democracy, beyond its current very active attempts to establish or reform all institutions to meet the provisions of the 1987 constitution. Given the historical dominance of the presidency and the executive branch, and the newness of Haiti's elected national assembly, there are a number of predictable "turf battles" underway between the two, regarding, among other things, clarification of provisions of the constitution. This tension will certainly continue, although it will move from purely constitutional to other issues over time.

The GOH policy regarding the activities of the independent sector, including NGO's, has in the past been laissez-faire, beyond certain requirements for registration. It is unclear whether the new government will continue this laissez-faire approach or not; early indications are that some revision of laws will be undertaken. The U.S. Mission will closely monitor the evolution of these laws, to ensure that the sector's independence is not unduly compromised.

2. PROJECT DESCRIPTION

2.1 Project Goal and Purpose

The goal of the Democracy Enhancement Project is to **contribute to the development of a constitutional, stable, open democratic society in Haiti**. Pursuit of this goal is based on three critical assumptions: 1) the democratically elected Government will endure and carry out its mandate according to the terms of the 1987 Constitution; 2) the U.S. Government will have access to and influence with the GOH; and 3) an aggressive (vigorous) project of the kind recommended will make a difference to the durability and effectiveness of the country's evolving democracy. At this time, the Mission believes the three assumptions to be reasonable. The A.I.D. Mission and the U.S. Embassy will monitor progress toward goal achievement on a close and continuous basis and will undertake periodic assessments as to the success of the GOH in implementing the provisions of the Constitution, including the conduct of elections.

The purpose of the project is to **expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the Constitution**. The conditions that would indicate this purpose has been achieved, or end-of-project-status (EOPS), are:

- Constitutional structures at the national and selected departmental, communal, and communal section levels will be functioning according to the Constitution;

- Democratic political parties will have improved skills at functioning within legislative structures and as partisan non-governmental interest groups; and

- An increased number and type of independent sector institutions will be promoting citizen rights and responsibilities both for the general population and for selected interest groups for which A.I.D. has special concern.

Five assumptions which are critical to achieving the project purpose are: 1) the executive and judicial branches of the GOH will support the implementation of legislative mandates; 2) the GOH and/or donors provide adequate resources for legislative functions; 3) the National Assembly passes legislation defining the role of local government structures, and their relationships to each other and to the executive branch; 4) the Lavalas/FNCD will not unduly hamper opposition activities; and 5) the GOH will not unduly co-opt NGO activities in Haiti.

The project is designed for four years, beginning in June 1991, with a project assistance completion date (PACD) of June 30, 1995. Funding is estimated at \$ 24.5 million, of which \$ 11.0 million is A.I.D. funding and \$13.5 equivalent generated currency. The project strategy and detailed project description follows.

2.2 Project Strategy

The project design is based in large part on a comparative analysis of 26 countries which reviewed factors which previous theories and research suggest affect the prospects for developing and maintaining democratic government. The comparative analysis was undertaken by Larry Diamond, Seymour Martin Lipset, and Juan Linz, and has been used by LAC as one of the key sources in its development of the LAC democracy strategy. A summary of the analysis was presented in World Development, Volume 150, No. 1, in the Summer of 1987. The summary conclusions reported in the article are presented below, and form the basic project strategy. Text highlights were added by the PP team.

...First, innovations in political structure and constitutional design can clearly improve the prospects for democracy in a number of the countries under study here. In several countries, the decentralization of state authority and devolution of power to local and regional administrations appear to be an important condition for the development, consolidation, and improvement of democracy. In Peru and Sri Lanka, as we have already indicated, this is imperative to defuse ethnic and regional insurrection. In Columbia, Turkey,

and Thailand, it is necessary to broaden the basis for democratic participation in governance.

In several countries, the **strengthening of political participatory institutions must be a major project.** To do so requires time, patience, organization, skill, and access to resources. In Thailand, Sadumavanija urges that the pursuit of democratization must focus on the gradual improvement of participant political institutions, rather than pressing for drastic constitutional changes that could induce a military coup and end the current semi-democratic regime.

It is important to underscore the fact that political institutionalization is, by definition, a time-consuming process. **Where there is no tradition of complex, deeply rooted, autonomous participatory institutions, these can hardly be established overnight.** This lack is one of the particular problems facing Haiti at the moment. It bears repeating that the illusionary expectation that durable democratic structures could be constructed quickly has contributed to the failure of many post-colonial democratic regimes. African countries in particular have paid heavily for it.

Even when there is a tradition of strong political parties, there may not be one of tolerance and civility among them. These, too, can be established only over time. In some cases, these needs may argue for a more phased and gradual transition to democratic government, so that parties learn to live with one another and establish a system of mutual security in successive elections, before complete political power is once more at stake.

It is also clear that civil society must be strengthened and the power of the state reduced in many Third World countries if the prospects for stable democracy are to be enhanced. This will require changes which will reduce the extent to which politics approaches a zero-sum game in which the winner takes all.

As statism is checked and reversed, civil associations must be increased in number, autonomy, and vitality. **We believe there is a clear relationship between the strength of voluntary associations, democratic interest groups, and the press, on the one hand, and the chances for stable democracy on the other.** Hence, improvement of those prospects requires, in many cases, efforts to enhance the organizational skill, experience,

resources, complexity, and autonomy of trade unions, producer associations, peasant cooperatives, professional groups, student organizations, newspapers, magazines, and broadcast media. This is a project in which the more advanced democracies may be able to render particularly useful assistance, both because their own associations are so well developed and resourceful, and because this is a form of intervention that is less explicitly political in nature, and so may be less threatening and objectionable to powerful interests in developing countries that may not favor democracy per se. In particular, linkages between private associations in the established democracies and their counterparts in developing countries may be especially effective.

The political obstacles to democracy in some developing countries, however, stem in part from the determination of authoritarian actors to remain in power. Here timely, careful, and consistent pressures from the world's more powerful and established democracies can have an influence. That impact would figure to be greater to the extent that they are able to coordinate their message, and whatever diplomatic or economic sanctions they might find necessary to impose. ... (Diamond, et. al. pp.16-17.)

The strategy of the Democracy Enhancement Project follows these conclusions. It recognizes Haiti's 1987 Constitution as a sound base for democratic development. It proposes support to enhance the effectiveness of new constitutional political structures, i.e. the National Assembly, the Permanent Electoral Council, and various local government bodies, which offer the best chance for decreasing reliance on the central executive and increasing balance of power among government branches and between the center and the periphery. As these elective organs become more effective, so then can the stated Constitutional objective of decentralization begin to become a reality. The institutions are all quite new, and absorptive capacity for assistance is in question. If they demonstrate the ability to rationally absorb more assistance, additional funds will be sought to provide the necessary support.

The project also proposes support to strengthen participatory organizations, e.g. the political parties and select organizations in the independent sector, such as labor, the media, and membership-based organizations. As stated above, recent research indicates that **there is a clear relationship between the strength of voluntary associations, democratic interest groups, and the press, on the one hand, and the chances for stable democracy on the other.** It is a clear objective of the Constitution and the Aristide government to decrease statism

in favor of a pluralist nation, and the project will support this objective to the fullest extent possible.

2.3 Detailed Project Description

As described in Section 1.2 above, the project rationale is based on the premise that since no one can predict which of the various interest groups or constitutional structures (or combination thereof) has the greatest potential to affect or sustain democracy in Haiti, support to a wide variety at the outset is merited. As experience is gained, resources can be shifted through a series of annual implementation reviews. The strategy has identified five broad groups for initial focus. These are:

- 1) the two houses of the National Assembly, i.e. the Senate and the Chamber of Deputies;
- 2) the political parties, which are non-governmental by mandate but whose members actively participate in government;
- 3) the Permanent Electoral Council (CEP), which will guarantee political participation through the planning and conduct of all future elections in the country;
- 4) the diverse Haitian independent sector, which represents and serves numerous citizen interest groups around the country, including, but not limited to, labor, the media, women, and membership-based associations; and
- 5) local government, including departmental, communal (municipal), and communal section bodies in selected locations.

The design recognizes that four key groups important to the Haitian democratic environment are not represented above: youth, private business, the military, and religious groups. As more fully described in Section 2.4, the Mission will promote political participation and civic education for youth and private business through other projects in the USAID portfolio. A.I.D. is prohibited by law from support to the military, although some aspects of this project seek to improve civil-military relations from the civilian side. And the Churches will be involved both through their activities with political parties and through their representation in the NGO community.

The activities planned with the five groups listed above, plus required A.I.D. oversight, form the major elements of the project. As reflected in Figure 2 overleaf and described in the following pages, these will be managed by two large umbrella grants to U.S. private and voluntary organizations (PVOs), direct A.I.D. technical assistance, and other mechanisms, as follows:

- a grant ~~of~~ approximately \$ 2.10 million in A.I.D. funds, plus an estimated \$ 2 million equivalent of generated local currency from the GOH, will be made to the U.S. National Endowment for Democracy (NED), to support activities of its core institutes in political party development (the National Democratic Institute, NDI, and the National Republican Institute, NRI) and possibly for labor (the Free Trade Union Institute, or FTUI);

- a grant of approximately \$ 6.5 million in A.I.D. appropriated funds, plus an estimated \$ 7.95 equivalent of generated local currency, will be made to a competitively selected U.S. private and voluntary organization (PVO), to provide sub-grants management and institutional development to at least 10 - 15 independent sector organizations, plus training activities and limited commodity support to strengthen local government;

Figure 2: Democracy Enhancement Project
Management Structure

USAID/HAITI

- o Project Committee with Embassy, USIS
- o 2 Project Coordinators reporting to Chief, HRO

INPUTS

<p>Coop. Agr.</p> <p>USPVO Umbrella Mgmt. Unit</p> <p>- 10-15 NGOs</p> <p>- local gov't</p>	<p>Grant</p> <p>NED</p> <p>FTUI</p> <p>4-5 unions</p>	<p>Buy-In(s) Other</p> <p>NRI</p> <p>6-8 political parties</p>	<p>NDI</p> <p>- National Assembly</p>	<p>Direct AID contracts:</p> <ul style="list-style-type: none"> - 2 Proj.coord. - ST TA NEC - Evaluations - Audit - ST TA CEP - Storage CEP equipment - CEP
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OUTPUTS

- Approximately \$.9 million in A.I.D. funds, plus an estimated \$ 3.5 million equivalent of generated local currency will be used to provide technical assistance, seminars and study tours, and information management equipment to the National Assembly;

Other technical assistance, training, and management oversight will be undertaken through direct A.I.D. instruments. Activities to be undertaken under each of the five substantive components are described in below. More detail on A.I.D. project management is found in Section 4.

2.3.1 National Assembly. Summary: The project will provide short-term technical assistance; funding for study-tours, seminars, conferences, and staff training; and selected information management commodities to increase the efficiency of Haiti's new national legislature. The assistance will initially be provided through a short buy-in to the centrally-funded Consortium for Legislative Development, which has provided similar assistance in Nicaragua, Costa Rica and Panama, and has undertaken an exploratory visit to Haiti. Subsequent assistance to the National Assembly will be decided during project implementation. Indirect assistance to improved legislative functioning will also be provided through political party development activities described under 2.3.2 below.

Background

Haiti's first President, Alexandre Petion, established voting rights and a bicameral elected legislature in the Constitution of 1816. His "universal suffrage", however, excluded women, criminals, idiots, and menials, which meant, at the time, that only about 3 percent of the population could vote, and it generally elected itself to the legislature. Throughout the next century, legislatures existed, but the ballot was traditionally reserved for the male elite and the military who protected the elite's interests; this group continued to elect its own members. Because Presidential appointees counted the ballots, it was not unusual to discover great unity of opinion in the country, and thus legislatures who served as rubber stamps for chiefs of state (from Diederich and Burt, p. 15).

By 1950, all male adults were allowed to elect the President and legislature by universal suffrage, and by 1957, women could vote as well. The legislatures under the Duvaliers, however, were not known for their representativeness or independence. The National Assembly that has recently taken office is Haiti's first credibly elected national legislature, an institution with which the nation has absolutely no experience.

The 1987 Constitution specifically established the bicameral national legislature as one of three equal branches of the government. The 1990/91 elections resulted in formation of a Senate, with 27 members, or three from each department, and a Chamber of Deputies, with 83 members representing specific demographic clusters (only 81 have assumed office). President Aristide won the presidential election by a landslide; the elections for the National Assembly, however, resulted in no clear party majority in either chamber. President Aristide's party alliance, the National Front for Change and Democracy (FNCD), did win a plurality in both houses, and its members are prominent in each chamber's leadership. It is unclear how much of a unifying force the FNCD will play within the leadership, and over each of the two chambers. Although the appointed Prime Minister is also FNCD, it is also unclear how much of a force he will be, and how he will influence the relationship between the President and the Assembly.

Because the legislature is so new, there is no set of norms or procedures by which the two houses should operate, either in terms of internal organization and administrative procedures, or in terms of relations with the executive, judiciary, and constituents. For example, the 1987 constitution charges the legislature with enacting laws on all matters of public interest (Article 111), but gives this responsibility equally to both houses and the executive branch. (The responsibility to initiate budget and tax laws is reserved for the executive, but must be approved by the Chamber and the Senate). Thus the new legislature must define its overall role in the government at the same time it is establishing operating procedures. It also has some very basic problems in terms of lack of office space, equipment, staff, and budget. It is literally starting from scratch.

Rationale

An effective and responsive national legislature is essential if Haiti is to move beyond its tradition of dominance by a chief of state and into a democratic system guided by checks and balances among competing groups. The U.S. Mission, including the Embassy, USIS, and USAID, have spent the months since the Assembly convened developing contacts with Assembly men and women (there are three women Deputies) and informally assessing needs and potentials to increase the Assembly's effectiveness. At the Mission's invitation, two representatives from the LAC centrally-funded Consortium for International Development, composed of Florida International University (FIU), the Center for Democracy, and the State University of New York at Albany (SUNY/Albany), spent about 10 days in Haiti assessing the potential for assistance. The PP Design Team also met with several members of both chambers. The consensus of these various meetings was that

needs exist and U.S. assistance would be welcomed, although exact definition of the most appropriate modes of assistance will need to be developed as the Assembly's needs become evident.

Other donors, notably the French, the Canadians, the UNDP, and the Venezuelans, are also talking with the Assembly, and are getting more or less the same message. Given political sensitivities, however, and different schedules and operating procedures of the donors, it is neither appropriate nor the right time for the donors to convene a meeting to define their particular roles with regard to such assistance. This coordination should properly be formally be undertaken by Assembly leadership, and it is not clear when this can take place. Thus any multi-donor collaboration will be developed informally, through frequent dialogue between and among interested donors, Assembly leadership, and the U.S. Mission.

Proposed Project Activities

A.I.D. assistance will be offered in a number of functional areas critical to improved legislative administrative systems. Research indicates that legislatures organize their activities within three functional categories: 1) housekeeping; 2) operations; and 3) systems maintenance. Housekeeping includes such activities as journal and calendar preparation and distribution, budgeting and accounting, space management, procurement, publications, security, maintenance, transportation, auditing and personnel. Operations includes bill drafting, research, reference and library services, information systems, staffing patterns, management systems, structural analysis, internal and external communication, and monitoring. Systems maintenance includes bill and committee flow analysis, goal and priority setting, legislative impact assessments, support and collateral decision-making structures, legislative membership patterns and policies, and new legislator orientation.

Each chamber of the Assembly will engage in many of the activities summarized above, but each will develop its systems at a different pace. In order to be responsive to these different and evolving needs, A.I.D. must chose a starting point and provide for flexibility in implementation processes over time. The precise areas, modes, and timing of the assistance will be defined as the project gets underway.

The starting point chosen is a short buy-in to the existing LAC Cooperative Agreement with the Consortium for Legislative Development. The Consortium's existing grant has five interrelated components, all of which are relevant to the situation in Haiti: 1) collaboration with LAC legislators and staffs to diagnose training, technical assistance, and equipment needs of each legislature; 2) regional seminars that will address legislative operations and common public policy issues; 3)

technical assistance at the request of the individual legislatures; 4) design and installation of legislative and management information systems; and 5) professional staff development. The buy-in will focus on components 1 through 4, emphasizing administrative systems development, particularly "housekeeping" and operations. Subsequent assistance will be detailed based on the evolving experience and priorities of the Assembly, and will be closely coordinated with other donor assistance.

Estimated project **inputs** consist of funding totalling \$.9 million for the four year period, divided approximately evenly among technical assistance (for components 1, 3, and 4); seminars, study tours, and short-term staff training (component 2); and management information systems equipment (component 4). An additional \$ 3.5 million equivalent in local currency will be allocated for furniture and equipment, including possible furnishings for legislators' local offices. The key project **output** will be **an increase in the efficiency of administrative systems in both chambers of the legislature by 1995**. Specific measures of increased efficiency, particularly with regard to time and cost, will be developed during the first six months of activities.

Achievement of component outputs assumes that the National Assembly continues to be receptive to U.S. assistance, and that U.S. assistance is effective within a multi-donor mode.

2.3.2 Political Parties. Summary: The project will provide assistance to the development of Haiti's political parties through a grant to the National Endowment for Democracy (NED), which will provide operational sub-grants to its core institutes, the National Republican Institute for International Affairs (NRI) and the National Democratic Institute for International Affairs (NDI). NRI and NDI will undertake a combination of short-term technical assistance, in-country training and seminars, and possible modest equipment procurement to assist viable parties in organizational development.

Background

Haiti has had ideologically-inspired political parties since at least the mid-nineteenth century, when the elite Liberals and Conservatives vied for control. It has also had party-like movements based in the masses, such as the peasant revolt of "The Suffering Army" led by Accau in 1843. In most cases, the parties or movements were organized around one key leader, became very active during the periodic "crises in succession," and disappeared when succession was assured, and/or the leader died or left the country. In short, they were institutions based on a man, rather than institutions based on ideology or rules.

During the Duvalier years, parties were outlawed in Haiti, although several were organized in exile and operated clandestinely in Haiti in the hopes of dislodging the regime. In July 1986, shortly after the departure of Jean-Claude Duvalier, the ruling council of General Namphy issued a decree that allowed the formation and activities of political parties and provided for a liberal press. In terms of parties, it provided basic requirements for registration, including provision of statutes, an organigram, and 5,000 signatures. It stimulated the creation of what is estimated as approximately 150 parties registered in Haiti today. These were generally organized around either the strong ideology of opposition to the existing regime, or for the purpose of supporting one key leader as president. They are still parties of men, not rules, and where ideology exists, it is weakly inculcated in the mens' followers.

Of those parties that exist, only 16-18 actively participated in the recent elections, and of those, 10 parties, one alliance, and 6 independents won seats in the National Assembly. The alliance, the National Alliance for Democracy and Progress (ANDP) has since dissolved into its three member parties. The National Assembly is thus made up of 11 parties representing about 60 percent of the membership, one alliance representing another 35 percent, and the six independents, representing the remaining 5 percent. With no clear majority in the combined General Assembly, or in either chamber, the disparate party members will need to work towards coalition-building and collaboration if the legislature is to function smoothly.

A larger group of parties may be represented by the over 2,000 persons elected to Communal Section Councils, or CASECs, and Municipal Councils. Several of the parties interviewed claimed to represent "over half" of the CASECs, although these were occasionally divided by region or by demographics. Although the PP team did not attempt an analysis of local government structures by party, there is clearly activity underway by at least FNCD (the National Front for Change and Democracy) and three parties (MIDH, PANPRA, PUCH) to strengthen or create ties between party leadership and these groups.

There is also the presence of Lavalas, the mass movement led by President Aristide. While the President has clearly stated that Lavalas is not a party, its presence throughout the country, and the spirit it engenders, are important forces on the political scene today. It is unclear whether a local official can be both a staunch supporter of an active party and of the Lavalas movement; at present, many are claiming firm alliance to the latter. It is unclear quite where this will lead.

Rationale

Strong political parties and party systems are critical to stable democracy. The Diamond study observed that among 26 countries studied:

...where at least one and eventually two or more parties were able to develop some substantive coherence about policy and program preferences, some organizational coherence and discipline, some complexity and depth of internal structure, some autonomy from dominance by individual leaders or state and societal interests, and some capacity to adapt to changing conditions--incorporating new generations and newly emergent groups--democracy has usually developed considerable durability and vitality. (Diamond, et.al., p. 27, quoted in LAC Bureau Presentation, 1990.)

The last feature, the capacity to adapt to changing conditions, is the dilemma facing Haiti's parties today. The ideology of opposition must be broadened to encompass the role, and responsibility, of minority participants promoting pluralism in government. That is, the parties must develop coherent policy and program preferences which are appropriate to supporting a constitutional government of which they are very much a part. They must also move away from reliance on one key leader; there are two important elections, for 9 Senate seats in 1992 and 9 more Senators and the entire Chamber of Deputies in 1994, before the next Presidential election in 1995. In order to effect these changes, they must develop organizational structures which encourage participation of a variety of segments of society around the country. Those parties that are to survive must start now with their grass roots organization, if they are to compete effectively at the national level in the future.

Proposed Project Activities

The project will provide support to Haiti's political parties to assist them in developing their institutional identities, both in terms of their functions within the government, and as partisan non-governmental interest groups at the grass roots, regional, and national levels. Key indicators of success in establishing such identities will be the number of functioning branch offices of respective parties, the number of candidates nominated in the 1992 and 1994 elections, and the strength of the parties' constituents, as demonstrated by analysis of votes in each of the elections.

Following evolving LAC Bureau guidance, the assistance to the parties will be provided through two core institutes of the

NED, the NRI and the NDI. As reflected at Figure 1 (page 6), both received substantial grants through the NED for pre-election work, and interviews with Haitian party leadership indicate that the assistance was well received.

The NDI and NRI have submitted preliminary concept papers to USAID/Haiti for continuing work, and have been asked by the Mission to sit together to develop second drafts that avoid overlap. Although the proposals are still in development, it is likely that they will involve the following:

NDI

- **Elections Analysis:** NDI would provide technical assistance to a local consulting firm or foundation to develop a voter data base and breakdown of who voted in the elections. Using NDI consultants, a study of the presidential results would be conducted, followed by an analysis of National Assembly and local government elections. This analysis would aid parties in setting organizational priorities to better channel their resources. In addition, building a voter data base would allow parties to continually "fine-tune" their organizations and strategies based on their previous election performance.
- **Party Building Seminars/Legislature:** NDI would provide guest speakers and conference logistics for seminars open to all parties and/or alliances on such topics as 1) the concept of loyal opposition; 2) constituent services; and 3) legislative organization vis a vis parties.
- **Civil/Military Relations:** The concept of civilian control of the military is new to Haiti, with the proposed division of the Ministry of Interior and National Defense not yet an operational reality. The country's democratic activists, long suspicious of the army, must now come to terms with the military they once fought. The NDI proposes convening a multi-sector conference to discuss issues involved in improving civil-military relations in emerging democracies, with participants from the military, the Ministry of Interior [and National Defense], members of the National Assembly, and a range of political and civic leaders. NDI follow-on efforts might include programs to train legislators and their staffs on defense issues, thereby providing a check on the executive branch's authority and oversight of the armed forces.

NRI

- The NRI preliminary proposal is to open an office in Haiti to serve as a party resource center for all democratic parties in Haiti. The resource center would serve two functions: 1) serve as a base for NRI to coordinate and arrange seminars, workshops, and exchanges on party issues; and 2) house an extensive selection of seminal writings of democratic theory, as well as models for democratic government.

- Political Party Building: The NRI will bring in guest speakers to lead seminars and workshops tailored to the diverse needs of the various Haitian political parties. A majority of the consultants would come from other young democracies in the Caribbean, Central, and South America, such as St. Lucia, Grenada, Jamaica, Costa Rica, and Venezuela.

The activities above, as defined in the final proposals of NRI and NDI, will be provided on a non-partisan basis to all parties that endorse and follow democratic principles and practices, and support the constitution of Haiti. Given the nature of what is proposed, it is unlikely that any claim of partisan behavior by the U.S. could be made. The activities summarized above, in a sense, are politically neutral.

Several of the parties interviewed, however, have also made persuasive arguments for individualized consultancies in party development strategies, and for provision of modest furniture and equipment for branch offices. This sort of work might not be perceived as politically neutral, unless it is carefully approached. In the aftermath of the elections, coalitions are dissolving and reforming, and several of the smaller parties seem to be disappearing altogether. Thus the selection of which parties to support is extremely sensitive. The Mission must maintain, and reinforce, its non-partisan image if it is to be perceived as a sympathetic supporter of Haitian democracy. The initial year of the NED grant for NDI and NRI work in Haiti will emphasize "politically neutral" types of activities noted above, with seminars and conferences widely advertised and open to all parties, alliances, or party aspirants interested in the subject matter. NRI and NDI will work closely with the NED, USAID/Haiti, and the American Embassy to develop criteria for what is a "viable political party" in Haitian terms.

The output of this component is that **A number of political parties will maintain offices nationally, regionally, and at the grass roots level, and increase institutional identity by the end of the project.** Measures of institutional identity would include the presence of block voting and coalition formation in the legislature, and the number of candidates presented, and elected,

in the 1992 and 1994 elections. Achievement of component outputs assumes that the elected government will be supportive of U.S. assistance to minority parties, and that U.S. assistance will be acceptable to a broad spectrum of political parties.

Component **inputs** include \$ 200,000 per year in U.S. dollar funding for each of the two party institutes, or a total of \$ 1.6 million (\$ 800,000 each for NDI and NRI) over the life of the project. These funds will be supplemented by an additional \$ 1.6 million equivalent in generated currency. Dollar funds will be obligated based on USAID's review of final proposals through a multi-year grant with the NED, which will sub-grant it to the institutes through its standard procedures. Shortly after start-up, the institutes will prepare the necessary documentation for local currency support.

2.3.3 Permanent Electoral Council (CEP). Summary: In collaboration with the United Nations Development Program (UNDP) and other donors, the project will provide approximately 12 person months (pm) of short-term technical assistance and limited communications and information management commodities to assist the Permanent Electoral Council in carrying out free and open elections in 1992 (for 9 Senate seats) and 1994 (for 9 more Senators and all of the Chamber of Deputies). By the end of the project, the CEP will be functioning with adequate staff and budget, and using a valid Electoral Registry as a basis for elections.

Background

As summarized under 2.2.1 above, until recently the Haitian people had very little experience with honest electoral processes. The aborted elections in November 1987, the Manigat elections, and the successful elections of 1990/91 were conducted under the auspices of a series of three Provisional Electoral Councils, or CEPs, the first two of which (called CEP I and CEP II) were created under the terms of a May 1987 decree of General Namphy during his first regime. A CEP III under Prosper Avril convened but did not hold elections.

CEP IV, which managed the successful 1990/91 elections, was established under the formula of the 1987 constitution. Nine individuals were nominated by different non-partisan interest groups. With significant U.S. and other donor assistance, CEP IV managed what are considered Haiti's first successful, valid, national elections.

CEP IV was formally dissolved on February 7, 1991, although minor close-out activities are still underway. As described in more detail under 2.3.5 below, it is likely that another provisional CEP could be convened for a few months to oversee local government assembly elections. Once the local assemblies

are formed, they will start the process of nominating candidates for a Permanent CEP.

The Permanent Electoral Council is provided for as an independent constitutional institution under Title VI of the 1987 Constitution. The CEP is to be composed of nine members chosen from a list of three names proposed by each of the nine Departmental Assemblies (Article 192): three are chosen by the Executive Branch, three are chosen by the Supreme Court, and three are chosen by the National Assembly. The Constitution states that these bodies are, to the extent possible, to assure that each of Haiti's 9 departments are represented on the CEP.

As stated in Article 191, "The Permanent Electoral Council is responsible for organizing and controlling with complete independence all electoral procedures throughout the territory of the Republic until the results of the election are announced." The CEP is to draft Electoral Bills for the Executive Branch (Article 191-1) and to assure that the electoral registry is current (Article 191-2). The next elections which the Permanent CEP must hold are in the fall of 1992, for nine Senators, or one from each department.

USAID/Haiti worked closely with the provisional CEP in the planning and conduct of the 1990/91 elections. As reflected in Figure 1, the U.S. provided over \$ 10 million in elections assistance. Through the grant to the International Foundation for Electoral Systems (IFES), commodities were provided to establish a radio communication network between the provisional CEP and 146 departmental and communal elections offices, as well as a computerized data base for registration and vote tally. Through the grants to numerous U.S. and Haitian NGO's, a nationwide civic education campaign, including posters, flyers, video, radio spots, and forums, was undertaken. Support for registration and balloting procedures included provision and distribution of voter registration kits to the communal elections offices, training registration and poll workers, and funding to UNDP to assist in paying registration workers. The U.S. also contributed to the Organization of American States (OAS) and the NED for international observer missions.

Rationale

With the successful elections completed, it is important that the experience gained is not lost and that a permanent CEP be established soon to maintain Haiti's efforts to undertake free, fair, and credible democratic elections over time. Although the provisional CEP certainly did a credible job organizing the 1990/91 elections, there were a number of issues:

- cost: The 1990/91 elections are estimated to have cost \$ 30 million, of which the GOH financed

approximately 17 percent. The U.S. government contributed 33 percent, and other donors the remaining 50 percent. Given the very real possibility of "donor fatigue" with elections in Haiti, the GOH must be prepared to take full ownership of the electoral process, technically and financially, over time.

- complexity: CEP IV grappled with creation of electoral documents and logistical problems which bespoke a staff unversed in the mechanics of conducting a nationwide election. Simplification of the administrative procedures relative to elections will be key to judiciously managing the technical and financial resources available to the Permanent CEP.

- composition and staffing: Members of the Permanent CEP will be appointed for a nine-year nonrenewable period with one third of the members replaced every three years. The introduction of career staffers will be necessary to permit the CEP to build toward a professionally administered electoral system.

- need for a permanent, valid, registry: Despite considerable investment of money and human resources to initiate a computerized electoral register in 1990, the effort bore minimum fruit. The final data base was used exclusively to produce alphabetical printouts of registered voters for each of the polling sites. A sizeable task remains to verify and complete data entry, and possibly even to issue new voter identification cards for the 1992 elections.

- donor coordination: The UNDP took the lead in donor coordination in the 1990/91 elections. Given Haitian nationalist sentiments and possible distrust of the motivations of specific bilateral donors, there is general consensus that it is the most appropriate organization for such a role in the future. In the 1990/91 elections, however, in its concern to "get the job done," the UN did not always adequately assess complexity and cost considerations. In future election exercises, it will need to be encouraged to address these concerns in collaboration with the CEP.

Proposed Project Activities

The issues above will need to be resolved by the to-be-appointed permanent CEP if future elections are to maintain the democratic process in Haiti. The present project will assist in this process as follows:

- Establishment of a permanent CEP: Most of the almost \$ 1 million worth of radio and computer equipment provided for the 1990/91 elections is in storage, with title vested in A.I.D. The project will fund storage costs until the equipment is redeployed for development purposes. USAID/Haiti is assessing various options for efficient use of this equipment, and believes that much of it should remain dedicated to future elections in Haiti. Through policy dialogue both directly, with the executive branch, and indirectly, through multi-donor fora, USAID will encourage the GOH to establish the permanent CEP. Any of this equipment which is redeployed for elections assistance will not be released until a permanent CEP is appointed and provided adequate office space, budget, staff, and facilities to carry out its mandate.

- Improved Electoral Registry: As summarized above, USAID agrees that the United Nations is best placed to coordinate donor efforts to support Haiti's electoral efforts. The UN, through UNESCO, is already providing assistance to the GOH in the restoration of its civil registry, and plans to work closely with the new CEP in coordinating these efforts with those to establish a permanent and valid Electoral Registry. Given concerns expressed above regarding complexity, cost, and sustainability of these efforts, however, USAID will work closely with the UNDP in its assistance plans, to ensure that the Electoral Registry does not get lost in plans for the civil registry and the 1992 census. The proposed project assistance to the establishment of the electoral registry will thus take two forms: 1) close and continuing dialogue between the Democracy Project Coordinator and relevant UN officers and technicians; and 2) provision of up to \$ 252,200 for approximately 12 person months of short-term technical assistance (TA) to participate in UN teams and provide direct CEP elections management assistance, as the Project Coordinator and UN determine is necessary.

The project output from this element will thus be a **permanent CEP established, functioning, and using a valid Electoral Registry as a basis for election**. Achievement of this output assumes that UN assistance is forthcoming and proceeds more or less on schedule. Inputs include up to \$ 1 million worth of radios and computers purchased under the Elections Management Assistance project, \$ 12,000 for their storage, approximately 10 percent time of the Project Coordinator, and \$ 252,200 for 12 pm of short-term TA.

2.3.4 The Independent Sector. Summary: The project will strengthen the institutional and programmatic capabilities of at least 10-15 independent sector organizations, and an additional

4-5 labor confederations, which enhance democratic values and pluralism in Haiti. The independent sector activities will include technical assistance, training, and provision of sub-grants for activities promoting a free and independent media, access to justice, debate on democratic issues, and civic education. The independent sector activities will be managed by a competitively-selected U.S. PVO, or PVO-led consortium, which will establish an office in Haiti for the purposes of the project. The labor activities will initially be undertaken under the auspices of the Free Trade Union Institute (FTUI), as a sub-grant from the NED.

Background

The Diamond comparative analysis quoted earlier stresses the importance of the independent sector to democracy:

Both theory and evidence argue strongly for the importance for stable democracy of autonomous intermediate groups--based on class, occupation, region, ethnicity, religion, etc.--that can provide the basis for the limitation of state power, hence for the control of the state by society, and hence for democratic political institutions as the most effective means of exercising that control. In addition, a rich and free associational life may serve as an important source of democratic vitality, leadership, and experience, a training ground for democratic competition and accountability, and a stimulus to participation in the formal political arena. In each of the three countries in our study that have enjoyed the most successful experience with democracy in the past few decades--India, Costa Rica, and Venezuela--a vigorous network of autonomous and increasingly sophisticated voluntary associations has been an important foundation of democratic stability and robustness.

Autonomous and voluntary organizations have been active in Haiti since at least the 1950's. A March 1988 report sponsored by USAID/Haiti, "Options for Service Delivery Through NGO's" estimated that there were at that time between 800 and 1500 non-governmental organizations operating in Haiti, and that U.S. assistance reached approximately 400 of them (Morton, 1988, p. 5). These institutions are indigenous Haitian and international, religious and secular, technical and socio-political. Those that are formally registered fall under various categories as foundations, cooperatives, recognized as publicly useful (reconnu d'utilite publique), labor unions, associations, or NGO's. Those that are not formally registered generally call themselves a variation on "committee" or "group". Both the formal and informal may have broad and active memberships, or they may be

narrowly defined showcases for one person or ideology or technology. Both are extremely important, however, in Haiti's political-economic environment. In the absence of effective civil authority throughout most of the country, they have frequently been the only means for the population to exercise its rights and make its views known.

Because of the great spectrum of types and activities of these institutions in Haiti, as a group it may be more appropriate to refer to them as the "independent sector" rather than "NGO's" alone. The term includes those organizations that are non-governmental and non-profit, but is broader than the traditional "NGO" definition. For our purposes, it includes other types of institutions, such formal labor unions and other professional associations (e.g. media), as well as the vast number of informal democratic, social, and economic interest groups that are found throughout Haiti today.

Rationale

In the absence of effective representative government, the independent sector in Haiti has become a primary means of channeling energies, ideas, and aspirations of diverse segments of the population. Although USAID/Haiti has ample experience working with the sector in its traditional sectors of involvement, its experience with those oriented towards democracy, political participation, and human rights is more recent. The sub-grantees of the Americas Development Foundation (ADF) reflected in Figure 1 represent its activities in this sphere to date. A brief description of selected organizations will provide a useful cross-section of the types of institutions active to date:

- CDRH: The Human Resources Development Center is a registered NGO that was established under an A.I.D. grant to a U.S. PVO in 1985. Since that time it has experienced considerable growth, and now functions more or less as a non-profit consulting firm. It provides high quality formal and non-formal training of all types, with particular expertise at the grass roots level. It has changed boards and directors twice, demonstrating an institutional resilience rare in Haiti. Billings over the last five years total about \$ 1.9 million, of which 62 percent has been A.I.D. It has a full-time staff of about 40.

- IHRED: The Haitian Institute for Research and Development is a registered foundation that was established with assistance from the NED in 1985. It has produced some conference papers, but in the last two years has branched into competition with CDRH in terms of local-level training, although IHRED tends to work more at the level of rural

professionals and elites. The institution is dominated by a high powered intellectual, and institutional longevity would be doubtful in his absence. IHRED began receiving A.I.D. funds in 1988 as part of the Development of Democracy Project, and has received about \$ 600,000 to date. A.I.D. is now its primary paying client. It has a full time staff of about 25.

- Celebration 2004: This is a membership organization founded by 17 young diaspora Haitians who returned in 1986 committed to positive and lasting change in the country. They claim 8,000 dues paying members. The organization undertakes local level motivation and training of mid-level professionals and leaders throughout Haiti. It has received about \$ 75,000 from A.I.D. to date, with its other resources being member-volunteer time and dues. It has no full-time salaried professional staff.

- CHADEL: The Haitian Center for Human Rights was initially established in New York in 1983 to provide advocacy for Haitian immigrants having difficulties with the Immigration and Naturalization Service. In 1986 the principals, a Haitian husband-wife lawyer-social worker team, returned to Haiti and began active human rights advocacy programs. CHADEL is registered in Haiti as "reconnu d'utilite publique". The organization undertakes basic monitoring, prison assistance, and human rights advocacy at a number of locations. It has an annual budget of \$ 120,000 - \$ 130,000, from U.S. and Canadian foundations such as Ford. It has 18 full time staff.

- Association of Haitian Journalists (AHJ): The AHJ was founded in 1955 by a group of Haitian newspapermen, and was dominated by duvalierists for the next 30 years. It is registered as a professional association, and seeks to improve Haitian journalists standards, ethics, and overall professionalism. It experienced a rebirth in the pre-election excitement, and operated a press center with A.I.D. funding for a short time. Although it claims 300 dues paying members, principals note that office rent is often scrounged from media bosses. It received \$ 25,000 from A.I.D. for elections activities. It has one receptionist who gets paid when they have money.

There are thus two membership-based organizations, with specific constituencies and clients, two broader-based training organizations, and one human rights group. The two larger ones have demonstrated ample ability to manage large amounts of A.I.D. funding, one (CHADEL) has a track record with other external

funds, and two (Celebration 2004 and AHJ) are just gearing up systems for external financing. This broad range of constituents, clients (or beneficiaries), and institutional capacity is representative of the many other independent sector organizations interviewed by or known to the Design Team. Many are deserving of A.I.D. support; the difficulty will be in selecting those that can have the most impact on Haiti's fledgling democratic pluralism and that have the most chance of maintaining that impact over time.

Proposed Project Activities

The project will provide programmatic support and institutional strengthening for at least 10-15 independent sector organizations, and an additional 4-5 labor confederations, that represent and/or serve a cohesive and defined segment of the Haitian population that is important to promoting constructive pluralism and competition. The emphasis will be on institutional strengthening, both of the recipient and the group or groups comprising the participating population. **The desired end is not simply more individuals who know about democracy, but rather an increase in the number and type of institutions that can channel constructive competition into pluralistic endeavors.**

The assistance to the independent sector organizations, except for labor, will be managed through a Cooperative Agreement with a U.S. PVO umbrella management unit (UMU), which will establish an office in Haiti for purposes of the project. The office will be headed by 3 key personnel: a Chief of Party/Democracy Advisor (4 years), a Financial Management Specialist (4 years), and an Institutional Development Advisor (2 years). The UMU will additionally have approximately 4 senior professional staff and 11 support staff. The UMU will direct the independent organizations' sub-grants proposal development and provide technical, financial, and institutional assistance to participating organizations. Although USAID/Haiti, with Embassy and USIS assistance, will approve each sub-grant on a case-by-case basis, the UMU Chief of Party will have full administrative authority to execute and manage sub-grants under the component. A summary Scope of Work for the UMU is found at Annex F.

The objective of the sub-grant fund will be to support **effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education.** The programs to be supported will be based on a non-partisan approach. Institutions to be funded will be selected after submitting proposals in response to periodic open notification ("open season"), undertaken by the UMU. The open notification will include a description of the objectives of the funding, the evaluation criteria to be used, and an illustrative proposal format, which will be developed by

the UMU early in the project. Illustrative criteria and weighting totalling 100 points is provided at Figure 3 overleaf; an early task of UMU will be to refine both the criteria and weighting system. Although limitations are not given at this time for project magnitude or duration, the UMU will consult with the Mission Democracy Project Committee concerning the need to insert criteria in these areas so that an adequate number of grantees are selected.

Initial proposals within a competitive range will be further developed in consultation with the UMU. When the UMU determines the proposals are ready for funding, they will be submitted to the Mission Democracy Project Committee along with a recommended plan for UMU technical assistance (in-house and short-term consulting) to provide institutional strengthening of the NGO. This latter plan will include specific performance indicators to be achieved. Once Project Committee approval is obtained, the UMU will prepare a sub-grant agreement with the approved organization and disburse and manage the sub-grant.

The UMU will thereafter work with the organization to ensure that its sub-project workplan is followed and that necessary progress and financial reports are submitted in form and content satisfactory to the terms of the sub-grant. The UMU will undertake periodic consultation with the organization and monitoring visits, as indicated. It will also provide the short-term technical assistance and in-house expertise as planned. The UMU will provide quarterly reports to USAID on overall component progress, the summary status of each sub-project, and of progress towards institutional performance benchmarks for each participating organization. Quarterly comprehensive financial reports for U.S. dollar and local currency funding will also be submitted.

Types of activities that are likely to be supported include the following:

- **Free and Independent Media:** Depending on the quality of the eventual proposal, the project may provide assistance to the Association of Haitian Journalists (AHJ) for membership training and development of professional standards and ethics. The sub-grant will be developed in close consultation with USIS, which has a long-standing relationship with AHJ. It is likely to include in-country training by consultants identified in collaboration with USIS, as well as possible short-term training in the U.S.

- **Access to Justice:** USAID/Haiti is developing a new project for an FY 1992 start, Administration of Justice (521-0238). There are several Haitian organizations actively involved in promoting individual's access to

Figure 3: Democracy Enhancement Project: Illustrative Criteria for Independent Sector Sub-Grants

Mandatory Criteria (must be satisfied, not weighted):

The proposal must come from a non-profit, non-governmental, organization that is recognized in Haiti; following established USAID procedures, this means that the organization must either be registered with the GON, or have received acknowledgement from the Ministry of Plan that it has submitted an application for registration. It should also have undertaken some activities commensurate with its identity prior to receiving A.I.D. funds, and be known to have no adverse reputation.

The proposed sub-project will promote broad-based political participation and decision-making, and respect for the constitution through strengthening of Haitian institutions.

The proposed sub-project does not request funding that would jeopardize the organization's traditional sources of finance.

Substantive Criteria (illustrative weighting provided, 65 points):

- 1) The proposed sub-project will promote understanding of the rights and responsibilities of citizens and groups under the terms of the 1987 constitution; (10 pts)
- 2) The proposed sub-project will benefit a well-defined and cohesive segment of the population, based on constitutional structures and/or professional, economic, social, or cultural common interests (as opposed to "mass education"); and/or specific activities within the sub-project will be designed to benefit specific sub-groups, i.e. radio spots designed for specific age groups, forums or debates addressed to a specific audience level of education, etc.; (10 pts)
- 3) The proposal demonstrates that the proposed sub-project represents a response to expressed needs of the beneficiary population(s); (10 pts)
- 4) The proposed sub-project does not overly duplicate similar activities with the same beneficiary group conducted by another organization; (10 pts)
- 5) The proposed sub-project is non-partisan in approach, i.e. members of the beneficiary population(s) holding competing political beliefs can participate equally; (5 pts)
- 6) The proposed sub-project will have measurable benefits to the participating population group(s), i.e. specific skills developed, organizational linkages created, public policy changed, etc., (as opposed to only measurable inputs); (10 pts)
- 7) The proposed sub-project's costs are not excessive in comparison to the measurable benefits; (5 pts)
- 8) The proposed sub-project identifies specific strategies to ensure women's participation in sub-project activities and benefits; (5 pts)

Institutional Criteria (illustrative weighting provided, 35 points)

- 9) The proposed sub-project is consistent with the institution's mandate and past experience; (5 pts)
- 10) The institution possesses or demonstrates access to management skills required to manage external funding; (10 pts)
- 11) The institution possesses or demonstrates access to the technical competencies required to carry out the proposed sub-projects; (10 pts)
- 12) The proposal includes a specific plan as to how the institution will sustain any internal growth due to A.I.D. funding, as well as how it will sustain any sub-project benefits such as new groups formed, after such funding ceases. (10 pts)

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justice, e.g. CHADEL through its human rights work. To the extent that these groups can identify specific segments of the population that will benefit from their programs, they will be strongly considered for assistance.

- **Debate on Democratic Issues:** There are a number of nascent "think tank" organizations in Haiti which undertake conferences and fora organized around specific topics. Two that are known to the Mission are the Centre Petion Bolivar, which supports monthly Free Forums to stimulate debate on issues of public interest, and the Haitian Association of Voluntary Agencies, which promotes Haitian independent sector solidarity and serves as a lobby for the sector with the GOH. These activities are geared towards scholars, professionals, and intellectuals, who are key decision-makers in the Haitian democratic environment. The project may support expansion of their activities to wider audiences or more topics, and similar conference and forum activities by other to-be-identified groups.

- **Civic Education:** There are a number of membership-based organizations, including Celebration 2004 and the Haitian Foundation for Aid to Women (FHAF), which work with specific client/member groups. These organizations can be assisted in developing civic education materials and modules which promote democratic values and attitudes for the specific clients.

More information on independent sector organizations that have expressed interest in sub-grant funding, and possible activities they might undertake, is found in Annex E, Social and Institutional Analysis. The analysis also includes discussion of potential activities for more informal associations, which might not qualify for a sub-grant but merit assistance due to mandate or constituency. As described in the Annex, these groups can be assisted through intermediaries such as HAVA, or directly through group training by the UMU.

Labor Confederations

There are few valid statistics on employment or the labor movement in Haiti. USAID/Haiti estimates that there are approximately 90,000 - 100,000 workers in the formal wage sector in Port-au-Prince, of whom roughly half are in the assembly sector (and thus mostly women). A publication issued by one of the larger labor confederations, Federation des Ouvriers Syndiques, or FOS, in December 1989 claimed 400,000 salaried workers throughout the country in 1987. The FOS publication also claimed that no one knew how many were in labor unions, but that the highest percentage of unionized workers were in the peasant

and assembly sectors, and in agro-industry, teaching, transport, and autonomous public agencies. The FOS publication cites as the least unionized those workers in breweries, laundries, hotels, and wholesale and retail trade.

There are an estimated 200 separate labor unions in Haiti. These range from small unions organized at one establishment to larger unions which grouped workers from several locations. Most have their own executive committee and officers. The 200 unions are regrouped into an indeterminate number of larger, national unions, which regroup into five confederations: the aforementioned FOS, the Organisation Generale Independante des Travailleurs Haitiens (OGITH), the Central Autonome des Travailleurs Haitiens (CATH), the Confederation des Travailleurs Haitiens (CTH), and the teachers confederation, the Confederation Nationales des Enseignants Haitiens (CNEH).

As described in Annex E, Social/Institutional Analysis, the only confederation that could currently qualify for a sub-grant under the independent sector fund is CNEH. The other confederations are institutionally very fragile. Given the size and potential importance of the labor movement to Haiti's democratic development, the Mission has thus decided to approach its development apart from the more generalized independent sector activities.

A total of \$ 500,000 in U.S. dollars and \$ 400,000 equivalent local currency is separately budgeted to support the development of Haiti's 4-5 labor confederations, which represent approximately 200 separate labor unions. The Mission has received a proposal from the American Institute of Free Labor Development (AIFLD) to provide this support. AIFLD has had representatives in Haiti working with these groups since 1986, and the confederations have expressed interest in it continuing its work. The preliminary AIFLD proposal, however, did not meet the Mission's concerns in terms of institutional strengthening and individualized approaches to the different confederations. It has thus asked AIFLD for a more detailed proposal, which is in the process of development.

Because AIFLD is an affiliate of the Free Trade Union Institute (FTUI), which is a core institute of the NED, in the interests of efficient management, any AIFLD funding would be provided through the NED grant, along with the funding for NRI and NDI. Should the AIFLD proposal not prove responsive to Mission needs, the Mission will work closely with FTUI to identify other appropriate means of assistance. There are a number of independent labor foundations association affiliated with the AFL-CIO, and thus FTUI, which could provide the desired support on a more specialized basis to specific Haitian unions. The American Federation of Teachers is one such group that could work with CNEH. The Mission will continue its dialogue with the

NED in the coming months to determine which modes of assistance will be most appropriate.

The overall component output is that the capabilities of at least 10-15 independent sector organizations and 4-5 union confederations will be strengthened to support effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education. Achievement of this output will depend on three assumptions: (1) that the GOH will support a broad spectrum of activity in the independent sector, (2) that project assistance will not supplant other traditional funding sources, including membership contributions, and (3) that the GOH will continue to support independent labor activities.

The total budget for the inputs of the overall independent sector component is \$ 8.75 of which \$ 6.50 is A.I.D. funding and ~~\$ 2.25~~ GOH contribution in generated local currency. A more detailed breakdown of the allocation of these inputs is found in Annex D, Detailed Budgets.

2.3.5 Local Government. Summary: Assistance to Haiti's nascent local governments is conceptualized as a separate component, although as summarized above, major inputs will be managed by the Umbrella Management Unit under the independent sector component. The UMU will have funding for possible short-term TA in this field. As described below, however, the situation regarding local government is still evolving. The project also provides funding for short-term TA outside of the UMU, to be directly selected and managed by USAID/Haiti, should project management determine the need exists.

Background

As briefly described in Section 1.2, Haiti has a long tradition of separate governance of the territorial divisions and the nation, the latter of which has often been conceived only as Port-au-Prince. A new code issued by General Namphy under his first regime in 1986, which attempted to establish more responsive local civilian councils (CASERs), was only partially implemented, and the infamous chefs de section remain. Most of the larger cities have had appointed mayors, who have acted most recently under provisions of a law promulgated under Jean-Claude Duvalier in 1982. There have been few horizontal formal linkages established between the executive branch, represented by the military and appointed Delegates and Vice-Delegates, and any local authorities. Governmental social, economic, and political development efforts have been managed vertically downward by the center. The numerous local non-governmental interest groups, including the Church, labor unions, farmer associations, etc.,

have generally not formally been linked to any local governmental structures.

Title V, Chapter I, of the new Constitution strongly supports decentralization of civilian government and establishes a tiered system of elective local structures, which are reflected in Figure 4 overleaf. These structures are based on the socio-political divisions of Haiti: the smallest administrative unit is the communal section, followed by the commune or municipality (which comprises several communal sections), the arrondissement, and the department, of which there are nine.

The January 1991 elections brought into office three representatives for each of Haiti's 565 communal section councils, or CASECs, and three for each of its 134 communes or municipalities, known as Mayors and Vice Mayors. Unfortunately, through oversight by the CEP IV, no provision was made for the election of communal section assemblies. Because of this, the municipal assemblies cannot be formally constituted, and because of this, the departmental assemblies cannot be formed. The departmental councils are to be indirectly elected by the departmental assemblies, so they also have not yet been constituted.

The situation becomes somewhat circular, however, because an Electoral Council (CEP) is required to organize and conduct the required elections, and according to the constitution the non-existent departmental assemblies must nominate members of the permanent CEP. The National Assembly is debating the problem, and may reconvene the provisional CEP for two months in order to conduct the communal section elections. Most legislators interviewed seemed to think this would occur relatively soon.

A more complex problem is the development and passage of enabling legislation that more fully describes the roles, responsibilities, and vertical and horizontal linkages of the new local government bodies. Some of the more obvious problems to be addressed are summarized below:

- The constitution provides that "the State is obliged to establish for each communal section the structures required for social, economic, civic and cultural training of its population," but given the empty treasury, it is unclear quite how this will happen, or what the relationship between the CASECs and such presumably executive-branch structures will be.
- The constitution further states that "the communes have administrative and financial autonomy" (Article 66), but may be "assisted at their request by a Technical Council furnished by the central government"

**Figure 4: Local Government Structures
Established by 1987 Constitution**

<u>Geographical Divisions</u>	<u>Territorial Administration</u>
CENTRAL GOVERNMENT	INTERDEPARTMENTAL COUNCIL 1 member per department designated by Departmental Assembly
TECHNICAL MINISTRIES	
9 DEPARTMENTS	DEPARTMENTAL ASSEMBLY * composed among others of 1 representative from each Municipal Assembly * reports to central government * elects and supervises Department Council 3 member DEPARTMENTAL COUNCIL (indirectly elected by Assembly)
43 ARRONDISSEMENTS	- no elected representatives at arrondissement level
134 COMMUNES	MUNICIPAL ASSEMBLY * composed, among others, of 1 representative of the CASEC * reports to Departmental Assembly * supervises and assists Municipal Council 3 member MUNICIPAL COUNCIL * directly elected * headed by Mayor
565 COMMUNAL SECTIONS	ASSEMBLY OF COMMUNAL SECTION * no information on composition or method of selection 3 member council of Communal Section, or CASEC * directly elected

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(Article 71). This 'Technical Council' is not elsewhere described.

- The constitution does not distinguish between poor, rural, remote communes and communes comprising Haiti's major cities. Thus while the Mayors of Port-au-Prince or Cap-Haitian could indeed develop financial autonomy to the benefit of their citizens, the Mayors of numerous smaller communes have no prescribed access to resources. Although the 1982 mayoral law can be used as a base, there is essentially no legal framework with which to develop rural or urban municipal resource generation or allocation plans, e.g. tax and tariff regulations, municipal fee schedules, etc. The distinction between urban and rural communes is yet another issue that must be addressed.

- Although the constitution provides for continuance of the executive representatives of Delegate, at the departmental level, and Vice-Delegate, at the arrondissement, it is unclear how these political appointees will relate to the new elective structures.

- The constitution provides for the creation of an Interdepartmental Council, the members of which are to be designated by the Departmental Assemblies which do not yet exist. The Interdepartmental Council is to work with the executive to plan projects for decentralization and development of the country in all sectors. Thus the only stated basis for linkage of the executive and local government is at the center, which is to undertake central planning of decentralization. No formal linkages between departmental councils and the national legislature are prescribed.

- And finally, the constitution establishes a distinct difference between the army and the police, but it is unclear as to the fate of the chef de section. The GOH announced on April 5, 1991 that these officials would be moved under the Ministry of Justice, to serve as communal police. Their relationship with the CASEC's has yet to be defined.

Rationale for Approach

The issues above are just the most obvious, based on review of the constitution and discussion with interested persons and not on careful study of the legal framework. Several interest groups (notably political parties) are working with their legislators to develop proposed laws to address the issues, based on required careful study of precedents. Given the numerous

major issues on the legislators' and executive branch agendas, it is likely that this process will take several months at a minimum to resolve. Given the inexperience of most local government bodies, any laws enacted will take several more years to implement.

In spite of the dynamics of the situation, however, the importance of supporting local government is such that A.I.D. should demonstrate modest support as soon as possible, and continue to monitor the situation for more extensive support in the future. Given Haiti's history of revolving "presidential strongmen" and a dominant, centrally-oriented executive, stability over time will only come if the bulk of the population--the 90 percent poor rural and urban masses--develop ownership of a democratic government so that they will not tolerate potential non-democratic moves. Developing this ownership in the first instance means developing credible, functional government bodies that can respond to local level concerns. The CASECs and Municipal Councils are such bodies. The creation of a grassroots "demand" function for democratic governance will serve as yet one more piece of the check and balance system that may enable Haiti to sustain its recent positive efforts over time.

Proposed Project Activities

The development of enabling legislation for the local government structures will take time, given other priorities of the executive branch and the National Assembly, and direct A.I.D. assistance specific to development of such legislation is not recommended at this time. USAID/Haiti will continue to monitor the situation, and may determine that select technical assistance is merited in the future, either from the "direct A.I.D." assistance category under this project or the companion FY 1991 Policy and Administrative Reform Project (521-0222). The project will, however, provide indirect support through several channels to assist the National Assembly in developing sound decentralization and local government laws.

- As described under 2.3.1 above, the project will provide technical assistance and training to the National Assembly. Included will be assistance to the legislators in developing plans for proper legislative development and/or review, including researching models in other countries, reviewing Haitian precedent, seeking constituent opinion, etc.

- As described under 2.3.2 above, through grants to the National Republican and Democratic Institutes, political parties involved in proposing or lobbying legislation may be provided technical assistance in specific subject areas. Depending on needs identified by the participating parties, an early type of assistance could be examination of relationships

between elected party representatives at the central and local levels, improved skills at constituency building, and recommended means of strengthening such relationships.

Also, as described in section 3., the budget for this project includes up to 22 person months of short-term technical assistance for needs to be identified by USAID. Depending on the pace of local government mobilization, some of these funds may be used for a buy-in to the centrally-funded Decentralization: Finance and Management Project, to provide more specialized assistance in this field. Other parallel assistance to strengthen local governments is likely through the Special Development Activities project (521-0062), which provides small grants for short-term, visible projects undertaken by community groups, including civil authorities. Democracy Project management will stay in close touch with the SDA managers to assure that credible local government groups are aware of and have access to this funding.

In the meantime, even in the absence of clarifying legislation, there is strong popular support for the CASECs and Municipal Councils to form and to do something, as they are the first democratically elected local representatives Haiti has ever had. The Mayors of both Port-au-Prince and Cap Haitien have, in fact, already organized groups of mayors in their metropolitan areas and are formulating development action plans. In response to this enthusiasm, under PD&S and local currency funding, USAID/Haiti provided two Haitian organizations, IHRED and CDRH, with funding to undertake CASEC needs assessments, both in the urban and rural milieu. Over the next two-to-three months each will present its findings and a plan for training of select CASECs in the conduct of local government.

This project component will build on the findings of these studies, as well as continuing input from other components, in developing plans for training at the local government level. During the first year, sub-grants will be provided to IHRED and CDRH and possibly other training institutions for training of at least 300 CASECs and 50 Municipal Councils in basic skills, such as leadership, conduct of meetings, basic principals of the constitution, structure, and functions of the Haitian government, etc. As knowledge is gained and organizational responsibilities clarified, training programs will become more focussed on specific skill areas required. Depending on needs, the project will provide participating CASEC's and Councils with modest office furniture and equipment at training completion.

By the end of the project, the following project output will be achieved: **at least 350 local government bodies will have improved organizational and individual skills in planning, resource generation and allocation, and constituent**

participation. Achievement of this output will depend on three assumptions: (1) effective training materials for local governments can be developed; (2) enabling legislation is passed in a timely manner, and (3) elected local officials are responsive to training availability on a non-partisan basis.

Project **inputs** to support this component include approximately \$ 1.0 million from A.I.D., which is included in the \$ 6.5 million to the UMU discussed above, and additional \$ 5.7 equivalent in generated local currency for sub-grants to local training institutions and for local government democracy related activities. These inputs will be managed by the UMU. The UMU operating budget also includes funds for possible ST TA for local government.

The project budget also includes up to 22 person months of short-term TA managed directly by A.I.D., some of which can be used for local government activities. Depending on the pace of local government mobilization, the Mission will consider use of some of this for a buy-in to the centrally-funded Decentralization: Finance and Management Project of A.I.D.'s Bureau for Science and Technology, or other appropriate qualified sources.

2.4 Relation to Other A.I.D. Projects

The Democracy Enhancement Project is one of three new projects supporting USAID/Haiti's strategic objective of the evolution of public and private democratic institutions that respond to the needs of the Haitian people and reinforce the rule of law. (See Section 1.3) A second, Policy and Administrative Reform (521-0222), will also begin in FY 1991. It will work primarily with the executive branch of the GOH, with the purpose to facilitate agreement on, support for and implementation of priority administrative and economic policy reforms. The third new project, Administration of Justice (521-0238) will begin in FY 1992, and will work primarily with the judicial branch of the GOH. Through these three projects, USAID hopes to maintain access to and influence with Haiti's new government in terms of improving Haiti's overall economic and political environment.

The Democracy Enhancement Project strategy and design recognize that development of sustainable democratic institutions is a long term process, and that a number of nascent civic associations could benefit from short term, visible assistance to reinforce their legitimacy as representatives of people's needs. Democracy Project management will thus remain in close contact with USAID managers of the Special Development Activities (SDA) Project (521-0062), which provides small grants to such organizations for visible small projects. The average SDA grant is \$3,000 - \$4,000 dollars, with a maximum of \$ 10,000. Types of projects have been primarily infrastructure, e.g. school

construction and renovation, potable water supply, latrine/sanitation construction, with some productive activities, e.g. crop irrigation or handicrafts production. Where small civic associations have such proposals that do not fit under the UMU sub-grant funding criteria, but appear to be useful small projects of credible civic associations, they will be encouraged to apply for funding under SDA.

There are a number of other A.I.D. projects that will also contribute to the project purpose of strengthening constitutional and private institutions which facilitate participation in democratic decision-making and respect for the constitution. Key among these is the Incentives to Improve Basic Education (IIBE) Project (521-0190), which is implemented in Haiti through the non-profit Haitian Foundation for Private Education (FONHEP). FONHEP has developed a proposal to develop a civic education curriculum, with consequent teacher training, for primary and secondary schools throughout the country, which is being considered as part of an FY 1992 amendment to the project. Given the high percentage of Haitian children enrolled in private schools, and the need to strengthen democratic values and attitudes now and in the future, this proposal is being given highest priority in the IIBE amendment process.

A second project in USAID's education portfolio that will contribute to achievement of the project purpose is the Caribbean and Latin American Scholarship Program II, or CLASP II (521-0227). This participant training program has reserved 18 training slots over the 5 year life of project for democracy participants, tentatively allocated to 9 journalists and 9 community leaders. If additional needs under the Democracy Enhancement Project are identified during implementation, the CLASP II staff and systems can be called upon to process the identified participants.

Two projects in USAID's agriculture portfolio also have potential for strong impact in development of institutions to promote democracy. The first, the Coffee Revitalization Project (521-0216) is working with 42 groups of coffee producers based on traditional kombite organizations. These groups have elected 4 representatives to sit on a national Coffee Advisory Committee with representatives from the large scale private sector, the GOH, and the donor community, to make the needs of their groups known to the center. Similarly, 87 small farmer associations representing 80,000 rural producers are members of the Agricultural Producers Association (APA), and meet regularly with representatives of large scale agribusiness through the APA structure. This structure will be enhanced under the new AGLINK project (521-0231), scheduled to start in FY 1992. Both of these projects are thus strengthening existing economic interest groups in the rural areas and the center, forging vertical linkages

between them and thus facilitating consensus between often competing interest groups.

Two projects in USAID's private sector portfolio will provide support to democratic activities of private business interest groups. The first, Promotion of Business and Exports (PROBE, 521-0186) has the purpose of stimulating the growth of exports and the expansion of existing businesses by providing support services to a wide range of business institutions and associations, as well as to entrepreneurs in manufacturing and agribusiness. Through an FY 1991 amendment, the project will provide technical, financial, and administrative assistance to a number of existing voluntary interest groups which provide linkages between exporters and producers.

The second private sector project is Informal Sector Development (521-0230), targeted for an FY 1992 start. The project purpose is to strengthen business activity in the informal sector by reducing barriers to credit and services and to open up productive linkages with the formal sector. The project will work through a number of independent sector intermediaries, both Haitian and U.S., to stimulate extension of credit and desired linkages in credit unions, women's village banking, and marketing associations.

Finally, several activities in USAID's child survival portfolio directly support grass roots voluntary organizations working in child health, water supply, and family planning, among Haiti's historically disadvantaged population. The Democracy Enhancement Project may supplement these activities by encouraging linkages among these and other, broader, civic associations and local government bodies.

2.5 Relation to Other Donor Projects

Although several donors are discussing possible programs to assist Haiti's nascent democracy, none have made as much progress as A.I.D. in defining the assistance. French Aid and Cooperation (FAC) has had discussions with a variety of executive, judicial, and legislative branch members. It is likely that the French will provide some form of assistance in the reform of the military/police systems, moving towards a system similar to France, with domestic police under the Ministry of Interior or Justice, and the military for national defense under a Ministry of Defense. The French have also expressed interest in judicial reform, again citing similarities between their system and that described in the Haitian constitution. Finally, at least one French parliamentarian has visited Haiti and spoken to senior legislators, and it is likely that some form of parliamentary support will be forthcoming. FAC has planned a Joint Commission between Haitian and French ministers for the fall, 1991, to specify types and levels of assistance. USAID/Haiti will

maintain close contact with FAC as it develops its plans in the interim period.

The UNDP will likely also provide some support to the National Assembly and to local government, in addition to its support to the CEP discussed in 2.3.3 above. As this has not yet been specified, USAID will need to maintain contact to assure complementarity and avoid overlap. The Germans plan no official aid to democratic development, although the three German political foundations currently active in Haiti will continue their support to NGO's and selected political parties. The Canadians and Venezuelans are also known to be interested in support to the legislature, local government, and NGO's, although the extent of future support is not defined.

In summary, A.I.D. is currently slightly ahead of most donors in its plans for support to constitutional structures and Haiti's democratic processes. The Mission will need to actively engage in dialogue with the donor community to assure complementarities over time.

3. COST ESTIMATES AND FINANCIAL PLAN

3.1 Funding Components

The proposed budget for the project totals \$ 24.5 million, consisting of \$ 11.0 million of Development Assistance (DA) funds and \$ 13.5 million from generated local currency. The DA funds will be used for three grants to the Consortium for Legislative Development (and other organizations for legislative development) (\$ 0.9 million), the NED (\$ 2.1 million) and the competitively-selected UMU (\$ 6.5 million). USAID will undertake direct contracting for approximately \$ 1.220 million in DA funds for the services of three PSC project coordinators, 12 pm of ST TA for the CEP, 22 pm ST TA for other assistance needs, 20 pm ST U.S. "target of opportunity" training, two evaluations, and a close-out audit.

Table 1 provides project funding by source and use over the life of the project (LOP). Table 2 provides LOP funding by year by project component for DA funds. Table 3 provides LOP funding by year by project component for generated local currency (LC). Detailed budgets are in Annex D.

**Table 1: Democracy Enhancement Project
Source and Use of Funds**
(Millions of U.S. Dollars)

<u>Project Component</u>	<u>AID (D.A)</u>		<u>Generated LC Only</u>	<u>TOTALS</u>	
	<u>FX</u>	<u>LC</u>		<u>FX</u>	<u>LC</u>
National Assembly	.864	.040	3.500	.864	3.540
CEP	.252	.012	-	.252	.012
Parties/Labor	2.100	-	2.000	2.100	2.000
UMU Management	2.048	1.100	-	2.048	1.100
UMU Sub-Grants					
Independent Sector	2.250	-	2.250	2.250	2.250
Local Government	1.000	-	5.700	1.000	5.700
Audit	-	.100	-	-	.100
A I.D. Management	1.080	.140	-	1.080	.140
TOTALS	9.594	1.392	13.450	9.594	14.842
GRAND TOTALS	10.986		13.450	24.436	
Rounded to	11.000		13.500	24.500	

TABLE 2: ESTIMATED EXPENDITURES BY COMPONENT BY YEAR, DA FUNDS ONLY
(U. S. Dollars)

<i>Description</i>	Year 1			Year 2			Year 3			Year 4			Total	Total	Grand
	FX	LC	Total	FX	LC	Total									
<i>NATIONAL LEGISLATURE</i>	163	10	173	404	10	414	158	10	168	139	10	149	864	40	904
<i>CEP</i>	80	12	92	84	0	84	88	0	88	0	0	0	252	12	264
<i>POLITICAL PARTIES/LABOR</i>	650	0	650	650	0	650	400	0	400	400	0	400	2,100	0	2,100
<i>UMU, IND.SEC.,LOCAL GOVT</i>	1,206	295	1,501	1,263	304	1,567	1,396	296	1,692	1,433	306	1,739	5,298	1,200	6,499
<i>DIRECT AID</i>	202	33	235	314	34	348	219	36	255	295	38	332	1,030	140	1,170
<i>AUDIT</i>	0	0	0	0	0	0	0	0	0	50	0	50	50	0	50
Total DA Funds	2,301	349	2,650	2,716	348	3,063	2,261	342	2,603	2,317	354	2,671	9,595	1,393	10,987

TABLE 3: ESTIMATED EXPENDITURES BY COMPONENT, GENERATED CURRENCY ONLY
(U. S. Dollars)

	Year 1			Year 2			Year 3			Year 4			Total	Total	Grand
	FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC	Total
<i>NATIONAL ASSEMBLY</i>		500	500	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	0	3,500	3,500
<i>NRI</i>		200	200	200	200	200	200	200	200	200	200	200	0	800	800
<i>NDI</i>		200	200	200	200	200	200	200	200	200	200	200	0	800	800
<i>FTUI</i>		200	200	200	200	200	0	0	0	0	0	0	0	400	400
<i>IND.SEC. SUB-GRANTS</i>		250	250	500	500	500	750	750	750	750	750	750	0	2,250	2,250
<i>LOCAL GOVERNMENT TRAINING</i>		1,200	1,200	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	0	5,700	5,700
Total LC		2,550	2,550	0	3,600	3,600	3,650	3,650	3,650	3,650	3,650	3,650	0	13,450	13,450

TOTAL PROJECT **2,301** **2,899** **5,200** **2,716** **3,948** **6,663** **2,261** **3,992** **6,253** **2,317** **4,004** **6,321** **9,595** **14,843** **24,437**

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Table 4 provides a schedule of estimated LOP obligations.

**Table 4: Democracy Enhancement Project
Life of Project Obligations (D.A.)
(\$ 1,000)**

<u>Component</u>	<u>FY 91</u>	<u>FY 92</u>	<u>FY 93</u>	<u>FY 94</u>	<u>FY 95</u>	<u>TOTALS</u>
Nat'l Assem.	48	200	200	400	56	904
Parties/ Labor	400	650	600	450	-	2,100
CEP	12	100	100	52	-	264
NGO's/ Local Gov't	2,220	700	750	1898	932	6,500
AID Mgmt	120	350	350	300	100	1,220
Totals	2,800	2,000	2,000	3,100	1,088	10,988
Rounded To	2,800	2,000	2,000	3,100	1,100	11,000

3.2 Administration of Dollar Funds

Except for the \$ 1.220 million for direct A.I.D. management and audit, the DA funds will be used to enter into the following assistance agreements: a \$ 2.1 million grant to the National Endowment for Democracy (NED) for further sub-grants to NRI, NDI, and FTUI; a \$ 6.5 million Cooperative Agreement with a US PVO to establish the UMU and provide long- and short-term TA, training, and sub-grants to the independent sector and local government; and a \$.9 million for a buy-in to the Consortium for Legislative Development's agreement with LAC, and for other assistance instruments, to provide technical assistance, study and observation tours, and limited commodity support for the National Assembly.

The initial obligation of \$ 2.8 million will be used as follows: \$ 48,000 for the Consortium for Legislative Development; \$ 400,000 for the NED grant, for first year costs for NRI and NDI; \$ 12,000 for one year of storage for computer and radio equipment intended for the Permanent CEP; \$ 2.220 million for the first year of the UMU; and \$ 120,000 for contracting the Project Coordinators.

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3.3 Administration of Local Currency

Local currency counterpart funds will be obligated by joint agreement between the GOH and USAID, using appropriate authorizing documents. Each grantee receiving counterpart funds will have the responsibility to prepare the required documents, in collaboration with USAID. The UMU will prepare a global counterpart fund request on behalf of independent sector sub-grantees. A detailed budget will be provided for review and approval purposes to USAID. The advance of funds will be according to standard procedures agreed upon between USAID/Haiti and the GOH.

Local currency requirements for all components have been broadly estimated. The grantees will provide more specific projections of need, based on demand, for their respective components shortly after arrival in country.

3.4 Financial Management-Methods of Implementation and Financing

Table 5, Methods of Implementation and Financing, reflects the primary project procurements from DA funds and means of disbursement over the LOP.

The agreements with the NED and the Consortium will be handled by Federal Reserve Letter of Credit (FRLC), which the Mission has found to be an appropriate mechanism. The PVO awarded the UMU will also, most probably, be funded by FRLC either through an existing or a new one.

As part of the sub-grant process, and as required by A.I.D. Handbook 13, the UMU and the NED, both US PVOs, will ensure that 1) their books and records are subjected to an audit under the requirements of OMB Circular A-133 ("Audits of Institutions of Higher Education and Other Non-Profit Institutions"), and 2) that the books and records of its sub-grantees, receiving more than \$25,000 in sub-grants are audited in accordance with OMB A-133 if they are US PVOs, or in accordance with the A.I.D. Inspector General's "Guidelines for Audits of Foreign Recipients", if they are foreign PVOs.

At the end of the project, USAID will contract for a RIG close-out audit. At that time all project costs will be checked for compliance with grant/cooperative agreement provisions, as well as contract provisions for the short term TA. Funds are included in the budget for direct incremental costs of annual audits and for a RIG close out audit.

Table 5: Methods of Implementation and Financing
(\$ 1,000)

<u>Component/ Activity</u>	<u>Method of Implementation</u>	<u>Financing Method</u>	<u>Amount</u>
Nat. Assembly TA, etc.	Buy-in to LAC Cooperative Agreement/Other	FRLC	904.0
TA to CEP	Direct A.I.D. contracts	Dir.Payment	252.2
Equip.Storage TA, Training, to Parties, Labor	Direct A.I.D. contract Non-competitive grant to NED	Dir.Payment FRLC	12.0 2,100.0
TA, sub-grant management for NGO's, local gov't	Competed Cooperative Agree- ment with U.S. PVO	FRLC	6,500.0
Project Coord.	Personal Service Contracts	Dir.Payment	417.0
Other ST TA	Direct A.I.D. contracts	Dir.Payment	477.2
ST Training	Direct A.I.D. PIO/P	Dir.Payment	150.9
Evaluation TA	Direct A.I.D. contracts	Dir.Payment	125.0
Audit	Direct A.I.D. contract	Dir.Payment	50.0

The methods of implementation and financing are appropriate and are within the preferred methods as defined by the payment verification policy. On the basis of the above, the USAID/Haiti Controller has approved the methods of implementation and financing under the auspices of the payment verification policy.

4. IMPLEMENTATION PLAN

4.1 Project Management Arrangements

Overall responsibility for the project will rest with the Chief of the USAID/Haiti Human and Institutional Development Office (HIDO). The Chief, HIDO, will directly supervise three project-funded Personal Service Contract (PSC) Project Coordinators, who will form a Democracy Unit within HIDO. The Chief, HIDO, will supervise the division of responsibilities among the Project Coordinators, who will manage the project on a

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day-to-day basis. The HIDO staff will be assisted on an as-needed basis by other offices of USAID/Haiti, i.e. the Controller, Contracts, Project Development & Implementation (PDI), and the Program Office. The Project Coordinators will be hired during third and fourth quarters, FY 1991, in order to facilitate project start-up activities.

USAID/HIDO will manage the project in close collaboration with the U.S. Embassy Political Section and pursuant to the supervision of an interagency committee chaired by the Ambassador. Following standard USAID practices, a Project Committee will also be maintained to consult and advise on project issues and progress on a periodic basis. Given the range of project activities, the Committee will include representatives from the U.S. Embassy Political Section and USIS. The Committee will be more active than many, in that it will be responsible for approving all sub-grants to and for independent sector and local government activities to be provided under the Umbrella Management Unit. It will additionally be actively consulted on annual workplans prepared by NRI, NDI, and FTUI under the NED grant, and by the Consortium for Legislative Development and the Umbrella Management Unit (UMU) under theirs.

Although the project design presented in this document is based on precise contracting modes and budget estimates, it must be emphasized that one of the Project Committee's primary roles will be to assure that the project maintains an activist stance with regard to Haiti's democratic development, and that it stays flexible and responsive to changes in the environment. Project flexibility will be assured through regularly scheduled Annual Implementation Reviews during the second quarter of each fiscal year. The purpose of the reviews will be to identify changes in the democratic environment, progress under existing project components, and changes necessary to meet the new environment.

It is likely that, due to the changing environment for democratic development in Haiti, these annual reviews will result in formal project design adjustments, such as changes in the size of grants, revision or change of focus in the activities under each project component, or addition of new activities or components consistent with project purpose or goal. Annual design adjustments will be carefully reviewed by the Committee and formalized through Action Memoranda signed by the Director.

As reflected in Figure 2 and Table 5, the project as currently planned will be implemented through three major grants and a small amount of direct A.I.D. procurements. The rationale for and feasibility of these methods of implementation are discussed in Section 5.2, Administrative Analysis. The Mission will place highest priority on developing the Consortium for Legislative Development buy-in and the Umbrella Management Unit Cooperative Agreement for fourth quarter FY 1991 obligation. The

NED Grant will also be developed for FY 1991 funding. The various direct A.I.D. procurements will be undertaken on an as-needed basis.

The buy-in to the Consortium for Legislative Development will be developed following current discussions with National Assembly leadership on the modes of assistance desired. An FY 1991 buy-in is envisioned to initiate assistance to the legislature. The buy-in will be for a period of at least one year. Additional funding for legislative development activities during FY 1992-1993 will be provided in FY 1992 or FY 1993, based on implementation experience. Given the key role of the Assembly in passing enabling legislation for local government, which in turn will affect the CEP, USAID project management will need to maintain close and frequent contact with Assembly leadership.

The Cooperative Agreement for the Umbrella Management Unit (UMU) for independent sector and local government activities is also of high priority, in order to maintain initial progress with NGO's made under Development of Democracy financing and to respond to local governments' enthusiasm. A P/O/T and Request for Assistance (RFA) for the procurement will be developed and issued during April and May 1991. Assuming a 45 day response period, the Mission will undertake evaluation of proposals during late July 1991, with obligation anticipated prior to August 31, 1991. The UMU should thus begin functioning in Haiti prior to the end of the fiscal year. A summary scope of work for the UMU, including an illustrative staffing pattern, is found at Annex F.

The NED Grant will be undertaken based on a proposal developed by the NED which includes the proposals of each of the potential sub-grantees. A Determination of Non-Competitive Procurement for the NED based on Handbook 13 guidelines is found as Annex G. The PP Design Team and HIDO staff have discussed the project, and concerns over preliminary proposals, with the NED, and its core institute personnel at NRI, NDI, and FTUI, to assure that final proposals meet A.I.D. standards and are supportive to the purpose of the project. NRI and NDI sub-grant managers will be encouraged to consult frequently with USAID and Embassy officers during the course of their work. Given the solid performance prior to the elections of NRI and NDI, it is anticipated that activities under these sub-grants will not be an administrative burden, although given the sensitive nature of the work, close and frequent consultation with USAID and the Embassy will be likely.

The preliminary proposal of the FTUI affiliate AIFLD, and its communications with A.I.D. to date regarding past activities, have been somewhat below A.I.D. norms. The PP Team, HIDO, and PDI staff have met with local AIFLD representatives and talked with Washington staff, and are hopeful that a credible proposal

and improved communication will result. Should AIFLD be unable to develop a proposal and workplan that meets USAID requirements, however, the Mission is prepared to seek assistance for Haiti's labor movement from other sources. Annex E includes a discussion of other potential means of assistance which the Mission might consider. All grantees will submit detailed procurement plans (by month/year) and inventory listings to USAID on a regular basis.

Direct A.I.D. contracts, through Indefinite Quantity Contracts (IQC's), buy-ins, and other mechanisms, for the CEP and other needs to be identified, will be initiated by HIDO through standard PIO/T procedures. A small amount for up to 20 person months of "target of opportunity" short-term training will be managed by HIDO through standard PIO/P procedures. The two evaluations and audit will be directly contracted.

4.2 Implementation Schedule

The project implementation schedule is found as Figure 5.

Figure 5: Democracy Enhancement Project Implementation Schedule

Activity	Lead Action	Project Year 1		Project Year 2				Project Year 3				Project Year 4						
		FY 91 3	FY 91 4	FY 92 1	FY 92 2	FY 92 3	FY 92 4	FY 93 1	FY 93 2	FY 93 3	FY 93 4	FY 94 1	FY 94 2	FY 94 3	FY 94 4	FY 95 1	FY 95 2	FY 95 3
PP Authorized	PDI, DIR	X																
<u>National Legislature</u>																		
- Cons. discussions w/Assembly	Cons, HIDO	X	X															
- Cons. proposal submitted	Cons.	X																
- PIO/T issued (MLT 5/15)	HIDO, RCO	X																
- Buy-in signed	AID/W		X															
- Annual Workplan Developed	Consortium		X															
- Activities underway	Consortium			X	X	X	X	X	X	X								
- Assessment to continue	HIDO, PC							X	X									
- Cons. extension or new mode	HIDO, Mission									X	X	X	X	X	X	X	X	
<u>CEP</u>																		
- Storage contract issued	RCO	X																
- Dialogue with GOW, UNDP	HIDO	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
- Permanent CEP established	GOW				X													
- Radios, computers allocated	USAID					X												
- Short-term TA	HIDO			X	X	X	X	X	X									
- National Elections	GOW							X	X									
- Permanent Electoral Reg.	GOW, UNDP							X										
<u>Political Parties/Labor</u>																		
- NDI, MRI, FTUI proposals	NDI, MRI, FTUI	X	X															
- MED proposal final	MED		X															
- PIO/T issued	HIDO, RCO			X														
- MED Grant signed	RCO			X														
- Activities underway	NDI, MRI, FTUI				X	X	X	X	X	X	X	X	X	X	X	X	X	X
- Incremental funding	HIDO							X										
<u>MGOs/Local Government</u>																		
- PIO/T issued (5/15/91)	HIDO, PDI	X																
- RFA issued (6/1/91)	RCO	X																
- Proposals reviewed (MLT 8/1)	Proj.Comm.		X															
- Coop. Agr. signed (8/31)	RCO		X															
- UNU established in PAP	USPVO																	
o INRED, CDRH sub-grants for local government	UNU			X														
o first "open season"	UNU				X													
o 5 sub-grants made	UNU, ProjComm					X	X	X	X	X								
o Add'l "open seasons"	UNU									X								
o Add'l sub-grants	UNU, ProjComm									X	X	X	X	X				
<u>AID Management</u>																		
- Project Coordinators hired	HIDO, RCO	X	X															
- Evaluations	HIDO																	
- Annual Implementation Review	ProjComm				X					X								X
- Close out audit	CONT, RIG																	X

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5. SUMMARIES OF ANALYSES

5.1 Social Soundness

5.1.1 Summary Profile. Haiti is the poorest country in the Western Hemisphere. Gross Domestic Product (GDP) per capita is estimated at \$ 370, and some 85 percent of the 1991 estimated population of 6.5 million lives in absolute poverty. Adult literacy is less than 25 percent and only about 13 percent of the population has access to potable water. Malnutrition and disease are widespread among the poor. The infant mortality rate was 105 per 1,000 live births in 1988. Life expectancy at birth is about 55. Per capita income has been declining in recent years. Because of the lack of investment in social infrastructure and poor service delivery, there has been a general deterioration in the social infrastructure, and those services that do exist are overwhelmingly concentrated in Port-au-Prince.

Although there was a national census in 1982, it has never been fully analyzed so that valid demographic data are not available. It is estimated that some 30 percent of the population, or 2.2 million people, live in the Port-au-Prince area. The second largest city, Cap Haitien, has an estimated 250,000 people; other secondary cities are well below 100,000. The extent of emigration is not well documented; it is often estimated that there are 1 million Haitians living in the U.S. and another 1 million in the Dominican Republic, but these figures are not substantiated. Rural-urban migration within Haiti is more visible, and is believed to have accelerated in the 1985-1990 period.

The impact of external and internal migration on family structures is not well studied, but the number of de facto women-headed households in both rural and urban areas is believed to be quite high. The Lavalas movement, in "La Chance Qui Passe" states that the figure is 70 percent. The same work states that in Port-au-Prince, there are 130/140 women for every 100 men, and that women dominate the informal sector, the salaried assembly sector, and service as domestics. (Operation Lavalas, November 1990, p. 78 ff). In general, women have less access to resources than do men.

5.1.2 Interest Groups. The urban population overall is estimated at 40 percent unemployed, and many who do work are self-employed, deriving meager benefits from informal sector activities. Approximately 90,000 to 100,000 are employed in the formal wage sector. As summarized previously, urban populations--especially in Port-au-Prince--have generally had more access to government than have their rural relatives. Additionally, non-governmental interest groups in urban areas have been occasionally more successful in mediating with the military, through various community councils (conseils de quartier) and

urban-based labor unions. These have also been periodically co-opted, through their leadership, by the state. The five major union confederations in Haiti have occasionally exerted pressure on the state through strikes, and today claim to represent over 100,000 workers, although this number is questionable. With some notable exceptions, the unions and urban community groups that exist are still institutionally quite fragile.

The rural population remains a predominantly agricultural society, with agriculture still the biggest contributor to GDP. As summarized in previous sections, until the recent elections the formal leadership structure in rural areas has consisted solely of the military chef de section and his corps of deputies. The authoritarian state has effectively suppressed the emergence of enduring informal leadership structures in most places. In many locations, an informal structure made up of community elders (or town notables) and the hougan (or spiritual leader) has evolved to fill the vacuum and respond to local needs. In other areas, there have been some successes with formation of groupements, cooperatives, and other local groups by the Haitian independent sector. These groups have generally not become strong enough to challenge the state, or have been co-opted by the state, so that interest groups who might mediate between the peasants and the chef de section have generally not lasted.

The Roman Catholic Church has been a fixture of the power establishment in both rural and urban areas since 1860, with the signing of the Concordat governing relations between Haiti and the Vatican. After a lull during the Duvalier years, the Church re-emerged in a strengthened position after the departure of Jean-Claude, which it was perceived as having engineered. However, the church gradually shifted to a more conservative position during the period 1987-1989, suppressing in the process the budding popular church movement (Ti Legliz) inspired by Liberation Theology. Recent mass activities against the Church, including the January 1991 burning of the Papal Nunciature, have moved it once again into a weak position, with Ti Legliz and the closely related Lavalas movement the major force of the moment.

Various elements of formal private sector owners/managers have a long and rich history of involvement in political fates at the center, and in select areas of high agricultural productivity (e.g. the Artibonite or various coffee regions) or other commercially important locations (e.g. ports). This group is critically important to the new government, in that it is a key source of financial and economic growth, and hence jobs. The sector is divided by class and ethnicity, and has rarely spoken as one voice in the affairs of state. It is likely that a number of private business representatives are currently developing relationships with the new government, although the extent of their influence over the populist president remains to be seen.

These various interest groups can be cross-analyzed by class and color distinctions, which most social scientists have used as key determinants of status in Haitian society. The mulattos generally comprise one part of the elite, vying with a strong black elite for power. The Haitian middle class includes members of both color groups, although the blacks predominate, and covers a wide range of incomes, particularly in urban areas. The lower class is the urban and rural blacks, comprising most of the population.

Lyonel Paquin, writing in 1983, posited that "...The single most important revolution in contemporary Haitian society is the exodus, during the last twenty years, of about half a million lower and middle-class Haitians to the U.S. ...These 'economic exiles'...have adopted the mores and habits of the most affluent society on earth. The children of these "boat people" will one day be tempted to come back to the country of their birth. Their ideals and the realities of Haiti will very likely meet on a collision course. ..." (Paquin, p. 233).

Since Paquin wrote, many hundreds have returned, with mores and habits of the U.S. Returnees run four of the five independent sector organizations listed in Section 2.3.4 as "illustrative" of types to receive project assistance under the NGO umbrella. Many returnees ran for office in the recent elections. They are a new type of pressure group which will continue to influence the more traditional class, color, and interest groups as Haiti's democracy evolves.

5.1.3 Socio-Cultural Feasibility. Haitian society is complex, and the brief description above only begins to get at some of the distinctions. As summarized in Section 1.1, the concept of democracy is not well understood, and misperceptions abound. Given the oft-expressed desire for "democracy", however, it is assumed that the local population is receptive to learning more about it and how it works in reality. As described in section 2.2., the project will be working with several new institutions whose roles are also not well understood. Both the constitutional structures to be involved and the non-governmental organizations have equally expressed their desire to support democracy in Haiti, so a common point of entry for project activities exists. How each of the different interest groups will react to grassroots and legislative empowerment is not known. At this point, it is simply too early to predict.

Three of the groups chosen--the National Assembly, the Permanent CEP, and local government--are new elective constitutional structures which theoretically represent all Haitians, regardless of class, color, or other social determinants. The key feasibility issue in working with these groups is the high degree of nationalism and current sensitivity to official American involvement in their evolution. The project

will thus work with these constitutional structures either through intermediaries, i.e. Haitian NGO's for local government, or in a multi-national context, for the National Assembly and the CEP. It is assumed that over time, as the new institutions become more secure, the sensitivities will lessen and A.I.D.'s role can be more visible. In the interim, it is important to remain conscious of the sensitivities, and to approach all work with these groups with subtlety.

The proposed support to political parties is also sensitive, for similar reasons. To quote the A.I.D. Administrator in a recent cable, "A.I.D. is not attempting to export American institutions and impose them on developing countries. It would be unacceptable and ultimately self-defeating to try to recreate exact copies of American institutions, support specific parties or candidates, or manipulate the political process to achieve specific results. It is important that the implementation of the democracy initiative be non-partisan..." (91-STATE 093628). Because of the evolutionary nature of Haiti's parties, and the absolute need to be non-partisan, the project does not foresee much direct support to individual parties in its first year, at least. The NRI and NDI will maintain close contact with USAID/Haiti and the Embassy, and as the parties themselves become more defined, a more individualized approach may become possible. At first, however, the project will emphasize transparency in any party efforts and will offer assistance on a self-selection basis to as wide a political spectrum as possible.

The proposed support to the independent sector is much lower risk in terms of nationalist socio-political sensitivities, in that USAID and other donors have been supporting hundreds of independent organizations in Haiti for the last decade. The key concern in this component is one that cannot be explicitly stated in the criteria for independent sector sub-grants: that is, the UMU and Project Committee must carefully assess the claims of "non-partisanism" of participating organizations, and must be prepared to turn down or withdraw support from those that become too obviously political.

This will be one of the most difficult aspects of the project. Independent sector organizations, like most Haitian institutions, are often dominated by one key person, either on the board or in a senior operating role. These people are generally from the upper middle class or the elite, and many are "democratized" returnees. It is not unlikely that some will decide to run for office in future elections, or be appointed to a high government position, thus "politicizing" the organization in spite of protestations to the contrary. The Mission will need to keep abreast of such possibilities, through frequent contact with the sector and broader contacts in the parties. Where this sort of politicization appears imminent, project support must be withdrawn in order to protect broader American interests.

The Mission, and the UMU, must also be alert to a second type of politicization of independent sector activities, that of participating beneficiaries. Part of the overall rationale for the project is to channel the high degree of competition in the population towards more pluralistic endeavors. These channels for independent organizations will be local groups, whether they are local offices of a membership-based association, such as Celebration 2004 or some of the unions, or they are newly created democratic groups, such as the local development networks of IHRED. The UMU in particular will need to carefully monitor field activities of such organizations, to ensure that they are promoting non-partisan democratic values, and not party or candidate lines. The project provides ample funding for field monitoring by UMU senior staff for this purpose. USAID management will need to carefully monitor UMU performance.

This latter point, in fact, represents one of the key contradictions in the project. "Democratization" implies politicization. Thus many observers would consider it a positive project impact to have local participants in independent sector activities take an active interest in national politics. Stimulating the demand for democracy, particularly among local groups, and providing the means to assure its continuation, through developing sustainable institutions, is key to assuring democracy's survival in Haiti. It will be extremely difficult for A.I.D. to maintain the fine balance between "promoting democratic values and attitudes" and having those values and attitudes used in a partisan manner.

The overall project is considered socially feasible and beneficial, in that it proposes strengthening democratic institutions that cut across class, color, and economic interest group distinctions in Haiti. It is also high risk, in terms of political sensitivities and the possibility of partisan activities under project funding. Mitigating against possible consequences to U.S.-Haiti relations will require careful management and monitoring by the U.S. Mission. The Project Committee and the Mission-wide Democracy Committee will need to play an active role. Moreover, the project is structured to provide for this requirement.

5.1.4 Project Beneficiaries. Direct project beneficiaries to receive technical assistance, training, and commodity support are as follows:

- The 110 members of the National Assembly and its staff, currently about 50;
- The 9 members of the CEP and its staff, which is yet to be appointed;
- An estimated 5-6 political parties and alliances, representing many thousands of members; it is likely

that only key party personnel, an estimated 10 per party, would benefit directly from initial assistance efforts;

- The 10-15 NGO's and 4-5 labor confederations will benefit as institutions; the labor confederations claim a combined membership of over 100,000 workers, and various NGO activities, particularly civic education, will likely involve over 100,000 Haitian's directly; and

- At least half of the over 2,000 persons directly elected to the CASECs and Municipal Councils.

Benefit incidence and benefit spread will vary by component. Given the representative nature of the constitutional structures, and the wide variety of clients/beneficiaries of the independent sector, it is likely that all 3.5 million resident adult Haitians will be affected by the project at some point, at least through listening to a radio broadcast or voting in a safe and credible election. Benefits to women are specifically assured through use of women-specific criteria for evaluating NGO proposals, and will be further strengthened by the UMU working with women-specific organizations (e.g. FHAF and the Factory Women's Center). Benefit spread, through strengthening "competing interest groups" at the base (CASECs, local associations) and in the center (National Assembly, Political Parties), should similarly affect all Haitians now and in the future.

The benefits to accrue will generally be positive. As discussed in previous sections, much of Haiti's population has been disenfranchised for years, and may be considered a historically disadvantaged people. As participatory constitutional and autonomous institutions are strengthened, this population will have a number of channels to express its opinions. The new constitutional structures in particular will serve to assure increased law and order, and respect for human rights. As the democracy develops, increased stability and security will provide the disadvantaged people with a new environment, hopefully in which to grow and prosper.

5.2 Administrative

As discussed in Section 1.1.3, with the exception of some P.L. 480 commodities and a Fall 1990 cash transfer in connection with the elections, the U.S. Congress had not permitted any direct bilateral assistance to Haiti since December 1987. This prohibition has been lifted since the successful elections.

The PP Design Team and the Project Committee initially assumed that because the organizations are private sector, assistance to the independent sector (including labor) and political parties would be most appropriate outside of a ProAg. The design thus provides for them to be implemented through

standard USAID/Haiti procedures with PVO umbrella grants, which have been used in the past and are acceptable to the GOH. It also initially assumed that the work with constitutional structures--the National Assembly, CEP, and local government--would be most appropriately provided through a ProAg with the GOH.

As the design developed, however, it became clear that the most effective way of assisting local government in the near term would be through NGO intermediaries, so this component was moved to the "non-ProAg" portion of the project. The analysis also indicated that assistance to an eventual Permanent CEP would be best offered in collaboration with UNDP efforts, through direct A.I.D. dialogue and technical assistance. This component was thus also shifted to a direct A.I.D. mode.

Finally, numerous individual legislators who met with the Design Team emphasized the strong nationalist feelings and need for any A.I.D. assistance to be cast in a multi-national framework. As discussed in Section 2.5, although many other donors are considering assistance to the National Assembly, none have yet made any concrete plans. Thus it was decided that this assistance too would be obtained directly by A.I.D., to militate against sensitivities and to provide for maximum flexibility as other donor efforts are developed.

While the assistance to the constitutional structures will thus not be under a ProAg, it will be developed in close consultation with all involved. In terms of local government, the lead NGO's will continue to work closely with interested National Assembly members and leading local government figures to assure that training provided is commensurate with evolving GOH policies. In terms of the CEP, USAID will maintain its dialogue with UNDP and former CEP members, and be ready to respond when necessary. And in terms of the National Assembly, USAID will consult closely and frequently with Assembly leadership on types and frequency of assistance to be given. Thus the "governmental" nature of the efforts will be maintained, although outside of the formal bilateral framework.

This overall management mode implies a slightly higher management load for USAID/Haiti, in that it will need to assure that annual obligation levels are reached through several different instruments instead of a ProAg. The design attempts to lessen the problem through "packaging" inputs in as few instruments as possible. Much of the A.I.D. funds will thus be provided through three grants, the NED grant for \$ 2.1 million, the UMU cooperative agreement for \$ 6.5 million, and the Consortium for Legislative Development buy-in. The remaining funds, approximately \$ 400,000 will be for the three USAID Project Coordinators, \$ 125,000 for the two evaluations, and \$ 50,000 for the close-out audit, all of which are straightforward

and predictable contracting actions. The remaining funds, for short-term TA to the CEP and other needs to be determined, and for short-term target of opportunity training, are thus the only funds that will need to be "juggled" to meet levels each year.

It must be emphasized that choice of primary implementation instruments, through major grants, was not made solely due to USAID management concerns. The NED was chosen because it represents the highest quality American assistance available in its area. The UMU -- to be competitively selected -- will provide not only management efficiencies but also a means of providing continuing and appropriate institutional development assistance to participating NGO's. It will also be in a position to promote collaboration among the participating independent sector organizations, strengthening the efforts overall. This implementation mode thus provides a triple benefit, to the beneficiaries of the respective organizations and to the organizations themselves. Although the UMU may dissolve at the end of the project, because of the emphasis on institutional strengthening it is hoped that most of the organizations will be able to sustain their programs over time.

Given the number of instruments, and the subject matter, the project will be management intensive. Moreover, the project's built-in flexibility, ensured through annual implementation reviews and project design adjustments, where necessary, will also require significant management attention. The design provides for three full-time project-funded Project Coordinators to ensure necessary actions are taken. The Mission thus considers the project administratively feasible, with the caveat that it will periodically assess workload and add another position, perhaps at half-time, should the assessment so indicate.

5.3 Financial and Economic

Following a rapid expansion in the 1970's which ended with a recession in 1981-1982, Haiti's economy has remained stagnant. The average annual growth of GDP in real terms was -0.9 percent in the period 1980-1985, and real per capita income fell more precipitously during this period. Over the same period, fiscal management deteriorated with rising public sector deficits. Policy reforms introduced by the GOH in 1985-86 briefly reversed this trend. However, real GDP declined by 1.5 percent in FY 1988 and by 0.5 percent in FY 1989. These declines are generally interpreted as the result of the a sharp reduction in foreign assistance and recurring political turmoil which have brought about reduced levels of public and private investments. Furthermore, the economic crisis confronting Haiti has led to the emergence of a thriving parallel foreign exchange market.

Several USAID assistance efforts, notably cash transfers of Economic Support Funds (ESF) under the Economic Recovery and Reform Program (521-0226), will directly affect Haiti's economic and fiscal environment. The Mission will also continue to conduct extensive policy dialogue with the GOH on a number of important issues. In so doing, it will seek to broaden the role played by various interest groups, notably the private business associations, in proposing positive macroeconomic policy options and the reform of regulatory practices. The Mission will continue to promote a revitalized public-private commission, and the involvement of sectoral associations, chambers of commerce, and other business groups, to guide industrial policy.

The installation of the new, democratically elected government provides the business community, both management and labor, with an opportunity to influence not only macroeconomic policy, but also legal, regulatory, and statutory frameworks within which businesses operate in Haiti. As the democracy is strengthened, the increased security which the new government affords, coupled with this improved access, should increase investment. Increased investment should, theoretically, increase jobs and income, benefitting all.

The Democracy Enhancement Project does not directly address economic concerns, nor can any specific economic or financial benefits from its activities be easily quantified. It is economically justified, however, in terms of its potential impact on strengthening the democratic institutions necessary for security and stability to be maintained. As the constitutional structures -- the National Assembly, the CEP, and local governments -- become more efficient and effective, so will the executive branch necessarily become more responsive to demands of various interest groups. As the NGO community works with the population in learning responsibilities, as well as rights, under a democracy, linkages to the constitutional structures will be strengthened. The demands, of the people and various interest groups, for improved security and a more responsive, efficient, and effective government, coupled with judicious U.S. and other donor assistance, should lead to an improved investment environment and thus stronger economy overall.

5.4 Environmental

In accordance with Sections 216.1 and 216.2 of A.I.D. Regulation 16, a categorical exclusion has been recommended for this project. The complete Initial Environmental Examination, with the negative determination, is found as Annex J.

6. MONITORING AND EVALUATION PLAN

The monitoring and evaluation (M&E) system for the project will operate on several levels. In terms of formal reporting

requirements, each of the sub-grantees (NRI, NDI, FTUI, and 10-15 independent sector organizations) will be required to submit quarterly progress reports to the grantees supervising them. The grantees and will in turn collate and synthesize reports of sub-grantees (the NED and the UMU) or simply produce quarterly progress reports for USAID themselves. These reports will be organized around the specific objectives of each grant/sub-grant, and should provide USAID with ample information on activities with which to prepare its own required reports, including the Semi-Annual Project Implementation Reports (SAPRs).

In terms of more substantive M&E, at the base, each of the sub-grantees (NRI, NDI, FTUI, and 10-15 independent sector organizations) will be required in their proposals to provide detailed M&E plans relative to their proposed activities. These will necessarily focus primarily on input-output relationships and financial accountability. Where the sub-grantee is institutionally capable of more, specific provision for periodic internal impact evaluations will be provided.

For the NED sub-grantees, adequate monitoring will be assured in discussions during proposal development among USAID, the NED, the Embassy Political Section, and the proposing institutes. For the independent sector, this will be included in discussions during proposal development, but will also be emphasized during implementation by the UMU. The UMU will have two professional local hire positions devoted to M&E. One position will be that of a Financial Systems M&E Specialist, who will focus primarily on input-output relationships and accountability. The second position will be that of a more substantive M&E Specialist, who will focus on the design and conduct of simple, periodic, impact assessments in collaboration with participating organizations. In a sense, the Financial M&E system will provide the answer to "what?" has happened under the sub-grant. The substantive M&E system will look more closely at the questions "so what?", and possibly "what next?" Thus, instead of simply producing reports on number of trainings given and number of pedagogical modules produced, the UMU will be able to provide information as to whether people or institutions are actually applying skills learned. These inquiries will focus not only on the sub-grant activities, but on the institutional development achievements of participating organizations themselves.

These on-going efforts at M&E will form the primary data base for the Annual Implementation Reviews undertaken by the Project Committee, and the two planned project evaluations. Both the annual reviews and the Mid-Term Evaluation, planned for third quarter, FY 93, will specifically assess progress to date in achievement of outputs, as measured by the objectively verifiable indicators specified in the LogFrame (Annex B) and detailed in grantee proposals. They will also assess progress towards

achievement of end-of-project status (EOPS), and specifically assess the validity of assumptions affecting their achievement. These assessments will result in possible changes in the mix of project activities. Where indicated, the Annual Implementation Reviews and the Mid-Term Evaluation will recommend revisions to the EOPS and outputs, and the assumptions guiding them, and present a recommended revised LogFrame for the project. A total of three person months of short-term TA is estimated for the Mid-Term Evaluation. Some short-term TA may also be needed to assist with the annual reviews.

The Final Evaluation is planned for the second quarter, FY 95, and will focus primarily on the overall impact of the project. That is, it will record achievements of discrete components, in terms of input-output relationships, but it will also look at causality of component activities on overall goal achievement, e.g. has the project contributed to the development of a constitutional, stable, open democratic society in Haiti, and if so, how. The Final Evaluation is also budgeted for three person months of short-term TA.

ANNEX A

NEW PROJECT DESCRIPTION APPROVAL MESSAGE

MAR 19 1991

ACT: AID-3 INFO: AMB (5)

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RR RUEHPU
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ZNR UUUUU ZZH
R 150812Z MAR 91
FM SECSTATE WASHDC
TO AMEMBASSY PORT AU PRINCE 3915
BT
UNCLAS STATE 063769

AIDAC

E.O. 12356: N/A

TAGS:

SUBJECT: DEMOCRACY ENHANCEMENT NPD REVIEW

1. BUREAU COMPLETED ITS REVIEW OF THE SUBJECT ACTIVITY ON MARCH 5, AT A MEETING CHAIRED BY ACTING DIRECTOR/LAC/DR, JEFFREY EVANS.

2. ASSISTANT ADMINISTRATOR JAMES MICHEL DELEGATES AUTHORITY TO USAID/HAITI TO APPROVE THE PID. WHEN CONSIDERING PID CONTENT MISSION SHOULD NOTE GUIDANCE CONVEYED IN PARAGRAPH 3 OF STATE 241957 THAT NOTES MISSIONS HAVE DISCRETION TO DETERMINE WHAT DETAIL IS REQUIRED IN PID OR PID-LIKE DOCUMENT INCLUDING OPTION TO EXPAND NPD SO THAT IT SERVES AS PID. LAC HAS NO OBJECTION TO MISSION EXERCISING THIS OR SIMILAR OPTIONS FOR THE PID FOR THIS PROJECT. MISSION ALREADY HAS AUTHORITY TO APPROVE PPS AND AUTHORIZE PROJECTS.

3. BUREAU REQUESTS MISSION SEND CN AS SOON AS POSSIBLE AND OF ASA THAT MISSION FORWARD A COPY OF THE HARRISON CONSULTANT REPORT WHICH WAS USED AS A BASIS FOR THIS PROPOSAL TO LAC/DI.

4. IN VIEW OF CONTINUING CONGRESSIONAL INTEREST IN ASSISTANCE TO HAITI, THE PRECEDENT-SETTING QUALITY OF EACH NEW ACTIVITY IN OUR EVOLVING RELATIONS WITH THE HAITI GOVERNMENT, AND LAC/DI'S EXPERIENCE IN SIMILAR PROJECTS ELSEWHERE, LAC REQUESTS THAT USAID KEEP US INFORMED OF EVOLVING PROJECT PLANS AND SEEK GUIDANCE WHEN MISSION FEELS THIS WOULD BE APPROPRIATE. LAC/DI IS WILLING TO PROVIDE DESIGN ASSISTANCE TO USAID. KIMMITT

BT
#3769

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ANNEX B
LOGICAL FRAMEWORK MATRIX

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ANNEX B: LOGICAL FRAMEWORK MATRIX
DEMOCRACY ENHANCEMENT PROJECT (521-0236)

Goal

To contribute to the development of a constitutional, stable, open democratic society in Haiti.

Goal Indicators

1. The provisions of the 1987 Constitution are progressively implemented, with specific attention to the provisions of Title III, Basic Rights and Duties of the Citizen.
2. The 1992 and 1994 elections are carried out on time in conditions of acceptable security and are considered valid expressions of the will of the Haitian population.

Means of Verification

1. USAID, Embassy monitoring; Mid-Term and Final Evaluations.
2. USAID, Embassy monitoring; Mid-Term and Final Evaluations

Assumptions

The democratically elected Government, will endure and carry out its mandate according to the terms of the 1987 constitution.
The U.S. Government will have access to and influence with the democratically-elected GOH. An aggressive project of the kind recommended will make a difference to the durability and effectiveness of the country's evolving democracy.

Purpose

To expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the constitution.

End of Project Status (EOPS)

1. Constitutional structures at the national and selected departmental, communal, and communal section levels will be functioning according to the Constitution.
2. Democratic political parties will have improved skills at functioning within legislative structures and as partisan non-governmental interest groups.
3. An increased number and type of independent sector institutions will be promoting citizen rights and responsibilities both for the general population and for selected groups for which AID has special concern.

Means of Verification

1. Project reports, media verification.
2. Project reports, AID/Embassy monitoring and results of 1992 and 1994 elections.
3. Project reports.

Critical Assumptions

The executive and judicial branches of the GOH will support the implementation of legislative mandates. The GOH and/or donors provide adequate budget for legislative functions.
The National Assembly passes legislation defining the role of local government structures, and their relationships to each other and to the Executive branch.
The Lavalas/FNCD leadership will not unduly hamper opposition activities.
The GOH will not unduly co-opt NGO activities in Haiti.

Outputs

1. Increased efficiency of administrative systems in both chambers of National Assembly by 1995.

2. A number of political parties will maintain offices nationally, regionally, and at the grass roots level, and increase institutional identity by end of project.

3. The Permanent Electoral Council will be established, functioning, and using a valid Electoral Registry as a basis for elections.

Objectively Verifiable Indicators

1. a) Housekeeping and operations systems analyses completed by 12/91; b) Measurable objectives for increased efficiency in such systems set by chambers by 12/91; c) Minimum critical qualified professional and support staff to operate basic systems hired by 3/92; d) Objectives achieved by 6/95.

2. a) More than one political party maintain functional offices in PAP and at least 2 regional centers; b) selected parties undertaking block voting and coalition formation in national and selected sub-national legislative bodies; c) party activities in 1992 and 1994 elections based on party platforms/ideology in absence of individual presidential candidates.

3. a) The CEP will be established, with adequate facilities, staff, and budget, by 6/92; b) an improved Electoral Registry will be codified and used for 1992 and 1994 elections; c) a sustainable system for improving and maintaining the Permanent Electoral Registry will be established by 6/95.

Means of Verification

1. Quarterly reports from Consortium for Legislative Development; AID/Embassy monitoring.

2. NED Quarterly Reports; AID/Embassy monitoring; Embassy analysis of election results.

3. AID/Embassy monitoring; UNDP liaison.

Assumptions

The Parliament is receptive to American assistance, and such assistance is effective within a multi-donor assistance mode.

The Levalas/FMCD leadership will be supportive of American assistance to minority parties as well as itself. American assistance will be acceptable to a broad spectrum of parties, to avoid problems with partisanism.

UN project and assistance to national archives and CEP proceed more or less on schedule.

Outputs continued

4. The capabilities of 10-15 independent sector organizations and 4-5 union confederations will be strengthened to support effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education.

5. At least 350 local government bodies will have improved organizational and individual skills in planning, resource generation and allocation, and constituent participation.

Objectively Verifiable Indicators

4. a) at least 5 independent sector organizations with which project works will have forward plans which demonstrate sustainable programs in the absence of AID funding; b) at least 3 union confederations will have forward plans which demonstrate programs that promote democratic values; c) at least 5 independent sector organizations will have operational and sustainable civic education programs with clearly defined client groups; d) at least 3 independent sector organizations will be undertaking clearly defined and sustainable access to justice programs; e) at least 1 professional association will be actively promoting independent media standards and practices on sustainable basis.

5. a) basic leadership and organizational skills training provided to 300 CASECs and 50 Municipal Councils by 6/93; b) constituent participation techniques taught to 100 CASECs and 50 Municipal Councils by 6/94; c) planning and resource generation/allocation training provided to 300 CASECs and 50 Municipal Councils by 6/95;

Means of Verification

4. Project reports.

5. UMU Quarterly Reports;
Project Evaluations;

Assumptions

The GOH will support a broad spectrum of relatively independent NGO activity in Haiti.

AID funding will not supplant other traditional NGO funding sources, including membership contributions.

The GOH will continue to support independent labor activities.

Effective training models and materials that respond to stated needs can be developed. Enabling legislation for local government passed by National Assembly NLT 6/93. Elected local officials are responsive to training availability on a non-partisan basis.

<u>Inputs</u>	<u>Level of Inputs</u> (Thousands of U.S. Dollars)		
	<u>A.I.D.</u>	<u>GOV-LC</u>	<u>TOTALS</u>
1. National legislature - - 14 pm TA	\$ 904	\$ 3,500	\$ 4,404
- Basic information systems materials and equipment; - 75 Study tours & training;			
2. Parties/Labor NED grant, with sub-grants:			
- NRI sub-grant;	\$ 800	\$ 800	\$ 1,600
- WDI sub-grant;	\$ 800	\$ 800	\$ 1,600
- AIFLD sub-grant;	\$ 500	\$ 400	\$ 900
3. CEP - Provision of 1990 Elections computer and radio equipment		0	
- Storage for equipment	\$ 12	0	\$ 12
- 12 pm TA to complement UN led activities;	\$ 252	0	\$ 252
4. NGO's and Local Government - UNG office & operations; 10 py LT TA and 12 pm ST TA plus local staff;	\$ 3,148	0	\$ 3,148
- 10-15 sub-grants to NGO's	\$ 2,250	\$ 2,250	\$ 4,500
- 2-3 sub-grants for local government training;	\$ 1,000	\$ 5,700	\$ 6,700
- sub-grant audits;	\$ 100	0	\$ 100
5. AID Oversight - 3 Project Coordinators	\$ 417	0	\$ 417
- Evaluation and audit	\$ 175	0	\$ 175
- 22 pm ST TA not elsewhere cited	\$ 477	0	\$ 477
- 20 pm ST target of opportunity training	\$ 151	0	\$ 151

Means of Verification

1. Quarterly financial reports from Consortium for Legislative Development.

2. NED Quarterly Reports.

3. Mission records.

4. UNG quarterly reports.

5. Mission records.

Assumptions

A.I.D. will maintain or increase levels of DA assistance to Haiti. P.L.480 and ESF generated currency will be available to project.

5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria applicable to the eligibility of countries to receive the following categories of assistance: (A) both Development Assistance and Economic Support Funds; (B) Development Assistance funds only; or (C) Economic Support Funds only.

A. COUNTRY ELIGIBILITY CRITERIA APPLICABLE TO BOTH DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUND ASSISTANCE

1. Narcotics

a. Negative certification (FY 1991 Appropriations Act Sec. 559(b)): Has NO the President certified to the Congress that the government of the recipient country is failing to take adequate measures to prevent narcotic drugs or other controlled substances which are cultivated, produced or processed illicitly, in whole or in part, in such country or transported through such country, from being sold illegally within the jurisdiction of such country to United States Government personnel or their dependents or from entering the United States unlawfully?

b. Positive certification (FAA Sec. 481(h)). (This provision applies to assistance of any kind provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance from the Child Survival Fund or relating to international narcotics control, disaster and refugee relief, narcotics education and awareness, or the provision of food or medicine.) If the recipient is a "major illicit drug producing country" (defined as a country producing during a fiscal year at least five metric tons of opium or 500 metric tons of coca or marijuana) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly

Recipient is not defined as either a major illicit drug producing or a major drug transit country

affecting the United States, through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government):

(1) does the country have in place a bilateral narcotics agreement with the United States, or a multilateral narcotics agreement?

(2) has the President in the March 1 International Narcotics Control Strategy Report (INSCR) determined and certified to the Congress (without Congressional enactment, within 45 days of continuous session, of a resolution disapproving such a certification), or has the President determined and certified to the Congress on any other date (with enactment by Congress of a resolution approving such certification), that (a) during the previous year the country has cooperated fully with the United States or taken adequate steps on its own to satisfy the goals agreed to in a bilateral narcotics agreement with the United States or in a multilateral agreement, to prevent illicit drugs produced or processed in or transported through such country from being transported into the United States, to prevent and punish drug profit laundering in the country, and to prevent and punish bribery and other forms of public corruption which facilitate production or shipment of illicit drugs or discourage prosecution of such acts, or that (b) the vital national interests of the United States require the provision of such assistance?

c. Government Policy (1986 Anti-Drug Abuse Act of 1986 Sec. 2013(b)). (This section applies to the same categories of assistance subject to the restrictions in FAA Sec. 481(h), above.) If recipient country is a "major illicit drug producing country" or "major drug-transit country" (as defined for the purpose of FAA Sec 481(h)), has the President submitted a report to Congress listing such country as one: (a) which, as a matter of government policy, encourages or facilitates the production

N/A

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or distribution of illicit drugs; (b) in which any senior official of the government engages in, encourages, or facilitates the production or distribution of illegal drugs; (c) in which any member of a U.S. Government agency has suffered or been threatened with violence inflicted by or with the complicity of any government officer; or (d) which fails to provide reasonable cooperation to lawful activities of U.S. drug enforcement agents, unless the President has provided the required certification to Congress pertaining to U.S. national interests and the drug control and criminal prosecution efforts of that country?

2. **Indebtedness to U.S. citizens** (FAA Sec. 620(c): If assistance is to a government, is the government indebted to any U.S. citizen for goods or services furnished or ordered where: (a) such citizen has exhausted available legal remedies, (b) the debt is not denied or contested by such government, or (c) the indebtedness arises under an unconditional guaranty of payment given by such government or controlled entity?

N/A

3. **Seizure of U.S. Property** (FAA Sec. 620(e)(1)): If assistance is to a government, has it (including any government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities?

N/A

4. **Communist countries** (FAA Secs. 620(a), 620(f), 620D; FY 1991 Appropriations Act Secs. 512, 545): Is recipient country a Communist country? If so, has the President: (a) determined that assistance to the country is vital to the security of the United States, that the recipient country is not controlled by the international Communist conspiracy, and that such assistance will further promote the independence of the recipient country from international communism, or (b) removed a country from applicable

NO

restrictions on assistance to communist countries upon a determination and report to Congress that such action is important to the national interest of the United States? Will assistance be provided either directly or indirectly to Angola, Cambodia, Cuba, Iraq, Libya, Vietnam, Iran or Syria? Will assistance be provided to Afghanistan without a certification, or will assistance be provided inside Afghanistan through the Soviet-controlled government of Afghanistan?

5. Mob Action (FAA Sec. 620(j)): Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property? NO

6. OPIC Investment Guaranty (FAA Sec. 620(l)): Has the country failed to enter into an investment guaranty agreement with OPIC? NO

7. Seizure of U.S. Fishing Vessels (FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5): (a) Has the country seized, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made? NO

8. Loan Default (FAA Sec. 620(q); FY 1991 Appropriations Act Sec. 518 (Brooke Amendment)): (a) Has the government of the recipient country been in default for more than six months on interest or principal of any loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1990 Appropriations Act appropriates funds? NO

9. Military Equipment (FAA Sec. 620(s)): If contemplated assistance is development loan or to come from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget and amount of the country's foreign exchange or other resources spent on military equipment? N/A

(Reference may be made to the annual "Taking Into Consideration" memo: "Yes, taken into account by the Administrator at time of approval of Agency OYB." This approval by the Administrator of the Operational Year Budget can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.)

10. **Diplomatic Relations with U.S.** (FAA Sec. 620(t)): Has the country severed diplomatic relations with the United States? If so, have relations been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

NO

11. **U.N. Obligations** (FAA Sec. 620(u)): What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the A.I.D. Administrator in determining the current A.I.D. Operational Year Budget? (Reference may be made to the "Taking into Consideration" memo.)

Haiti is not in arrears

12. **International Terrorism**

a. **Sanctuary and support** (FY 1991 Appropriations Act Sec. 556; FAA Sec. 620A): Has the country been determined by the President to: (a) grant sanctuary from prosecution to any individual or group which has committed an act of international terrorism, or (b) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons?

NO

b. **Airport Security** (ISDCA of 1985 Sec. 552(b)). Has the Secretary of State determined that the country is a high terrorist threat country after the Secretary of Transportation has determined, pursuant to section 1115(e)(2) of the Federal Aviation Act of 1958, that an airport in the country does not maintain and administer effective security measures?

NO

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13. Discrimination (FAA Sec. 666(b)): Does the country object, on the basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. who is present in such country to carry out economic development programs under the FAA?

NO

14. Nuclear Technology (FAA Secs. 669, 670): Has the country, after August 3, 1977, delivered to any other country or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards, and without special certification by the President? Has it transferred a nuclear explosive device to a non-nuclear weapon state, or if such a state, either received or detonated a nuclear explosive device? If the country is a non-nuclear weapon state, has it, on or after August 8, 1985, exported (or attempted to export) illegally from the United States any material, equipment, or technology which would contribute significantly to the ability of a country to manufacture a nuclear explosive device? (FAA Sec. 620E permits a special waiver of Sec. 669 for Pakistan.)

NO

15. Algiers Meeting (ISDCA of 1981, Sec. 720): Was the country represented at the Meeting of Ministers of Foreign Affairs and Heads of Delegations of the Non-Aligned Countries to the 36th General Assembly of the U.N. on Sept. 25 and 28, 1981, and did it fail to disassociate itself from the communique issued? If so, has the President taken it into account? (Reference may be made to the "Taking into Consideration" memo.)

N/A

16. Military Coup (FY 1991 Appropriations Act Sec. 513): Has the duly elected Head of Government of the country been deposed by military coup or decree? If assistance has been terminated, has the President notified Congress that a democratically elected government has taken office prior to the resumption of assistance?

NO

OK

17. **Refugee Cooperation (FY 1991 Appropriations Act Sec. 539):** Does the recipient country fully cooperate with the international refugee assistance organizations, the United States, and other governments in facilitating lasting solutions to refugee situations, including resettlement without respect to race, sex, religion, or national origin?

YES

18. **Exploitation of Children (FY 1991 Appropriations Act Sec. 599D, amending FAA Sec. 116):** Does the recipient government fail to take appropriate and adequate measures, within its means, to protect children from exploitation, abuse or forced conscription into military or paramilitary services?

NO

B. COUNTRY ELIGIBILITY CRITERIA APPLICABLE ONLY TO DEVELOPMENT ASSISTANCE ("DA")

1. **Human Rights Violations (FAA Sec. 116):** Has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, can it be demonstrated that contemplated assistance will directly benefit the needy?

NO

2. **Abortions (FY 1991 Appropriations Act Sec. 535):** Has the President certified that use of DA funds by this country would violate any of the prohibitions against use of funds to pay for the performance of abortions as a method of family planning, to motivate or coerce any person to practice abortions, to pay for the performance of involuntary sterilization as a method of family planning, to coerce or provide any financial incentive to any person to undergo sterilizations, 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

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C. COUNTRY ELIGIBILITY CRITERIA APPLICABLE
ONLY TO ECONOMIC SUPPORT FUNDS ("ESF")

Human Rights Violations (FAA Sec. 502B): Has it been determined that the country has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, has the President found that the country made such significant improvement in its human rights record that furnishing such assistance is in the U.S. national interest?

5C(2) - ASSISTANCE CHECKLIST

Listed below are statutory criteria applicable to the assistance resources themselves, rather than to the eligibility of a country to receive assistance. This section is divided into three parts. Part A includes criteria applicable to both Development Assistance and Economic Support Fund resources. Part B includes criteria applicable only to Development Assistance resources. Part C includes criteria applicable only to Economic Support Funds.

CROSS REFERENCE: IS COUNTRY CHECKLIST UP TO DATE?

YES

A. CRITERIA APPLICABLE TO BOTH DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUNDS

1. **Host Country Development Efforts** (FAA Sec. 601(a)): Information and conclusions on whether assistance 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.

2. **U.S. Private Trade and Investment** (FAA Sec. 601(b)): Information and conclusions on how assistance 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).

Although the project activities do not directly target these areas, except for strengthening free labor unions, they indirectly affect these areas by strengthening Constitutional structures and private organizations to contribute to the development of a democratic society in Haiti and broader participation in Haiti's development process.

N/A

3. Congressional Notification

a. General requirement (FY 1991 Appropriations Act Secs. 523 and 591; 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 (unless the notification requirement has been waived because of substantial risk to human health or welfare)?

YES

b. Notice of new account obligation (FY 1991 Appropriations Act Sec. 514): 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

c. Cash transfers and nonproject sector assistance (FY 1991 Appropriations Act Sec. 575(b)(3)): If funds are to be made available in the form of cash transfer or nonproject sector assistance, has the Congressional notice included a detailed description of how the funds will be used, with a discussion of U.S. interests to be served and a description of any economic policy reforms to be promoted?

N/A

4. Engineering and Financial Plans (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

5. Legislative Action (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

6. **Water Resources (FAA Sec. 611(b); FY 1991 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

7. **Cash Transfer and Sector Assistance (FY 1991 Appropriations Act Sec. 575(b)):** Will cash transfer or nonproject sector assistance be maintained in a separate account and not commingled with other funds (unless such requirements are waived by Congressional notice for nonproject sector assistance)?

N/A

8. **Capital Assistance (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

9. **Multiple Country Objectives (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.

Although the project activities do not directly target these areas, except for strengthening free labor unions, they indirectly affects these areas by strengthening Constitutional structures and private organizations to contribute to the development of a democratic society in Haiti and broader participation in Haiti's development process.

10. **U.S. Private Trade (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

11. Local Currencies

a. **Recipient Contributions** (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.

The project budget includes over 25% host country contribution to project costs. The U.S. does not own foreign currencies.

b. **U.S.-Owned Currency** (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

c. **Separate Account** (FY 1991 Appropriations Act Sec. 575). If assistance is furnished to a foreign government under arrangements which result in the generation of local currencies:

N/A

(1) 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?

(2) 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?

(3) 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?

(4) 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?

12. Trade Restrictions

a. **Surplus Commodities (FY 1991 Appropriations Act Sec. 521(a)):** 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

b. **Textiles (Lautenberg Amendment) (FY 1991 Appropriations Act Sec. 521(c)):** 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. **Tropical Forests (FY 1991 Appropriations Act Sec. 533(c)(3)):** Will funds be used for any program, project or activity which would (a) result in any significant loss of tropical forests, or (b) involve industrial timber extraction in primary tropical forest areas?

NO

14. Sahel Accounting (FAA 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. PVO Assistance

a. Auditing and registration (FY 1991 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.?

YES

b. Funding sources (FY 1991 Appropriations Act, Title II, under heading "Private and Voluntary Organizations"): 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?

YES

16. Project Agreement Documentation (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).

N/A

17. Metric System (Omnibus Trade and Competitiveness Act of 1988 Sec. 5164, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance activity use the metric system of measurement in its procurements, grants, and other business-related activities, except to the

YES

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? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

18. Women in Development (FY 1991 Appropriations Act, Title II, under heading "Women in Development"): Will assistance be designed so that the percentage of women participants will be demonstrably increased?

YES

19. Regional and Multilateral Assistance (FAA Sec. 209): Is assistance more efficiently and effectively provided through regional or multilateral organizations? If so, why is assistance not so provided? Information and conclusions on whether assistance will encourage developing countries to cooperate in regional development programs.

NO

20. Abortions (FY 1991 Appropriations Act, Title II, under heading "Population, DA," and Sec. 525):

a. Will assistance 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

b. Will any funds be used to lobby for abortion?

NO

21. Cooperatives (FAA Sec. 111): Will assistance help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward a better life?

Some assistance to the independent (NGO) sector in Haiti may reach cooperatives.

22. U.S.-Owned Foreign Currencies

a. Use of currencies (FAA Secs. 612(b), 636(h); FY 1991 Appropriations Act Secs. 507, 509): Describe steps taken to assure that, to the maximum extent possible, foreign currencies owned by the U.S. are utilized in lieu of dollars to meet the cost of contractual and other services.

No foreign currencies owned by U.S.

b. Release of currencies (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?

N/A

23. Procurement

a. Small business (FAA Sec. 602(a)): Are there arrangements to permit U.S. small business to participate equitably in the furnishing of commodities and services financed?

Project will be implemented through U.S. NGOs who will follow established procurement practices.

b. U.S. procurement (FAA Sec. 604(a)): Will all procurement be from the U.S. except as otherwise determined by the President or determined under delegation from him?

YES

c. Marine insurance (FAA Sec. 604(d)): If the cooperating country discriminates against marine insurance companies authorized to do business in the U.S., will commodities be insured in the United States against marine risk with such a company?

N/A

d. Non-U.S. agricultural procurement (FAA Sec. 604(e)): If non-U.S. procurement of agricultural commodity or product thereof is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity? (Exception where commodity financed could not reasonably be procured in U.S.)

N/A

e. Construction or engineering services (FAA Sec. 604(g)): Will construction or engineering services be procured from firms of advanced developing countries which are otherwise eligible

N/A

under Code 941 and which have attained a competitive capability in international markets in one of these areas? (Exception for those countries which receive direct economic assistance under the FAA and permit United States firms to compete for construction or engineering services financed from assistance programs of these countries.)

f. Cargo preference shipping (FAA Sec. 603): Is the shipping excluded from compliance with the requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 percent of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S. flag commercial vessels to the extent such vessels are available at fair and reasonable rates?

Not excluded

g. Technical assistance (FAA Sec. 621(a)): If technical assistance is financed, will such assistance be furnished by private enterprise on a contract basis to the fullest extent practicable? Will the facilities and resources of other Federal agencies be utilized, when they are particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

Project will be implemented through assistance instruments with NGOs/PVOs.

Not suitable.

h. U.S. air carriers (International Air Transportation Fair Competitive Practices Act, 1974): If air transportation of persons or property is financed on grant basis, will U.S. carriers be used to the extent such service is available?

YES

i. Termination for convenience of U.S. Government (FY 1991 Appropriations Act Sec. 504): If the U.S. Government is a party to a contract for procurement, does the contract contain a provision authorizing termination of such contract for the convenience of the United States?

YES

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j. Consulting services
(FY 1991 Appropriations Act Sec. 524): If assistance is for consulting service through procurement contract pursuant to 5 U.S.C. 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)?

YES

k. Metric conversion
(Omnibus Trade and Competitiveness Act of 1988, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance program 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? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

YES

l. Competitive Selection
Procedures (FAA Sec. 601(e)): Will the assistance utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

YES

24. Construction

a. Capital project (FAA Sec. 601(d)): If capital (e.g., construction) project, will U.S. engineering and professional services be used?

N/A

b. Construction contract (FAA Sec. 611(c)): If contracts for construction are to be financed, will they be let on a competitive basis to maximum extent practicable?

N/A

c. Large projects,
Congressional approval (FAA Sec. 620(k)):
If for construction of productive
enterprise, will aggregate value of
assistance to be furnished by the U.S. not
exceed \$100 million (except for productive
enterprises in Egypt that were described
in the Congressional Presentation), or
does assistance have the express approval
of Congress? N/A

25. U.S. Audit Rights (FAA Sec. 301(d)): If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights? N/A

26. Communist Assistance (FAA Sec. 620(h)). Do arrangements exist to insure that United States foreign aid is not used in a manner which, contrary to the best interests of the United States, promotes or assists the foreign aid projects or activities of the Communist-bloc countries? N/A

27. Narcotics

a. Cash reimbursements (FAA Sec. 483): Will arrangements preclude use of financing to make reimbursements, in the form of cash payments, to persons whose illicit drug crops are eradicated? YES

b. Assistance to narcotics traffickers (FAA Sec. 487): Will arrangements take "all reasonable steps" to preclude use of financing to or through individuals or entities which we know or have reason to believe have either: (1) been convicted of a violation of any law or regulation of the United States or a foreign country relating to narcotics (or other controlled substances); or (2) been an illicit trafficker in, or otherwise involved in the illicit trafficking of, any such controlled substance? YES

28. **Expropriation and Land Reform** (FAA Sec. 620(g)): Will assistance preclude use of financing to compensate owners for expropriated or nationalized property, except to compensate foreign nationals in accordance with a land reform program certified by the President? YES
29. **Police and Prisons** (FAA Sec. 660): Will assistance preclude use of financing to provide training, advice, or any financial support for police, prisons, or other law enforcement forces, except for narcotics programs? YES
30. **CIA Activities** (FAA Sec. 662): Will assistance preclude use of financing for CIA activities? YES
31. **Motor Vehicles** (FAA Sec. 636(i)): Will assistance preclude use of financing for purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U.S., unless a waiver is obtained? YES
32. **Military Personnel** (FY 1991 Appropriations Act Sec. 503): Will assistance preclude use of financing to pay pensions, annuities, retirement pay, or adjusted service compensation for prior or current military personnel? YES
33. **Payment of U.N. Assessments** (FY 1991 Appropriations Act Sec. 505): Will assistance preclude use of financing to pay U.N. assessments, arrearages or dues? YES
34. **Multilateral Organization Lending** (FY 1991 Appropriations Act Sec. 506): Will assistance preclude use of financing to carry out provisions of FAA section 209(d) (transfer of FAA funds to multilateral organizations for lending)? YES
35. **Export of Nuclear Resources** (FY 1991 Appropriations Act Sec. 510): Will assistance preclude use of financing to finance the export of nuclear equipment, fuel, or technology? YES

36. Repression of Population (FY 1991 Appropriations Act Sec. 511): Will assistance preclude use of financing for the purpose of aiding the efforts of the government of such country to repress the legitimate rights of the population of such country contrary to the Universal Declaration of Human Rights?

YES

37. Publicity or Propoganda (FY 1991 Appropriations Act Sec. 516): Will assistance be used for publicity or propaganda purposes designed to support or defeat legislation pending before Congress, to influence in any way the outcome of a political election in the United States, or for any publicity or propaganda purposes not authorized by Congress?

NO

38. Marine Insurance (FY 1991 Appropriations Act Sec. 563): Will any A.I.D. contract and solicitation, and subcontract entered into under such contract, include a clause requiring that U.S. marine insurance companies have a fair opportunity to bid for marine insurance when such insurance is necessary or appropriate?

YES

39. Exchange for Prohibited Act (FY 1991 Appropriations Act Sec. 569): Will any assistance be provided to any foreign government (including any instrumentality or agency thereof), foreign person, or United States person in exchange for that foreign government or person undertaking any action which is, if carried out by the United States Government, a United States official or employee, expressly prohibited by a provision of United States law?

NO

B. CRITERIA APPLICABLE TO DEVELOPMENT ASSISTANCE ONLY

1. **Agricultural Exports (Bumpers Amendment)** (FY 1991 Appropriations Act Sec. 521(b), 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

2. **Tied Aid Credits** (FY 1991 Appropriations Act, Title II, under heading "Economic Support Fund"): Will DA funds be used for tied aid credits?

NO

3. **Appropriate Technology** (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)?

N/A

4. **Indigenous Needs and Resources** (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.

The project will seek to encourage greater civic participation in democratic decision-making in Haiti's political and economic development.

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5. **Economic Development (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?

YES, due to the close relationship between democratic practices and economic development in Haiti.

6. **Special Development Emphases (FAA Secs. 102(b), 113, 281(a)):** Describe extent to which activity will: (a) 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; (b) encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries.

For (a), (d), there will be an indirect impact; for (b), (c) specific project components will promote democratic private and local governmental institutions, and all project components will promote self-help efforts.

7. **Recipient Country Contribution (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)?

YES

8. **Benefit to Poor Majority (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?

YES

9. Abortions (FAA Sec. 104(f); FY 1991 Appropriations Act, Title II, under heading "Population, DA," and Sec. 535):

- a. 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
- b. 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
- c. 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
- d. 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? N/A
- e. 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
- f. 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
- g. Are any of the funds to be made available to any organization if the President certifies that the use of these funds by such organization would violate any of the above provisions related to abortions and involuntary sterilization? NO

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

YES

11. **Disadvantaged Enterprises (FY 1991 Appropriations Act Sec. 567):** 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 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)?

No funds will be specifically reserved for these activities organizations.

12. **Biological Diversity (FAA Sec. 119(g)):** 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 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?

N/A

13. **Tropical Forests (FAA Sec. 118; FY 1991 Appropriations Act Sec. 533(c)-(e) & (g)):**

a. **A.I.D. Regulation 16:** Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16?

YES, with a categorical Exclusion.

b. **Conservation:** Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does the assistance, to the fullest extent

N/A

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 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; (11) utilize the resources and abilities of all relevant U.S. government agencies; (12) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land; and (13) take full account of the environmental impacts of the proposed activities on biological diversity?

N/A

c. **Forest degradation:** 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; (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; (3) activities which would result in the conversion of forest lands to the rearing of livestock; (4) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undergraded forest lands; (5) the colonization of forest lands; or (6) 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?

N/A

d. **Sustainable forestry:** 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

e. **Environmental impact statements:** Will funds be made available in accordance with provisions of FAA Section 117(c) and applicable A.I.D. regulations requiring an environmental impact statement for activities significantly affecting the environment?

N/A

14. Energy (FY 1991 Appropriations Act Sec. 533(c)): If assistance relates to energy, will such assistance focus on: (a) end-use energy efficiency, least-cost energy planning, and renewable energy resources, and (b) the key countries where assistance would have the greatest impact on reducing emissions from greenhouse gases?

N/A

15. Sub-Saharan Africa Assistance (FY 1991 Appropriations Act Sec. 562, adding a new FAA chapter 10 (FAA Sec. 496)): If assistance will come from the Sub-Saharan Africa DA account, is it: (a) 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; (b) to be used to promote sustained economic growth, encourage private sector development, promote individual initiatives, and help to reduce the role of central governments in areas more appropriate for the private sector; (c) being provided in accordance with the policies contained in FAA section 102; (d) being provided in close consultation with 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; (e) being used 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 into account, in assisted policy reforms, the need to protect vulnerable groups; (f) 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,

N/A

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?

16. **Debt-for-Nature Exchange (FAA Sec. 463):** If project will finance a debt-for-nature exchange, describe how the exchange will support protection of: (a) the world's oceans and atmosphere, (b) animal and plant species, and (c) parks and reserves; or describe how the exchange will promote: (d) natural resource management, (e) local conservation programs, (f) conservation training programs, (g) public commitment to conservation, (h) land and ecosystem management, and (i) regenerative approaches in farming, forestry, fishing, and watershed management.

N/A

17. **Deobligation/Reobligation (FY 1991 Appropriations Act Sec. 515):** If deob/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?

N/A

18. **Loans**

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

N/A

b. Long-range plans (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?

c. Interest rate (FAA Sec. 122(b)): If development loan is repayable in dollars, is interest rate at least 2 percent per annum during a grace period which is not to exceed ten years, and at least 3 percent per annum thereafter?

d. Exports to United States (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?

19. Development Objectives (FAA Secs. 102(a), 111, 113, 281(a)): Extent to which activity will: (1) effectively involve the poor in development, by expanding access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment out 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 the appropriate U.S. institutions; (2) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward 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?

1),2),3) The project's activities, especially the NGO support component and the political parties development component will provide opportunities for the poor, including women, to participate in local and national decisions that directly and indirectly affect their well-being

5) N/A

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20. Agriculture, Rural Development and Nutrition, and Agricultural Research (FAA Secs. 103 and 103A):

a. Rural poor and small farmers: If assistance is being made available for agriculture, rural development or nutrition, describe extent to which activity is specifically designed to increase productivity and income of rural poor; or if assistance is being made available for agricultural research, has account been taken of the needs of small farmers, and extensive use of field testing to adapt basic research to local conditions shall be made.

N/A

b. Nutrition: Describe extent to which assistance is used in coordination with efforts carried out under FAA Section 104 (Population and Health) to help improve nutrition of the people of developing countries through encouragement of increased production of crops with greater nutritional value; improvement of planning, research, and education with respect to nutrition, particularly with reference to improvement and expanded use of indigenously produced foodstuffs; and the undertaking of pilot or demonstration programs explicitly addressing the problem of malnutrition of poor and vulnerable people.

N/A

c. Food security: Describe extent to which activity increases national food security by improving food policies and management and by strengthening national food reserves, with particular concern for the needs of the poor, through measures encouraging domestic production, building national food reserves, expanding available storage facilities, reducing post harvest food losses, and improving food distribution.

N/A

21. Population and Health (FAA Secs. 104(b) and (c)): If assistance is being made available for population or health activities, describe extent to which activity emphasizes low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of

N/A

mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems, and other modes of community outreach.

22. Education and Human Resources Development (FAA Sec. 105): If assistance is being made available for education, public administration, or human resource development, describe (a) extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, and strengthens management capability of institutions enabling the poor to participate in development; and (b) extent to which assistance provides advanced education and training of people of developing countries in such disciplines as are required for planning and implementation of public and private development activities.

Project will support non-formal civic education which will educate urban and rural poor about rights and responsibilities in a democracy.

23. Energy, Private Voluntary Organizations, and Selected Development Activities (FAA Sec. 106): If assistance is being made available for energy, private voluntary organizations, and selected development problems, describe extent to which activity is:

a. concerned with data collection and analysis, the training of skilled personnel, research on and development of suitable energy sources, and pilot projects to test new methods of energy production; and facilitative of research on and development and use of small-scale, decentralized, renewable energy sources for rural areas, emphasizing development of energy resources which are environmentally acceptable and require minimum capital investment;

N/A

b. concerned with technical cooperation and development, especially with U.S. private and voluntary, or regional and international development, organizations;

Project will work through U.S. PVOs to build capacity of Haitian PVOs/NGOs to support activities which enhance democracy and pluralistic participation.

c. research into, and evaluation of, economic development processes and techniques; N/A

d. reconstruction after natural or manmade disaster and programs of disaster preparedness; N/A

e. for special development problems, and to enable proper utilization of infrastructure and related projects funded with earlier U.S. assistance; N/A

f. for urban development, especially small, labor-intensive enterprises, marketing systems for small producers, and financial or other institutions to help urban poor participate in economic and social development. N/A

24 Sahel Development (FAA Secs. 120-21). If assistance is being made available for the Sahelian region, describe: (a) extent to which there is international coordination in planning and implementation; participation and support by African countries and organizations in determining development priorities; and a long-term, multidonor development plan which calls for equitable burden-sharing with other donors; (b) whether a determination has been made that the host government has an adequate system for accounting for and controlling receipt and expenditure of projects funds (dollars or local currency generated therefrom). N/A

ANNEX D
DETAILED BUDGETS

ANNEX D

DETAILED BUDGETS

BUDGET ASSUMPTIONS AND NOTES

General Assumptions

1. Local currency costs are expressed in gourdes using a conversion rate of US \$1 to 6 gourdes.
2. Local costs are not inflated with the exception of local hire salaries which are inflated at a rate of 5% per annum.
3. All US dollar costs are inflated at a rate of 5% per annum.

Component Assumptions

SCHEDULE 1: Component I -- National Legislature

4. Short term technical assistance (TA) is budgeted as follows:

Fee @ \$250 per day for 1 pm	\$5,500
Per Diem for 30 days @\$100	\$3,000
Air Fare	700
Miscellaneous Costs	750

	\$9,950
Indirect Costs * @ 100%	9,950

	\$19,900
	=====

For budget purposes this has been rounded to \$20,000 per person month of ST TA.

* This includes fringe benefits, overhead, G&A and other multipliers commonly used by A.I.D. contractors.

5. Conference costs have been budgeted at \$10,000 each, as follows, assuming 100 national participants over a 2 day period.

Space Rental	6,000 gourdes
Meals (60 gdes. per day)	12,000
Program Costs	25,000
Per Diem	17,000

	60,000 gourdes
	=====

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Converted at 6 gourdes to US \$1 this gives \$10,000. Program costs, including agenda development, logistical arrangements, honoraria, and other similar costs are estimated at 25,000 gourdes per conference. Per diem costs are estimated for approximately one-third (34) of the participants at the PAP rate of \$84 per person (low season).

6. Study tours are short (2 week) trips to the US (Washington, DC and a smaller state level legislature), to the Montreal and Quebec legislatures, and to legislatures in certain Central American countries (Panama, Costa Rica, Nicaragua). The cost of these tours, undertaken by senators and representatives of the Haitian national legislative bodies, will consist of:

Air fare (average)	\$1,000
Per Diem (14 days x \$150)	2,100
Miscellaneous Travel Costs	400

	\$3,500
	=====

75 study tours are budgeted: 15 in year 1 and 20 each in years 2 to 4. Miscellaneous travel costs will cover ground transportation, visa costs, travel preparation costs, and other similar expenses.

7. Commodities for the National Assembly consist of office equipment and computers. Office equipment consists of the following, expressed in U.S. dollars:

<u>Item</u>	<u>Units</u>	<u>Rates</u>	<u>Total</u>
Typewriter	10	500	5,000
Photocopier	10	800	8,000
Fax Machine	5	800	4,000
Filing Cabinets - 4 drawer	50	200	10,000
Typing tables	10	125	1,250
Chairs - Secretarial	10	125	1,250
Bookcases	100	150	15,000
Miscellaneous items	10	100	1,000
Shipping			4,550
TOTAL			50,050

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Computer equipment for the National Legislature (comprised of 112 members -- 27 senators and 85 representatives) is shown in the table below. It is assumed that 2 members will share one workstation and peripherals. All costs are in U.S. dollars.

<u>Item</u>	<u>Units</u>	<u>Rates</u>	<u>Totals</u>
Computers	56	2,500	140,000
Printers	56	800	44,800
LAN	56	350	19,600
Software	56	400	22,400
Shipping			22,680
TOTALS			249,480

SCHEDULE 2: Component III -- CEP

8. In addition to short term TA, the CEP will also be given equipment turned over from another project. Hence, besides the charge for one year's storage, no costs are chargeable to this project.

SCHEDULE 3: Component IV -- Political Parties/Labor

9. Funding to the political parties will flow through a grant to the National Endowment for Democracy which, in turn, will sub-grant sums to the National Democratic Institute and the National Republican Institute. Funds for labor union development will likewise flow from the NED to FTUI. The sums indicated on the budget are gross, i.e., they are inclusive of the organization's overhead costs as well as inflation in years 2 to 4.

Prior to funding these organizations, NDI, NRI, and FTUI will submit detailed budgets for review and approval by the NED as well as review by USAID/Haiti.

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SCHEDULE 4: Component II and V -- Umbrella Management Unit, Local Governments and NGOs

10. The Umbrella Management Unit will consist of three senior managers -- a Chief of Party (COP), a Financial Management Advisor, and an Institutional Development Advisor. The first two will have 4 year tours of duty while the Institutional Development Advisor will have a 2 year tour of duty. Because it is not known whether these persons would be local- or U.S.-hire, the higher level of funding is included in the budget.
11. The UMU will also provide up to 12 pm of short term TA in the areas of fund raising, local government, decentralization, and income generation. Over the LOP the ST TA will be for 12 person months and is straight-lined for budget purposes. Costs are estimated at \$250 per day (base salary/fee) for a 22 day month. Fringes and overhead are added separately in the fringe and overhead line items.
12. Local hire salaries for the local hire UMU staff have been estimated at current market rates. The proposed staffing level includes 4 senior Haitian professional positions (a Controller, a Training Specialist, a Program M&E Specialist, and a Financial Systems/M&E Specialist), 2 bookkeepers, the administrative assistant, 2 secretaries, 3 drivers and 3 sweepers/guards.

Local operating costs are estimated. Per diem for local staff travel is estimated at \$36 per day (outside of PAP, Cap Haitien, and Peticnville) for 150 days per year for two persons each (one professional and one driver). Costs are spread evenly between US dollar and LC payments. LC costs are not inflated. No additional local travel costs are estimated as it is deemed that they will be included in the vehicle fuel costs included in the local operating costs.

13. Office furniture for the UMU is shown in the table below. All costs are in U.S. dollars.

<u>Items</u>	<u>Units</u>	<u>Rates</u>	<u>Totals</u>
Filing Cabinets - 4 drawer	6	200	1,200
Desks	10	275	2,750
Tables			
Typing	2	125	250
Computer	8	150	1,200
Chairs			
Executive	8	150	1,200
Secretarial	2	125	250
Visitor	12	110	1,320
Bookcases	4	150	600
Miscellaneous items	10	100	1,000
Shipping			977
TOTAL			10,747

14. Office equipment for the UMU is as follows. All costs are expressed in U.S. dollars.

<u>Item</u>	<u>Units</u>	<u>Rates</u>	<u>Totals</u>
Computers (desktops)	8	2,500	20,000
Computers (laptops)	2	2,500	5,000
Printers	8	800	6,400
Typewriter - 1 manual	2	500	1,000
Photocopier	1	800	800
Fax machine	1	800	800
Telephone equipment	10	300	3,000
Miscellaneous	10	100	1,000
Shipping			3,800
TOTALS			41,800

15. Post Differential is calculated at 20% of base salaries.

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16. Expatriate allowances are computed on the basis of an employee with one dependent, as follows:

	Yr. 1	Yr. 2	Yr. 3	Yr. 4
Housing				
Rent	\$18,000	\$18,000	\$18,000	\$18,000
Electricity *	\$9,240	\$9,240	\$9,240	\$9,240
Water *	\$2,640	\$2,640	\$2,640	\$2,640
Recurring Allowances				
R&R		\$1,240	\$1,240	\$1,240
Home Leave		\$1,240		
Education				
Security *	\$5,000	\$5,000	\$5,000	\$5,000
Maintenance *	\$1,000	\$1,000	\$1,000	\$1,000
Start/End Allowances				
Air Freight	\$1,000			\$1,000
POV Shipment	\$2,000			\$2,000
HHE & Shipment	\$7,000			\$7,000
Start-Up Allowances				
Furniture & Appliances	\$18,000			
Other Misc. Allowances	\$6,000			
TOTALS	\$69,880	\$38,360	\$37,120	\$47,120

* These costs are expended in local currency (gourdes) and are shown as such in the budget.

17. Fringe benefits are estimated on base salaries at 25% for US hires and 15% for local hires.
18. Overhead rates are computed at 50% on base salaries for home office hires and at 25% for field office hires.
19. Sub-grants to the independent sector are estimated at \$50,000 in AID FX for 5 organizations in year 1, 10 in year 2, and 15 in year 3. These gross estimates are inclusive of indirect costs of recipient organizations and of inflation in years 2 to 4. Generated LC is similarly grossly estimated, at higher levels. Prior to funding, detailed budget requests will be submitted to the UMU for consideration and joint approval with the Mission.

Local government training estimates are also gross, as indicated above, and are shown for two known recipients and

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for other as yet unidentified organizations. Again, detailed budgets will be submitted by the recipient sub-grantees prior to funding.

SCHEDULE 5: Component VI -- A.I.D. Oversight

20. Up to 22 pm of short-term TA for direct A.I.D. contracting has been provided in the budget. This TA will be for a possible buy-in the the Decentralization: Finance and Management Project (S&T centrally funded) for local government assistance, possibly for a study of the labor movement in Haiti, and for other studies/assessments to be identified during the course of the project. At the option of the Mission, it may be used for additional PSC project management needs.
21. Project Coordinator -- three project coordinators are budgeted for in the first two years at a current actual total of \$87,093 for two expatriates and an estimated \$ 32,500 in local currency for a proposed Haitian. In years 3 and 4, the budget is for one expatriate and one Haitian coordinator only. As stated in note 20 above, at the option of the Mission, some of the TA not elsewhere cited may be applied to additional project management needs.
22. Provision is made for up to 20 person months of short-term U.S. training over the life of the project, estimated at current CLASP II costs of \$ 7000/pm, inflated at 5 % per annum. The proposed training is to enable the Mission to take advantage of "targets of opportunity" that will evolve as A.I.D.'s worldwide democracy initiative unfolds.

LOCAL CURRENCY FUNDING

22. The table of funding sources shows the origin of funds for various components of the project. A total of \$11 million is from A.I.D. sources (dollars and local currency) while approximately \$million will be needed from the GOH as its contribution in generated currency.

The \$9.05 million consists of \$ 1 million to the national assembly, \$2 million to political parties and labor, and \$6.05 million for independent sector and for local government training.

TABLE 2. ESTIMATED EXPENDITURES BY COMPONENT BY YEAR: DA FUNDS ONLY

Description	Schedule	Year 1			Year 2			Year 3			Year 4			Total		Grand Total
		FX	LC	Total	FX	LC										
DA FUNDS																
NATIONAL LEGISLATURE	1	\$162,500	\$10,000	\$172,500	\$404,000	\$10,000	\$414,000	\$158,200	\$10,000	\$168,200	\$139,458	\$10,000	\$149,458	\$594,158	\$40,000	\$634,158
CEA	2	\$90,000	\$12,000	\$92,000	\$84,000	\$0	\$84,000	\$23,200	\$0	\$23,200	\$0	\$0	\$0	\$252,200	\$12,000	\$264,200
POLITICAL PARTIES/LABOR	3	\$650,000	\$0	\$650,000	\$650,000	\$0	\$650,000	\$400,000	\$0	\$400,000	\$400,000	\$0	\$400,000	\$2,100,000	\$0	\$2,100,000
UNU. IND SEC., LOCAL GOVT	4	\$1,209,072	\$294,500	\$1,503,572	\$1,263,351	\$303,535	\$1,566,886	\$1,395,795	\$296,222	\$1,692,017	\$1,433,161	\$306,183	\$1,739,344	\$5,298,379	\$1,200,440	\$6,498,819
DIRECT AID	5	\$202,098	\$32,500	\$234,598	\$314,203	\$34,125	\$348,328	\$218,903	\$35,831	\$254,734	\$294,844	\$37,623	\$332,467	\$1,030,047	\$140,079	\$1,170,106
AUDIT	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$50,000	\$0	\$50,000	\$50,000	\$0	\$50,000
Total DA Funds		\$2,300,670	\$349,000	\$2,649,670	\$2,715,554	\$347,660	\$3,063,214	\$2,251,098	\$342,053	\$2,603,150	\$2,317,462	\$353,806	\$2,671,268	\$9,594,784	\$1,392,519	\$10,987,292

TABLE 3. ESTIMATED EXPENDITURES BY COMPONENT: GOH GENERATED CURRENCY ONLY

	Year 1			Year 2			Year 3			Year 4			Total		Grand Total	
	FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC		
GOH LC FUNDS																
NATIONAL ASSEMBLY		\$500,000	\$500,000		\$1,000,000	\$1,000,000		\$1,000,000	\$1,000,000		\$1,000,000	\$1,000,000	\$0	\$3,500,000	\$3,500,000	
HRI		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000	\$0	\$800,000	\$800,000	
NDI		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000	\$0	\$800,000	\$800,000	
FTUI		\$200,000	\$200,000		\$200,000	\$200,000		\$0	\$0		\$0	\$0	\$0	\$400,000	\$400,000	
IND SEC. SUB-GRANTS		\$250,000	\$250,000		\$500,000	\$500,000		\$750,000	\$750,000		\$750,000	\$750,000	\$0	\$2,250,000	\$2,250,000	
LOCAL GOVERNMENT TRAINING		\$1,200,000	\$1,200,000		\$1,500,000	\$1,500,000		\$1,500,000	\$1,500,000		\$1,500,000	\$1,500,000	\$0	\$5,700,000	\$5,700,000	
Total Local Currency		\$2,050,000	\$2,050,000	\$0	\$2,600,000	\$2,600,000	\$0	\$2,650,000	\$2,650,000	\$0	\$2,650,000	\$2,650,000	\$0	\$13,450,000	\$13,450,000	
TOTAL PROJECT		\$2,300,670	\$2,399,000	\$4,699,670	\$2,715,554	\$2,947,660	\$5,663,214	\$2,251,098	\$2,992,053	\$5,253,150	\$2,317,462	\$3,003,806	\$5,321,268	\$9,594,784	\$14,942,519	\$24,437,292

All budget notes and assumptions are listed separately in the notes section.

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SCHEDULE 1

COMPONENT 1 -- National Legislature Budget

Description	Note	Year 1			Year 2			Year 3			Year 4			Total		
		FX	LC	Total												
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Short Term TA	4	\$90,000		\$90,000	\$84,000		\$84,000	\$88,200		\$88,200	\$89,458		\$89,458	\$301,658	\$0	\$301,658
Number of ST Months		3		3	4		4	4		4	3		3	14	0	14
Conferences	5		\$10,000	\$10,000		\$10,000	\$10,000	\$10,000		\$10,000	\$10,000		\$10,000	\$0	\$40,000	\$40,000
Number of Conferences			1	1		1	1	0	1	0	1		1	0	4	4
ST Study Tours	6	\$52,500		\$52,500	\$70,000		\$70,000	\$70,000		\$70,000	\$70,000		\$70,000	\$282,500	\$0	\$282,500
Number of Tours		15		15	20		20	20		20	20		20	75	0	75
Commodities				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Office Equipment	7	\$50,000		\$50,000			\$0			\$0			\$0	\$50,000	\$0	\$50,000
Computers	7			\$0	\$250,000		\$250,000			\$0			\$0	\$250,000	\$0	\$250,000
		\$182,500	\$10,000	\$172,500	\$404,000	\$10,000	\$414,000	\$158,200	\$10,000	\$168,200	\$139,458	\$10,000	\$149,458	\$684,158	\$40,000	\$904,158
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0

NOTE

All the above activities will be funded through the Consortium for Legislative Development.
 All budget notes and assumptions are noted separately in the Notes section.

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SCHEDULE 2

COMPONENT III — CEP Budget

Description	Note	Year 1			Year 2			Year 3			Year 4			Total		
		FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC	Total	FX	LC	Total
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Short Term TA	4	\$80,000		\$80,000	\$84,000		\$84,000	\$88,200		\$88,200			\$0	\$252,200	\$0	\$252,200
Number of ST Months		4		4	4		4	4		4				12	0	12
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Warehouse Rent	8		\$12,000	\$12,000			\$0			\$0			\$0	\$0	\$12,000	\$12,000
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
		\$80,000	\$12,000	\$92,000	\$84,000	\$0	\$84,000	\$88,200	\$0	\$88,200	\$0	\$0	\$0	\$252,200	\$12,000	\$264,200

All budget notes and assumptions are listed separately in the Notes section

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SCHEDULE 3

COMPONENT IV — Political Parties and Labor Budget

Description	Note	Year 1			Year 2			Year 3			Year 4			Total				
		FX	LC	Total	LC	Total												
				\$0			\$0			\$0			\$0	\$0	\$0	\$0		
NRE	9	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000	\$800,000	\$0	\$800,000	
				\$0			\$0			\$0			\$0	\$0	\$0	\$0	\$0	
NOA	9	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000		\$200,000	\$200,000	\$800,000	\$0	\$800,000	
				\$0			\$0			\$0			\$0	\$0	\$0	\$0	\$0	
FTUI		\$250,000		\$250,000	\$250,000		\$250,000			\$0			\$0	\$500,000	\$0	\$500,000	\$0	\$500,000
		\$850,000	\$0	\$850,000	\$650,000	\$0	\$650,000	\$400,000	\$0	\$400,000	\$400,000	\$0	\$400,000	\$2,100,000	\$0	\$2,100,000	\$0	\$2,100,000

All budget notes and assumptions are listed separately in the Notes section.

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SCHEDULE 4

COMPONENTS H & V -- Umbrella Management Unit, NGOs and Local Government Budget

Description	Note	Year 1			Year 2			Year 3			Year 4			Total		
		FX	LC	Total	FX	LC	Total									
UMU COSTS				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Salaries (US Hire)				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Chief of Party	10	\$70,000		\$70,000	\$73,600		\$73,600	\$77,175		\$77,175	\$81,034		\$81,034	\$301,709	\$0	\$301,709
Financial Mgmt. Adv	10	\$65,000		\$65,000	\$67,750		\$67,750	\$68,638		\$68,638	\$63,669		\$63,669	\$237,057	\$0	\$237,057
Institutional Dev. Adv	10	\$50,000		\$50,000	\$52,500		\$52,500	\$0		\$0			\$0	\$102,500	\$0	\$102,500
ST TA	4.11	\$18,500		\$18,500	\$17,325		\$17,325	\$18,191		\$18,191	\$19,101		\$19,101	\$71,117	\$0	\$71,117
Salaries (Local Hire)	12			\$0			\$0			\$0			\$0	\$0	\$0	\$0
Training Specialist			\$32,500	\$32,500		\$34,125	\$34,125		\$35,831	\$35,831		\$37,623	\$37,623	\$0	\$140,079	\$140,079
Monitoring & Evaluation (2)			\$65,000	\$65,000		\$66,250	\$66,250		\$71,663	\$71,663		\$75,246	\$75,246	\$0	\$280,156	\$280,156
Controller			\$22,500	\$22,500		\$23,625	\$23,625		\$24,808	\$24,808		\$26,047	\$26,047	\$0	\$96,978	\$96,978
Bookkeepers (2)			\$10,000	\$10,000		\$10,500	\$10,500		\$11,025	\$11,025		\$11,576	\$11,576	\$0	\$43,101	\$43,101
Admin. Assistant			\$8,000	\$8,000		\$8,400	\$8,400		\$8,820	\$8,820		\$9,261	\$9,261	\$0	\$34,481	\$34,481
Secretaries (2)			\$10,000	\$10,000		\$10,500	\$10,500		\$11,025	\$11,025		\$11,576	\$11,576	\$0	\$43,101	\$43,101
Drivers (3)			\$6,000	\$6,000		\$6,300	\$6,300		\$6,615	\$6,615		\$6,946	\$6,946	\$0	\$25,861	\$25,861
Sweepers/Guards (3)			\$4,500	\$4,500		\$4,725	\$4,725		\$4,961	\$4,961		\$5,209	\$5,209	\$0	\$19,396	\$19,396
Local Operating Costs				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Office Space		\$10,000		\$10,000	\$10,000		\$10,000	\$10,000		\$10,000	\$10,000		\$10,000	\$40,000	\$0	\$40,000
Telephone/Fax			\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000	\$0	\$24,000	\$24,000
Electricity			\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000	\$0	\$24,000	\$24,000
Supplies			\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000		\$6,000	\$6,000	\$0	\$24,000	\$24,000
Vehicle Fuel/Mtce.			\$15,000	\$15,000		\$15,000	\$15,000		\$15,000	\$15,000		\$15,000	\$15,000	\$0	\$60,000	\$60,000
Local Staff Travel				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Transportation				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Per Diem		\$5,400	\$5,400	\$10,800	\$8,670	\$6,400	\$11,070	\$6,954	\$5,400	\$11,354	\$6,251	\$5,400	\$11,651	\$23,275	\$21,600	\$44,875
Commodities				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Vehicle (3 4wd)		\$75,000		\$75,000			\$0			\$0			\$0	\$75,000	\$0	\$75,000
Office Furniture	13	\$10,747		\$10,747			\$0			\$0			\$0	\$10,747	\$0	\$10,747
Office Equipment	14	\$41,800		\$41,800			\$0			\$0			\$0	\$41,800	\$0	\$41,800
Allowances				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Post Differential	15	\$36,000		\$36,000	\$36,750		\$36,750	\$27,563		\$27,563	\$28,941		\$28,941	\$126,253	\$0	\$126,253
Expatriate Allowances	16	\$156,000	\$50,400	\$206,400	\$70,200	\$50,400	\$120,600	\$36,480	\$33,600	\$72,080	\$56,480	\$33,600	\$92,080	\$323,190	\$166,000	\$489,190
Indirect Costs				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Fringe Benefits -- US Hire	17	\$47,875		\$47,875	\$60,269		\$60,269	\$39,001		\$39,001	\$40,961		\$40,961	\$178,096	\$0	\$178,096
Fringe Benefits -- Local Hires	17		\$22,200	\$22,200		\$23,310	\$23,310		\$24,476	\$24,476		\$25,699	\$25,699	\$0	\$95,685	\$95,685
Overhead -- HO Rate	18	\$96,750		\$96,750	\$100,636		\$100,636	\$78,002		\$78,002	\$81,902		\$81,902	\$356,191	\$0	\$356,191
Overhead -- Field Rate	18	\$37,000		\$37,000	\$36,850		\$36,850	\$40,793		\$40,793	\$42,832		\$42,832	\$159,475	\$0	\$159,475
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Total UMU Costs		\$706,072	\$299,500	\$975,572	\$613,351	\$278,535	\$791,886	\$395,795	\$271,222	\$667,017	\$433,161	\$261,183	\$714,344	\$2,048,379	\$1,100,440	\$3,148,819
Sub-Grants: Independent Secto	19	\$250,000		\$250,000	\$600,000		\$600,000	\$750,000		\$750,000	\$750,000		\$750,000	\$2,250,000	\$0	\$2,250,000
Sub-Grants: Local Govt	19	\$250,000		\$250,000	\$250,000		\$250,000	\$250,000		\$250,000	\$250,000		\$250,000	\$1,000,000	\$0	\$1,000,000
Sub-Grant Audit Costs			\$25,000	\$25,000		\$25,000	\$25,000		\$25,000	\$25,000		\$25,000	\$25,000	\$0	\$100,000	\$100,000
Total Sub-Grantee Costs		\$500,000	\$25,000	\$625,000	\$750,000	\$25,000	\$775,000	\$1,000,000	\$25,000	\$1,025,000	\$1,000,000	\$25,000	\$1,025,000	\$3,250,000	\$100,000	\$3,350,000
Total Component Costs		\$1,206,072	\$294,500	\$1,500,572	\$1,283,351	\$303,535	\$1,566,886	\$1,395,795	\$296,222	\$1,692,017	\$1,433,161	\$306,183	\$1,739,344	\$5,298,379	\$1,200,440	\$6,498,819

All budget notes and assumptions are listed separately in the Notes section.
 Sub-grants to NGOs and for local government training are detailed on page 2 of this schedule.

SCHEDULE 4 Page 2

COMPONENTS W & V -- Umbrella Management Unit, NGOs and Local Government Budget

Details of Sub-Grants to Independent Sector and for Local Government Training

	Year 1 AID FX	LC	Year 2 AID FX	LC	Year 3 AID FX	LC	Year 4 AID FX	LC	Total AID FX	LC
Independent Sec (Note 19)										
Ex Yr. 1	\$250,000		\$250,000		\$250,000		\$250,000		\$1,000,000	\$0
Ex Yr. 2			\$250,000		\$250,000		\$250,000		\$750,000	\$0
Ex Yr. 3					\$250,000		\$250,000		\$500,000	\$0
Sub	\$250,000	\$0	\$500,000	\$0	\$750,000	\$0	\$750,000	\$0	\$2,250,000	\$0
Local Govt. (Note 19)										
IHRED	\$100,000		\$100,000		\$100,000		\$100,000		\$400,000	\$0
CDPH	\$100,000		\$100,000		\$100,000		\$100,000		\$400,000	\$0
Other	\$60,000		\$60,000		\$60,000		\$50,000		\$200,000	\$0
	\$260,000	\$0	\$260,000	\$0	\$260,000	\$0	\$250,000	\$0	\$1,000,000	\$0

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SCHEDULE 6

COMPONENT VI -- A.I.D. Oversight and Monitoring Budget

Description	Note	Year 1			Year 2			Year 3			Year 4			Total		
		FX	LC	Total	FX	LC	Total									
Short Term TA	4,20	\$80,000		\$80,000	\$128,000		\$128,000	\$132,300		\$132,300	\$138,912		\$138,912	\$477,212	\$0	\$477,212
Number of ST Months		4		4	6		6	6		6	6		6	22	0	22
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Project Coordinators	21	\$67,093	\$32,500	\$119,593	\$91,448	\$34,125	\$125,573	\$48,010	\$35,831	\$83,841	\$50,411	\$37,623	\$88,034	\$276,982	\$140,079	\$417,041
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Short Term Training	22	\$35,000		\$35,000	\$38,750		\$38,750	\$38,588		\$38,588	\$40,516		\$40,516	\$150,854	\$0	\$150,854
Number of Person Months		5		5	6		5	5		5	5		5	20	0	
Evaluation and Audit				\$0			\$0			\$0			\$0	\$0	\$0	\$0
Evaluations				\$0	\$60,000		\$60,000			\$0	\$65,000		\$65,000	\$125,000	\$0	\$125,000
Audit				\$0			\$0			\$0	\$50,000		\$50,000	\$50,000	\$0	\$50,000
				\$0			\$0			\$0			\$0	\$0	\$0	\$0
		\$202,098	\$32,500	\$234,598	\$314,203	\$34,125	\$348,328	\$218,903	\$35,831	\$254,734	\$344,844	\$37,623	\$382,467	\$1,080,047	\$140,079	\$1,220,108

All budget notes and assumptions are listed separately in the Notes section.

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ANNEX E

SOCIAL/INSTITUTIONAL ANALYSIS

1. INTRODUCTION AND RATIONALE

The analysis in this annex, and the design of the Democracy Enhancement Project, is based in large part on a comparative analysis of 26 countries which reviewed factors which previous theories and research suggest affect the prospects for developing and maintaining democratic government. The comparative analysis was undertaken by Larry Diamond, Seymour Martin Lipset, and Juan Linz. A summary of its findings was presented in World Development, Volume 150, No. 1, in the Summer of 1987. The summary conclusions reported in the article are worth repeating herein:

...First, innovations in political structure and constitutional design can clearly improve the prospects for democracy in a number of the countries under study here. In several countries, the decentralization of state authority and devolution of power to local and regional administrations appear to be an important condition for the development, consolidation, and improvement of democracy. In Peru and Sri Lanka, as we have already indicated, this is imperative to defuse ethnic and regional insurrection. In Columbia, Turkey, and Thailand, it is necessary to broaden the basis for democratic participation in governance.

In several countries, the strengthening of political participatory institutions must be a major project. To do so requires time, patience, organization, skill, and access to resources. In Thailand, Sadumavanija urges that the pursuit of democratization must focus on the gradual improvement of participant political institutions, rather than pressing for drastic constitutional changes that could induce a military coup and end the current semi-democratic regime.

It is important to underscore the fact that political institutionalization is, by definition, a time-consuming process. **Where there is no tradition of complex, deeply rooted, autonomous participatory institutions, these can hardly be established overnight. This lack is one of the particular problems facing Haiti at the moment.** [emphasis added by FP team]. It bears repeating that the illusionary expectation that durable democratic structures could be constructed quickly has contributed to the failure of many post-colonial democratic regimes. African countries in particular have paid heavily for it.

Even when there is a tradition of strong political parties, there may not be one of tolerance and civility among them. These, too, can be established only over time. In some cases, these needs may argue for a more phased and gradual transition to democratic government, so that parties learn to live with one another and establish a system of mutual security in successive elections, before complete political power is once more at stake. ...

It is also clear that civil society must be strengthened and the power of the state reduced in many Third World countries if the prospects for stable democracy are to be enhanced. This will require changes which will reduce the extent to which politics approaches a zero-sum game in which the winner takes all.

As statism is checked and reversed, civil associations must be increased in number, autonomy, and vitality. **We believe there is a clear relationship between the strength of voluntary associations, democratic interest groups, and the press, on the one hand, and the chances for stable democracy on the other.** [emphasis added by PP team]. Hence, improvement of those prospects requires, in many cases, efforts to enhance the organizational skill, experience, resources, complexity, and autonomy of trade unions, producer associations, peasant cooperatives, professional groups, student organizations, newspapers, magazines, and broadcast media. This is a project in which the more advanced democracies may be able to render particularly useful assistance, both because their own associations are so well developed and resourceful, and because this is a form of intervention that is less explicitly political in nature, and so may be less threatening and objectionable to powerful interests in developing countries that may not favor democracy per se. In particular, linkages between private associations in the established democracies and their counterparts in developing countries may be especially effective.

The political obstacles to democracy in some developing countries, however, stem in part from the determination of authoritarian actors to remain in power. Here timely, careful, and consistent pressures from the world's more powerful and established democracies can have an influence. That impact would figure to be greater to the extent that they are able to coordinate their message, and whatever diplomatic or economic sanctions they might find necessary to impose. ... (Diamond, et. al. pp.16-17.)

The design of the Democracy Enhancement Project follows these conclusions. It recognizes Haiti's 1987 Constitution as a sound base for democratic development, and does not propose any amendments or modifications to the Constitution per se. It instead proposes support to enhance the effectiveness of new constitutional political structures, i.e. the National Assembly, the Permanent Electoral Council, and various local government bodies, which offer the best chance for decreasing reliance on the central executive and increasing the balance of power among government branches and between the center and the periphery. As these elective organs become more effective, so then can the stated Constitutional objective of decentralization begin to become a reality. The institutions are all quite new, and absorptive capacity is in question. If they demonstrate the ability to rationally absorb more assistance, the budget can be modified to provide the necessary support.

The greater portion of project funding, however, is initially targeted at strengthening participatory organizations, e.g. the political parties and select organizations in the independent sector. As stated above, recent research indicates that **there is a clear relationship between the strength of voluntary associations, democratic interest groups, and the press, on the one hand, and the chances for stable democracy on the other.** It is a clear objective of the Constitution and the Aristide government to decrease statism in favor of a pluralist nation, and the project will support this objective to the fullest extent possible.

The analysis that follows assesses these latter groups, the independent sector, in terms of potential participation in the project.

2. THE INDEPENDENT SECTOR

The Diamond, et.al. article above stresses the importance of the independent sector to democracy:

Both theory and evidence argue strongly for the importance for stable democracy of autonomous intermediate groups--based on class, occupation, region, ethnicity, religion, etc.--that can provide the basis for the limitation of state power, hence for the control of the state by society, and hence for democratic political institutions as the most effective means of exercising that control. In addition, a rich and free associational life may serve as an important source of democratic vitality, leadership, and experience, a training ground for democratic competition and accountability, and a stimulus to participation in the formal political arena. In each of the three countries in our study that have enjoyed the most successful experience with democracy in the past few decades--India, Costa Rica, and Venezuela--

-a vigorous network of autonomous and increasingly sophisticated voluntary associations has been an important foundation of democratic stability and robustness.

Autonomous and voluntary organizations have been active in Haiti since at least the 1950's. A March 1988 report sponsored by USAID/Haiti, "Options for Service Delivery Through NGO's" estimated that there were at that time between 800 and 1500 non-governmental organizations operating in Haiti, and that U.S. assistance reached approximately 400 of them (Morton, 1988, p. 5). These institutions are indigenous Haitian and international, religious and secular, technical and socio-political. Those that are formally registered fall under various categories as foundations, cooperatives, recognized as publicly useful (reconnu d'utilite publique), labor unions, associations, or NGO's. Those that are not formally registered generally call themselves a variation on "committee" or "group". Both the formal and informal may have broad and active memberships, or they may be narrowly defined showcases for one person or ideology or technology. Both are extremely important, however, in Haiti's political-economic environment. In the absence of effective civil authority throughout most of the country, they have frequently been the only means for the population to exercise its rights and make its views known.

Because of the great spectrum of types and activities of these institutions in Haiti, as a group it may be more appropriate to refer to them as the "independent sector" rather than "NGO's" alone. The term includes those organizations that are non-governmental and non-profit, but is broader than the traditional "NGO" definition. For our purposes, it includes other types of institutions, such as political parties, formal labor unions and other professional associations (e.g. media), as well as the vast number of informal democratic, social, and economic interest groups that are found throughout Haiti today.

The project is designed to provide technical assistance and training to a number of such institutions, focussing specifically on those that channel constructive competition into more pluralistic endeavors. The design identifies two specific groups - political parties and labor unions -- as meriting particular attention. It additionally provides for technical assistance, training, and a sub-grants fund for a broader range of autonomous institutions that either have democratic mandates or may propose activities specific to promoting pluralism. The types of activities to be supported will fall in four broad categories critical to Haiti's democratic evolution: free and independent media, access to justice, promoting democratic debate, and civic education. In all cases, emphasis will be on selecting those institutions which have demonstrated institutional resilience and thus have the potential for sustaining efforts over time.

2.1 Common Variables Important to Haiti's Independent Sector.

Prior to discussing the role of specific institutions that may receive support under the project, it is useful to provide a short discussion of the PP Team's analytic framework. The institutions comprising Haiti's independent sector may be analyzed in terms of a number of common variables. Those chosen for this paper include their mandate or agenda; constituency; clients; political stance; primary funding sources (which may or may not be the same as constituency); and institutional resilience. Each of these variables, and its potential relevance to the project, is discussed briefly in the following paragraphs.

2.1.1 Mandate or Agenda. One key variable for the project will be whether the organization is formally constituted, with a written mandate or agenda, or operates on a more informal basis, with a mandate that may vary based on needs and opportunities. For formally registered organizations, the mandate or agenda is generally presented in broad terms in its formal statutes of organization. All of the formal groups interviewed in the course of PP development had such statements, and most were very broad, discussing promotion of economic and social development, etc. The unions and professional associations were more specific, as were some of the membership-based organizations.

The mandate or agenda of informal groups in Haiti would generally be much more specific, but would vary over time. Most localized informal groups have been built around a common social determinant, i.e. a youth or women's committee, or a common economic or functional interest, i.e. a coffee or rice producers group, or a water committee. There is some evidence under the former USAID Democracy project of groups forming for non-partisan political interests, i.e. IHRED's Local Development Networks, but these upon closer examination appear to focus primarily on economic interests in their areas. In general, as localized informal groups expand outside of their original mandate, they either dissolve due to lack of interest, or become more formal institutions (or both).

There are certain institutions which by mandate should be specifically solicited by project management for participation in the project. Most of these are well known to the Mission, and consist of active political parties and political alliances, active and democratic labor confederations, and several mandate-specific autonomous institutions, i.e. the Association of Haitian Journalists in support of free and independent media, and CHADEL in support of access to justice. Others involved in promoting democratic debate or undertaking civic education are less well known. The project will thus undertake periodic "open seasons" to solicit the participation of different or new groups.

Knowledge of whether the organization is more formal or informal is also important, in terms of determining the best form of support. Formal organizations, i.e. those that have taken the

first steps towards registration in Haiti, are considered potentially eligible for sub-grants under the sub-grant fund. Informal organizations could not receive sub-grants, due to concerns for liability and absorptive capacity, but could be eligible for technical assistance and training either through another institution or directly from the UMU.

2.1.2. Constituency. The constituency of an institution refers to those persons or groups who have an active interest in its existence, and who might be called upon to support its activities through providing resources. The existence of a broad and active constituency is probably the key variable in determining whether an organization is truly "a voluntary association" or one that promotes accepted democratic precepts--e.g. human rights--rather than an organization established for other purposes.

The concept of an active constituency is particularly important to both political parties and labor organizations. In terms of the former, the ability of a party to identify and nurture a broad base of constituents provides it the means to gain a plurality in Haiti's single member legislative elections. This will become more important in the 1992 and 1994 elections, which have no "presidential strongman" to carry other candidates. For labor, the breadth of the constituency implies legitimacy in its bargaining role, which is critically important to the membership. In both cases, if the organization is not a "voluntary association" and simply a vehicle for promoting one or a few persons' views, legitimacy and power will be minimal.

In terms of other types of autonomous institutions, constituencies and clients may overlap. For example, the Association of Haitian Journalists is a membership-based organization in which its members are in many ways its primary constituency. Because its mandate -- increased professionalism and a free and credible media -- is important to others, however, it has numerous other active constituents, including Haitian media owners or managers, foreign journalists or media organizations, other independent sector groups in Haiti interested in a free and credible media, and foreign donors, including A.I.D.

The constituents of informal groups are equally broad. For a small youth committee in a small town, the constituents might simply comprise the town elders, who would be pleased to support positive change in the town. For an agricultural producers group, constituents would include not only other producers, but entrepreneurs who have linkages with production (i.e. millers, truckers, etc.) as well as larger business. USAID/Haiti's work in developing such linkages among intertwined interest groups in agriculture, through APA and the farmers' associations, and CADCO and the coffee producers, is impressive in terms of developing constituencies at both ends of the scale.

Analysis of an organization's active and potential constituencies is one of the key factors in assessing its

institutional resiliency. In terms of the Democracy Enhancement Project, knowledge of constituents will provide improved knowledge of political stance as well. Importantly, those with no constituents other than USAID will need to develop detailed plans for sustainability in the absence of AID funding prior to receiving funding under the sub-grant fund.

2.1.3 Clients. The clients of an organization are those who benefit from its activities or the services it provides; in A.I.D. terms, clients would be called beneficiaries. In many cases, there is some overlap between clients and constituents. This is particularly true in membership-based organizations such as the Association of Haitian Journalists or HAVA or Celebration 2004. They are not always the same, however. HAVA, for example, has many organizational and individual clients who could not join HAVA or provide resources to help it exist, but who still benefit from its services. And organizations with very poor or disenfranchised clients, such as the human rights organization CHADEL, have a clear distinction between its constituents (international and Haitian supporters of human rights) and its clients (prisoners, disenfranchised, etc.).

Under the Democracy Enhancement Project, organizations applying for sub-grants will be required to clearly define their proposed beneficiaries in their sub-grant proposals. In terms of the desire for measurable benefits and for institutional strengthening over time, those organizations that can clearly define clients, and programs to meet client needs, should be given clear priority over groups proposing broad-based mass activities.

2.1.4. Political Stance. The political stance of an organization can generally be implied from its mandate and active constituents, including primary sources of funding. As described in the main PP Social Analysis, this variable is important to USAID/Haiti in terms of its need to support activities which are non-partisan in approach. Given sensitivities, this paper will not speculate on the political stance of the specific organizations discussed in subsequent sections. During implementation, however, the Project Committee will need to inform itself as to the political stance of an institution prior to and during any contemplated activities.

2.1.5 Primary Funding Sources. The primary funding sources of an institution are important variables in terms of assessing political stance and institutional resiliency. It is a particularly important variable in Haiti, where donor support of "NGO's" more than tripled in the period 1982-1985, in order for donors to avoid dealing with the Duvalier government. There are many, many organizations in Haiti that are referred to as "NGO's" which in fact have no constituency beyond a key donor; USAID is the primary supporter of several which would likely disappear if A.I.D. funding ceased.

In most analyses, an organization with one external funding source and virtually no other active constituents would not be considered a "PVO" or "NGO", and institutional resiliency and sustainability would be severely tested if that donor were to cut funds. The Democracy Enhancement Project Committee will need to carefully consider the required sustainability plans of such organizations when evaluating sub-grant proposals.

In terms of political stance, even if an organization claims a non-partisan mandate and approach, it may be perceived as being political through the funds it takes. Thus several organizations supported by USAID are often considered "American fronts" in spite of non-partisan and broad-based work. Other organizations that receive funds from the international socialists or communists may be equally non-partisan in certain activities, but are perceived in spite of themselves as partisan. USAID will need to be fully aware of primary funding sources of potential sub-grantees, including if the primary source is USAID, in order to anticipate potential fall-out from collaboration.

2.1.6 Institutional Resilience. Institutional resilience cannot be independently assessed, and must be judged based on analysis of mandate, constituencies, clients, political stance, primary funding sources, and internal management considerations. **It is the key variable, however, for determining which organizations have greater potential impact over time for enhancing democratic values in Haiti.** Generally speaking, if an organization has a well-defined mandate, active and broad-based constituency, defined and responsive client group, and multiple funding sources, it would be considered to have high potential institutional resiliency. If an organization had a vague mandate, small or negligent constituency, ill-defined client group, and only one funding source, its resilience would be questionable. Most organizations in the Haitian independent sector fall somewhere in between.

In assessing resiliency, outside of the key variables noted, one must also assess the age of the organization and its structure, and whether it has successfully adapted over time. Thus organizations such as HAVA or CDRH, which have existed more than 5 years and which have had at least one change of boards and directors, would have stronger potential than IHRED, which has existed less than 5 years and has had only one board and director. The Association of Haitian Journalists is a true anomaly. It has existed for 35 years, and has had several boards and directors, but due to the restrictions on the media has, until recently, carried out few activities. In terms of informal organizations, age and structural questions are more difficult, and assistance should be approached with caution. If the Mission chooses to support groups which show little evidence of institutional resilience under the Democracy Enhancement Project, it must assume questionable sustainability of efforts and look instead at short-term, high impact benefits.

2.2 Potential Independent Sector Participants in the Project.

2.2.1 Political Parties. Haiti's active political parties have, in general, broad mandates, fairly narrow constituencies and clients, peripatetic funding sources, and questionable institutional resiliency. Their individual political stance, until most recently, has been one of opposition to the regime in power. The PP Team has thus not assessed their institutional capabilities on a case by case basis, as none would qualify for direct A.I.D. funding due to lack of required audits. Instead, we have assessed the active ones as a group, in terms of defining needs and potentials. The proposed project assistance to the parties will be provided through NRI and NDI, which are considered to have predominant capability in the subject (ref. Annex G).

Haiti has had ideologically-inspired political parties since at least the mid-nineteenth century, when the elite Liberals and Conservatives vied for control. It has also had party-like movements based in the masses, such as the peasant revolt of "The Suffering Army" led by Accau in 1843. In most cases, the parties or movements were organized around one key leader, became very active during the periodic "crises in succession," and disappeared when succession was assured, and/or the leader died or left the country. In short, they were institutions based on a man, rather than institutions based on ideology or rules. Their mandates were simply to get the man into power, and when that failed, the constituencies disappeared.

During the Duvalier years, parties were outlawed in Haiti, although several were organized in exile and operated clandestinely in Haiti in the hopes of dislodging the regime. In July 1986, shortly after the departure of Jean-Claude, the ruling council of General Namphy issued a decree that allowed the formation and activities of political parties and provided for a liberal press. In terms of parties, it provided basic requirements for registration, including provision of statutes, an organigram, and 5,000 signatures. It stimulated the creation of what is estimated as approximately 150 parties registered in Haiti today. These were generally organized around either the strong ideology of opposition to the existing regime, or for the purpose of supporting one key leader as president. Most are still parties of men, not rules, and where ideology exists it is weakly inculcated in the men's followers. Those few that have coherent mandates and external funding seem to have done somewhat better than others, but institutional resilience is still questionable.

Of those parties that exist, only 16-18 actively participated in the recent elections, and of those, 9 parties, 2 alliances, and 6 independents won seats in the National Assembly. One of the alliances, the National Alliance for Democracy and Progress (ANDP) has since dissolved into its three member parties, and the other, the National Front for Change and Democracy (FNCD), dissolved right before the presidential election and reconstituted only in late

March 1991. FNCD, however, is composed of only one registered party (CONACOM), and is otherwise composed of political movements or associations. The National Assembly is thus made up of 12 parties representing about 60 percent of the membership, one alliance representing another 35 percent, and the six independents, representing the remaining 5 percent. With no clear majority in the combined General Assembly, nor in either chamber, the disparate party members will need to work towards coalition-building and collaboration if the legislature is to function smoothly.

A larger group of parties may be represented by the over 2,000 persons elected to Communal Section Councils, or CASECs, and Municipal Councils. Several of the parties interviewed claimed to represent "over half" of the CASECs, although these were occasionally divided by region or by demographics. Although the PP team did not attempt an analysis of local government structures by party, there is clearly activity underway by at least FNCD and three parties (MIDH, PANPRA, PUCH) to strengthen or create ties between party leadership and these groups.

The Diamond article includes a detailed discussion of the pros and cons of one party, two party, and multi-party systems in terms of promoting stable democracies, and tentatively opts for a two party system. Given the strength of the competitive ethic in Haiti, however, even if it were desirable, this is not apt to happen for some time. It is clear that 150 parties are too many to be sustained, but the electorate seems to have supported at least 12. Many knowledgeable observers suggest that four to eight of these will likely endure.

The PP Team cannot speculate as to the institutional resilience of a given party, nor on such characteristics as primary funding sources or clients and constituents. As stated above, none of Haiti's parties would qualify for direct funding, so assistance through the intermediaries of NRI and NDI is indicated. Some general findings that fed into the design of the proposed project support to parties follow:

- Project support with the objective of strengthening political parties in Haiti should be provided to as broad a spectrum of organizations as possible, on a non-partisan, self-selection basis. **Any proposed activities should be open to "political parties, political alliances, and political associations" to encompass all actors in the scene.** The situation is currently very fluid, and it is not clear which actors will end up as "parties" in the 1992 and 1994 elections.

- While many elected party representatives in the National Assembly seem intent on functioning as a loyal opposition, and on making the Assembly work, when back in their respective parties they are less interested in cooperation and collaboration. The NDI's efforts to foster a non-partisan party institute prior to the

1990/91 elections is instructive in this regard. All party leaders interviewed by the PP team flatly rejected the idea of a non-partisan institute in the foreseeable future. The stakes are still perceived as too high.

- Assistance to parties in the near term should focus on three primary topics: 1) functioning as a loyal opposition; 2) constituent building activities; and 3) organizational development, including fund-raising. The parties must begin to see themselves as voluntary associations built on ideologies, mandates, platforms, rather than on the image of one presidential candidate.

- The assistance to parties provided by NRI and NDI prior to the elections was generally viewed as useful. The seminars and conferences and workshops ranked highest in terms of interest, while the sub-grants provided by NRI, for materials and equipment, were generally viewed as too small.

- USAID/Haiti, working closely with the Embassy Political Office, must ensure that NRI and NDI maintain knowledge of the dynamics of the political scene throughout their work in Haiti. In the aftermath of the elections, coalitions are dissolving and reforming, and several of the smaller parties seem to be disappearing altogether. NRI and NDI will need to work hard to ensure that as wide a spectrum as possible is advised of all potential training and conference offerings.

2.2.2 Labor. There are few valid statistics on employment or the labor movement in Haiti. USAID/Haiti estimates that there are approximately 90,000 - 100,000 workers in the formal wage sector in Port-au-Prince, of whom roughly half are in the assembly sector (and thus mostly women). A publication issued by one of the larger labor confederations, Federation des Ouvriers Syndiques, or FOS, in December 1989 claimed 400,000 salaried workers throughout the country in 1987. The FOS publication also claimed that no one knew how many were in labor unions, but that the highest percentage of unionized workers were in the peasant and assembly sectors, and in agro-industry, teaching, transport, and autonomous public agencies. The FOS publication cites as the least unionized those workers in breweries, laundries, hotels, and wholesale and retail trade.

Again drawing from the 1989 FOS publication, in 1989 there were an estimated 200 separate labor unions in Haiti. These ranged from small unions organized at one establishment to larger unions which grouped workers from several locations. Most had their own executive committee and officers. The 200 unions were regrouped into an indeterminate number of larger, national unions, which regroup into five confederations: the aforementioned FOS, the Organisation Generale Independante des Travailleurs Haitiens

(OGITH), the Central Autonome des Travailleurs Haitiens (CATH), the Confederation des Travailleurs Haitiens (CTH), and the teachers confederation, the Confederation Nationales des Enseignants Haitiens (CNEH).

The PP Team interviewed three of the five confederations, FOS, OGITH, and CNEH. By far the strongest institutionally is CNEH, the teachers confederation. There has been a teachers union in Haiti since at least 1957, when the Union Nationale des Enseignants Haitiens (UNIH) was formed, but it was outlawed by Francois Duvalier in 1960. From 1969 to 1980 a second group formed, the Association Nationale des Enseignants Haitiens (ANEH), but it was outlawed by Jean Claude Duvalier. CNEH was formed in 1986, and celebrated its fifth anniversary in April 1991.

Today, CNEH claims 10,000 - 11,000 active members, about 70 percent of whom are from the public sector. It is well organized, based on local associations organized by sector (public or private), by type of teaching (pre-school, primary, secondary, technical and professional, university), and by location. The local associations are grouped into 16 Regional Federations, which are represented by the central Confederation, with an 8 member Executive Board. Activities of the associations vary considerably, as does the payment of dues. The most active, according to the Executive Director, are the Port-au-Prince associations, which meet on a monthly basis by sector.

CNEH was extremely active during the 1990/1991 elections, with its members constituting much of the personnel at the local polling stations. It considers its strongest program that of debates, which it undertook at various military establishments around the country, and which were well received by the soldiers. It says that a number of its recommendations to the CEP were followed, particularly regarding security.

For the future, CNEH would like to increase its civic education program, particularly through radio messages but also through production of educational cassettes and possibly television and videos. It has received funding for five years from a Swedish labor group, and receives some assistance from the Quebec Teachers Union. It participated in one seminar organized through AIFLD, by the U.S. National Education Association (NEA), and sent four people to the George Meany Center program last year. It claims to have good relations with the new government, and has met several times with the new Minister of Education.

The Executive Director stated that while they are open to increased funding, they fear external aid due to divisions it can create. The only salaried staff member right now is the Deputy Executive Director, who is paid under the Swedish project for his work on the education program, not simply as a staff member. They believe this model, where leaders receive part-time pay for specific programmatic work, would be appropriate for future activities. It is instructive, however, that they recently turned

down \$ 40,000 in European Community emergency funds due to concerns about internal strife over its use.

The PP Team meetings with FOS and OGITH leadership were somewhat less instructive. FOS was founded in 1982 by 9 local unions, and as of 1989 had 85 local unions affiliated with 6 national unions, comprising approximately 150,000 members. It claims that approximately 30,000 of these are urban, and the rest rural. FOS has a well-defined organigram and statutes, and seems like a potentially strong institution. It operates at least one clinic, in Port-au-Prince, and would like to increase its social services to members. It receives core funding for 3 staff members salaries, rent, and electricity from AIFLD, and periodic support from the regional labor confederation ORIT.

OGITH was founded in 1987 by a splinter group that broke off from FOS. It claims about 100,000 rural and urban members, some notably the same local unions as claimed by FOS. OGITH also receives assistance from AIFLD in the form of staff salaries, rent, and electricity, and would like to branch out into social services in rural areas. OGITH is also particularly interested in mobilizing the Port-au-Prince informal sector, in terms of grouping self-employed to share basic services, e.g. electricity. Both OGITH and FOS sent representatives to the George Meany Center training.

It was clear to the PP team that Haiti's labor movement is partially organized, but has a long way to go to become an effective voice for Haitian workers. With the exception of the teachers union, which has a well-defined constituency, it is unclear how many Haitian workers are unionized, and to which unions they belong. The four general confederations--FOS, OGITH, CATH, and CTH-- are to some extent competing for the same membership. None have gone very far to develop services for the members they have. There has been some discussion in the press about forming only one major labor confederation in Haiti; the Team is doubtful that this can happen in the near-term.

With the exception of the teachers union, which might be considered for a sub-grant for civic education under the sub-grant fund, the union confederations do not appear to have the technical or financial organization to handle project funding at this time. The PP Team admits, however, that its interviews were too brief to undertake a full assessment. USAID/Haiti staff and the PP Team discussed their concerns with AIFLD representatives in Washington and Port-au-Prince. The project has budgeted \$ 500,000 for two years for support to labor unions, with the understanding that more funds could be forthcoming if successes are documented. If AIFLD develops a proposal that describes its work to date, and details the problems and prospects of each of the confederations, with programs designed to develop such prospects, then an AIFLD grant (through the NED) is clearly the most rational management choice for labor assistance.

If project assistance through AIFLD is deemed to be not appropriate, alternative possibilities include:

- As discussed above, CNEH is a strong organization, with a well defined mandate, defined and well developed constituents/clients, multiple funding sources, and some institutional resiliency. It is already undertaking civic education activities, with Swedish funding, and would like to undertake more. The Mission could have the UMU work with CNEH to develop a proposal commensurate with its abilities, and provide a sub-grant directly to it for such work. CNEH could also receive assistance, via the NED grant, directly from the American Federation of Teachers (AFT), which is affiliated with the AFL-CIO and therefore with FTUI. Either or both of these would take some time of the Project Coordinator to develop, but would yield fairly high impact with a visible and vocal segment of Haiti's labor movement.

- The Mission could use some of its "not elsewhere cited" short-term TA to engage a consultant for one month to six weeks to develop a more detailed profile of the labor movement. Of particular interest is the "rural labor movement". How active is it? What types of rural laborers belong? What is their relationship to the peasant associations and cooperatives supported under other USAID projects? What is the cohesiveness of the urban and rural workers? How are they represented at the center? What assistance could USAID provide to strengthen the confederations, as institutions that serve a defined constituency with specific needs.

- The team assumes that AIFLD, under its core LAC funding, will continue to support a country representative and will continue to pay the staff salaries of those confederations with whom it currently works. The consultant's report would provide USAID with additional information on which to base discussions with AIFLD for additional program support, or on which to provide other, more defined, assistance.

2.2.3 Other Independent Sector Organizations. The PP team interviewed a number of past and potential sub-grantees working in democratic development in Haiti's independent sector. It initially attempted to identify those with the greatest potential for impact on channeling constructive competition into pluralism, and determined that the task was too broad in the time allowed. It instead developed the key focus areas and criteria which are presented in the main PP, as a guide to decisions during implementation of the project. The UMU and Project Committee are urged to use the variables presented in 2.1 above as they analyze

potential sub-grantee proposals. The emphasis should be on the institutional resilience, and potential for sustainability, as well as on the activities proposed.

The objective of the sub-grant fund which will support these independent sector organizations is **to support effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education.** The programs to be supported must be based a non-partisan approach. A summary discussion of potential organizations under each topical category, and the types of categories to be considered, is found below.

2.2.3.1 Free and Independent Media. Literature on democratic development abounds with emphasis on the need for a free and independent media. In Haiti, one more or less exists. It is dominated by an active network of 43 licensed radio stations, about 25 of which have news editors. It is generally agreed that of these, 6 dominate the Port-au-Prince market, thus reaching about one third of the population. The others reach more specialized interest groups, either through specific area coverage or through specific subject matter, i.e. religious broadcasts. There are only 3 major newspapers in Port-au-Prince, with about a circulation of about 15,000. While the written press is important to the literate decision-makers in the capitol, the average Haitian receives his or her news coverage from local radio stations, usually in Creole.

The Haitian media's coverage, handling of issues, and basic reportorial techniques are poorly developed, however. There are estimated to be about 300-400 working journalists, many of whom have never received formal training. There is a strong need for improved quality and standards of reporting, both technically and ethically.

The project will support the improvement of journalistic standards and practices in order to enhance Haiti's free media. To the extent possible, such support will be provided in collaboration with USIS, which is well acquainted with the Haitian media, and the Association of Haitian Journalists (AHJ). The AHJ was founded in 1955 by a group of Haitian newspapermen, and was dominated by duvalierists for the next 30 years. It is registered as a professional association, and seeks to improve Haitian journalists standards, ethics, and overall professionalism. It experienced a rebirth in the pre-election excitement, and operated a press center with A.I.D. Development of Democracy funding for a short time. Although it claims 400 dues paying members, principals note that office rent is often scrounged from media leaders. It received \$ 25,000 from A.I.D. for the pre-elections activities. It has one receptionist who gets paid when they have money.

The AHJ has a precise mandate, a defined and somewhat active constituency, a defined client group, a non-partisan political stance (as an institution; many individual members are clearly

partisan), no source of funding other than member dues and occasional donations, very weak internal structure, and uncertain institutional resiliency. Because it represents most of Haiti's working journalists, it is nonetheless a prime target for assistance in improving media standards and practices. Because of its institutional weaknesses, however, it has limited capacity to absorb significant assistance.

The PP team and USIS, in consultation with the Director of AHJ, identified a number of possible types of interventions which would help strengthen AHJ and journalism in Haiti. These are summarized below.

- The project, through a core funding sub-grant by the UMU, could support rent, utilities, limited equipment (photocopier, word processor, typewriter, generator, some furniture), and partial staff salaries of the AHJ for a limited time period, to enable it to develop longer-term financial strategies. As its rent is currently \$ 300/month, and there are only 2 persons on staff, this would not be a large amount of money for AHJ to handle. It is also a level that can foreseeably be met by member dues in the medium-term (i.e., 400 members X \$5/mo. = \$ 2000/month, which would cover basic expenses).

- Concurrently with the core funding sub-grant, the UMU could provide short-term TA to help the AHJ develop a specialized institutional development plan, focussing on member services which will encourage members to pay their dues. The plan would identify types of member services most in demand, and identify (in collaboration with USIS) potential resources to meet those demands. As provision of equipment to individual journalists or stations would not qualify for funding, it is likely that such member services will revolve around in-country and short-term overseas training. The plan would also identify means of increasing member dues, and/or fees for services, over time, so that the AHJ can assure its own rent and staff salaries in the future.

- Once the institutional plan is developed, AHJ could apply for another sub-grant for program activities identified in the plan. It is likely that a number of the activities, such as overseas training, will be managed in collaboration with AHJ but funded directly by the UMU. Where expatriate trainers are required, these would be identified with assistance from USIS, paid directly by the UMU, but presented as member services from the AHJ. In all local activities, the AHJ would take the lead on logistics arrangements.

It is likely that the proposed core funding sub-grant would not exceed \$ 2000 - \$ 2500 per month, or about \$ 24,000 to \$ 30,000 per year in local currency. The potential program sub-grant will

depend on the institutional development plan, but would likely not exceed \$ 100,000 in U.S. dollars, for short-term trainers and short-term U.S. training, all of which would be managed by the UMU on AHJ's behalf. Additional local currency for logistic support for training would likely not exceed a maximum of \$100,000 in local currency per year, to be managed in small tranches by the AHJ.

The project's support to a free and independent media will thus be partially institutional strengthening and partially training of individual journalists. Given the weakness of AHJ, and the need for competition in a free press, this is considered appropriate. If other associations of media develop, such as an association of video journalists or other specialized types, the project should consider modest core support for these as well. In all cases, however, core support should only be provided in combination with a defined plan for moving off the core funding as soon as possible.

2.2.3.2 Access to Justice. The project purpose emphasizes strengthening institutions which promote participatory broad-based democratic decision making and respect for the Constitution. The latter phrase implies respect for the rule of law, not individuals. There is a need for improved laws, from the executive and legislative branches, and for administration of justice. USAID will support the GOH in the administration of justice through a project of the same name to start in FY 1992. This Democracy Enhancement Project will provide support to enhancing access to justice, primarily through human rights monitoring and educational activities.

There are several human rights organizations in Haiti, which cover different types of human rights violations and/or different geographic areas. There are also a number of Haitian human rights organizations in the U.S., many of whom focus on immigration cases, but some of whom also monitor human rights issues in Haiti as well. The PP team was not able to make an exhaustive survey of the institutions, and can only offer preliminary conclusions.

CHADEL

The one organization that is best known to A.I.D. and that has received Development of Democracy funding is CHADEL, or the Haitian Center for Human Rights. It was initially established in New York in 1983 to provide advocacy for Haitian immigrants having difficulties with the Immigration and Naturalization Service. In 1986 the principals, a Haitian husband-wife lawyer-social worker team, returned to Haiti and began active human rights advocacy programs. CHADEL is registered in Haiti as "reconnu d'utilite publique". The organization undertakes basic monitoring, prison assistance, and human rights advocacy at a number of locations. It has an annual budget of \$ 120,000 - \$ 130,000, from U.S. and Canadian foundations such as Ford. It has 18 full time staff.

The organization has a well defined mandate, a strong international and Haitian constituency, a large client base,

multiple recognized funding sources, and sensible structure and internal management procedures. Its political stance is unknown; the principals claim to be non-partisan, but some question the veracity of this claim. Its key drawback in terms of institutional resiliency is that it is definitely a one man-one woman show. Should they decide to leave Haiti, or take another job in Haiti, the organization's existence could be at risk.

The PP team's assessment of CHADEL suggests that it is interested in continuing support started under the Development of Democracy Project for radio spots. The principal stated that he did not receive nor did he want any institutional support, partly because of the onerous reporting required by A.I.D. His interest was in maintaining a low core overhead staff and maximizing program dollars. However, he did indicate that the current expansion plans call for establishing 4 regional offices staffed by a director, a secretary, and 2 monitors. This would be a significant staffing increase and could represent a managerial burden.

CHADEL's books are kept manually by an accounting firm. A staff member from the firm enters the prime books at CHADEL and then goes back to his offices to write up the ledgers. The PP team observed that, although separate accounts are maintained for each project, there is a lack of independence in that the same firm also audits the books. CHADEL also lacks a comprehensive chart of accounts. It will probably require some financial management assistance if it is to receive project funding.

CHADEL could absorb \$ 120,000/year in sub-grant funds for an expanded program of radio spots, although, depending on other grant requests outstanding, this could make A.I.D. its primary funding source. The PP team recommends that USAID funding be considered as seed money for new programs, and that any such assistance be predicated on CHADEL identifying other funding sources for such activities in the future. Any assistance must be carefully tied to measurable progress in replacing A.I.D. funds for new programs with other new funding sources.

Others

Others human rights organizations known to the PP team are CHAMID, which is known to USAID, and the Catholic Church's Committee on Justice and Peace. These were not assessed, but they and others should be actively sought out for participation under the project. Because of the sensitive nature of human rights work, it would be risky for AID to put all its efforts in one organization. Again, the team emphasizes that any proffered core funding should be strictly tied to progress in soliciting other donor or constituent funds.

There are also a number of other Haitian voluntary associations which work in access to justice, in a somewhat broader realm than basic human rights. The Haitian Lawyers Committee is one, and Amicale des Juristes is another. Both work in various

aspects of paralegal training. The PP team did not meet with the former, although it is known to the Mission. The team had a brief interview with the latter, because it received funding under the Development of Democracy Project. It is institutionally very fragile, being composed of 5 sincere young unpaid Haitian lawyers and one paid receptionist. Its proposal for training paralegals and developing a paralegal network has merit, if adequate attention is given to developing a fee-for-service structure, or other employment opportunities, for the paralegals once they graduate from the course.

The Mission will need to better define the split between supporting "access to justice" under this project and "administration of justice" under the FY 1992 start, in order to attain management efficiencies and increase impact. The topic is of high priority in Haiti, and the more participants involved, the better.

2.2.3.3 Promoting Democratic Debate/Civic Education

Both of these categories are quite broad, and can encompass a wide range of institutions and programs. In the PP Team's view, when reviewing sub-grant proposals the Project Committee should emphasize criteria no. 2, "the proposed sub-project will benefit a well-defined and cohesive segment of the population, based on constitutional structures and/or professional, economic, social, or cultural common interests (as opposed to "mass education"); and/or specific activities within the sub-project will be designed to benefit specific sub-groups, i.e. radio spots designed for specific age groups, forums or debates addressed to a specific audience level of education, etc." That is, there will be a tendency to use these categories as a sort of "grab bag" to fund "nice" ideas by "friendly" institutions; the PP team stresses that if the Mission believes in the project purpose of "strengthening institutions," the grab bag approach to management will not achieve it. The Committee must continuously assess each proposing institution's mandate, constituency, clients, political stance, primary funding source, and institutional resiliency prior to determining whether the "nice" idea is going to promote the project purpose or not.

The PP Team only interviewed one organization, the Centre Petion Bolivar, that is actively engaged in "promoting democratic debate". The Centre Petion Bolivar (CPB) was established in Haiti in March 1986. It was registered with the GOH in 1987 and became "reconnu d'utilite public" in January, 1991. It promotes issue-based socio-political and socio-economic development through a number of activities, of which its monthly Thursday Free Forum is the best known. Although it undertakes some training activities at the middle-management level (cadres moyens) in the departments, its primary client group is the educated intellectuals -- scholars, politicians, social activists, technocrats, businesspersons -- of Port-au-Prince and Petionville.

The CPB has an active Board of Directors and a minimum of six permanent staff, depending on its income. (Two former staff members were recently appointed ministers by President Aristide). It has received funding from FAC and some Latin American organizations but is primarily linked to the Friedrich Ebert Foundation. The Director is on the executive board of PANPRA in Haiti; he stated that the Center is independent of PANPRA and he keeps his activities separate.

The Center undertakes the following types of activities:

- Thursday Free Forum: One Thursday each month the Center sponsors a meeting/debate at the Holiday Inn in Port-au-Prince. To quote the Center's brochure, "The meetings/debates are undertaken by experts and representative Haitian personalities who are directly engaged or in a decision-making position in the sector in question, on topics of national interest. The debates are undertaken with the perspective of a free confrontation of ideas, of thoughts and research on current issues of political, social, economic, and cultural development in Haiti." The team's review of the list of 1987 forum topics and presenters suggest a wide range of topics and active participation from a broad range of Haitian leaders. Attendance varies considerably by topic. The team attended one seminar on the role of parliament in a democracy, which was well attended by 75 people, many high level. The fora are later broadcast on Radio Lumiere and Radio Soleil, frequently in full (4 hours), so a much wider audience is reached.
- Meetings/Debates: The Center sponsors frequent (weekly) debates on a number of topics for smaller groups of interested persons. A series undertaken in 1989 was on socio-cultural conditions of democratization. The list of topics suggest an eclectic approach to economic and political development, focusing on art, media, language, religion, oral history, etc.
- Civic Education: Depending on program funds available, the Center undertakes civic education for middle-level management in the departments, or brings people into Port-au-Prince. Monitors are hired on a course-specific basis to organize such activities. Thirty-to-forty persons undertake 16 hour (2 day) training sessions in such basic organizational principles as how to conduct a meeting, how to develop a workplan, etc. Participants include labor and political party members and leading farmers. Trainees are provided food and lodging and their cost of transport.
- Research and Publication: The Center publishes small paperback books on topics covered by the forum, collecting presentations given in the fora and/or research papers prepared by staff or associates. The books are provided to libraries around the country and sold for \$ 2 each. Research is on-going by staff on a broad range of topics, generated by the meetings/ debate and fora activity.

The Center would like additional funding from USAID to enable it to sponsor fora in secondary cities, e.g. Cap Haitien and Jeremie. It is also interested in developing its capabilities in use of video for training and outreach purposes.

The Center gets most of its program funds, which the Director estimated at about \$ 50,000/year, from the Freiderich Ebert Foundation. It generates its own operating expenses through offering Spanish languages classes from its headquarters in Petionville. Antonin noted that the Center is facing problems in the near future, as it must move and its rent (currently only \$ 300/month for a nicely appointed and well-located villa in Petionville) is likely to increase dramatically.

The team suggests that the Center would be a strong candidate for funding, to sponsor Free Fora in regional centers, and possibly videotape Port-au-Prince fora for broadcast with specific discussion groups in the regions.

The team also spoke with HAVA about possibilities for some independent sector community debates. HAVA Director Kathy Mangones is interested, but would need to discuss it fully with the Executive Committee prior to beginning a proposal. IHRED's "local development networks" could qualify for this category, if the target group is defined in detail and it is assured that the approach is non-partisan. It would be a useful exercise to analyze the IHRED zones (and other groups' proposed activities, as well) against the existing analysis of CASECs and Municipal Councils by party to assure a non-partisan approach.

The Mission has also received a couple of proposals for "centers for democracy", sort of resource centers or think tanks, that would qualify under this category as well. One is from Marc Bazin, on MIDH stationary, which appears to be rather partisan, but should be investigated further. There is a second from Celebration 2004. Celebration 2004 is a membership organization founded by 17 young diaspora Haitians who returned in 1986 committed to positive and lasting change in the country. They claim 8,000 dues paying members. The organization undertakes local level motivation and training of mid-level professionals and leaders throughout Haiti. It has received about \$ 75,000 from A.I.D. to date, with its other resources being member-volunteer time and dues. It has no full-time salaried professional staff.

The team spoke with Celebration 2004 personnel to determine if their management systems could absorb more resources. One problem is that their financial system is weak. While vouchers are made out for each disbursement, the system needs to be strengthened significantly in terms of cost allocations, fund accounting, and possibly computerization. If 2004 were to get another sub-grant, it would need significant help from the UMU to manage it.

It appears to the team that the real strength of Celebration 2004 lies in its members, and that its mandate of promoting democracy in Haiti could best be achieved through an active civic education campaign through local member groups.

2.2.3.4 **IHRED and CDRH.** IHRED and CDRH are the two organizations that have received the most USAID democracy funding to date. An terms of institutional mandate, they both fit under either "promoting democratic debate" or "civic education" categories, and both are formally registered and capable of handling funds (although the up-coming CDRH audit could reveal problems). Unfortunately, the primary funding source for both is USAID, and they have virtually no constituency other than USAID. Their definition of "client" tends to be whatever USAID suggests it should be. In short, they behave much more like non-profit consulting firms (with one primary client) than NGOs. A brief organizational description of each follows:

- CDRH: The Human Resources Development Center is a registered NGO that was established under an A.I.D. grant to a U.S. PVO in 1985. Since that time it has experienced considerable growth, and now functions more or less as a non-profit consulting firm. It provides high quality formal and non-formal training of all types, with particular expertise at the grass roots level. It has changed boards and directors twice, demonstrating an institutional resilience rare in Haiti. Billings over the last five years total about \$ 1.9 million, of which 62 percent has been A.I.D. It has a full-time staff of about 40.

- IHRED: The Haitian Institute for Research and Development is a registered foundation that was established with assistance from the NED in 1985. It has produced some conference papers, but in the last two years has branched into competition with CDRH in terms of local-level training, although IHRED tends to work more at the level of rural professionals and elites. The institution is dominated by a high powered intellectual, and institutional longevity would be doubtful in his absence. IHRED began receiving A.I.D. funds in 1988 as part of the Development of Democracy Project, and has received about \$ 600,000 to date. A.I.D. is now its primary paying client. It has a full time staff of about 25.

The institutions do seem to be able to deliver credible training activities in a professional manner, and USAID has a vested interest in their development. The team thus recommends that they be used for the early local government training described in the main PP. This proposition has been discussed with the principals of each organization, and needs to be discussed again. IHRED in particular is looking for a much broader role, but given the lack of constituency or client base of these two organizations, there is a question to what extent they meet the institutional profile for institutions to be strengthened, sustainability being a key issue.

ANNEX F

DRAFT SCOPE OF WORK FOR UMU

ANNEX F

DRAFT SCOPE OF WORK FOR UMU

The PP Team recognizes that the following discussion does not represent a full, standard A.I.D. Scope of Work. The Team felt it necessary, however, to provide some of its ideas and assumptions on the level of effort of the UMU. What follows may thus be used as a guide for further development of a full Scope of Work.

The rationale for and description of component activities for the Independent Sector and Local Government sub-components of the project are found at sections 2.3.4 and 2.3.5 of the PP, and form the "background" for the UMU Scope of Work. What follows is a summary of functions and tasks to be undertaken, and a description of the staffing pattern necessary to carry these out.

2.1 Summary Scope of Work

The UMU will have three primary functions, with numerous tasks necessary to carry out each function. These are described below:

1) **Independent Sector Sub-Grants Management:** The UMU will develop detailed procedures for, and undertake, the management of sub-grants to an estimated 10-15 Haitian independent sector organizations over the life of the project. The objective of the sub-grant fund is to support effective and sustainable programs which enhance democratic values and pluralism in Haiti, through promoting free and independent media, access to justice, debate on democratic issues, and civic education. The programs to be supported must be based a non-partisan approach. Tasks specific to this function include the following:

Start-Up

- Review and, if indicated, revise the weighted Criteria for sub-grant selection found in the Project Paper; the final Criteria will require Project Committee approval prior to application;
- Develop a detailed Sub-Grant Proposal Format which includes attention to all Criteria and which is suitable for use by interested independent sector organizations. The UMU may also wish to provide additional information regarding proposal development, along with Proposal Formats.

Proposal Formats will include, but not be limited to, sections on objectives, activities to be undertaken, implementation schedules, management plans, identification of beneficiaries (gender disaggregated), detailed budget (FX and LC), audit arrangements, procurement plans, and monitoring and evaluation plans, including planned financial and progress reports.

- Develop a Sub-Grant Agreement format for use between the UMU and prospective sub-grantees which is considered legally binding in Haiti and is acceptable to USAID.

- Undertake an open notification, through the press and other means, to the independent sector community of the availability of limited funding for activities which meet the objectives of the fund. The notification would indicate where interested independent sector organizations could obtain copies of the Proposal Formats, Evaluation Criteria, and Sub-Grant Agreement format, and would require Project Committee approval prior to publication/ dissemination. The notification would also be sent to those independent sector organizations that have already submitted unsolicited proposals.

The first solicitation would have a closing date for proposal submission, in order to enable the UMU to move ahead on decisions for funding. The need for open notification in subsequent years will be determined by the UMU in consultation with the Project Committee. It is assumed that once the availability of funding for such activities becomes known, the UMU (and USAID) will have a fairly steady stream of unsolicited concept papers and proposals year round, which will likely exceed the availability of funds.

- Undertake review of proposals received, both through the open solicitation and those already on hand at USAID, according to the established Criteria. Identify an initial set of proposals within a competitive range which are appropriate for potential funding.

A report of the results of proposal evaluation will be provided to the Project Committee for comment, if it chooses. Because a number of the potential sub-grantees are known to Committee members, this step will be extremely important in maintaining the non-partisan image of the fund. The UMU will subsequently provide periodic reports to the Committee on the status of

unsolicited proposals it receives, for the same reason.

- Provide assistance to independent sector organizations within the competitive range to further develop proposals for funding. This process will also include developing preliminary plans for continuing assistance to the organization in its own institutional development (see Task 2 below).

- When proposals are ready for funding, submit them to the Project Committee for formal review and approval. Depending on the size and complexity of the proposed sub-grants, proposals may be submitted in groups or on a case by case basis. The UMU is encouraged to maintain communications with USAID, through the Project Coordinator, as it develops proposals, to facilitate the eventual formal approval process.

- When approval is received, prepare and execute a Sub-Grant Agreement with each organization, and arrange for financing to begin.

On-Going

- Develop plans for and undertake monitoring of sub-grants performance; such monitoring plans will include financial and substantive monitoring, both office and field based;

- Develop plans for and undertake periodic impact evaluations of selected independent sector activities;

- Continue the process described under "Start-Up" for evaluation and possible further development of new proposals received;

- Work with and assist local CPA firms and the Inspector General's (IG) office in audits and sub-grant close-out.

2) Local Government Development. The UMU will apply its sub-grant development and management system to support 2-3 Haitian independent sector organizations in undertaking training and consulting assistance to new local government structures in Haiti. The two organizations that have been identified are the Human Resources Development Center (CDRH) and the Haitian Institute for Research and Development (IHRED). By the end of the project, it is planned that at least 350 local government bodies will have improved organizational and individual skills in planning, resource generation and allocation, and constituent

participation. Tasks specific to this function include the following:

- Develop and maintain contacts with legislators and GOH executive branch personnel working on local government issues; maintain knowledge of the status of enabling legislation;
- Maintain contacts with and knowledge of evolving local government organizations, e.g. the new Association of Mayors, the Committee of 10 Mayors covering the Port-au-Prince metropolitan area, the Association of Mayors for the Cap-Haitian area; where possible, assist these organizations in identifying needs and, if appropriate, developing proposals for assistance under the project;
- Work closely with IHRED and CDRH to develop sub-grant proposals for, carry out, monitor and evaluate training programs for CASEC's and Municipal Councils that respond to needs, as expressed through needs assessments taken in the Spring of 1991, and to evolving GOH policies and laws regarding the role of local government;
- Provide advice and assistance to USAID/Haiti in determining needs for potential short-term TA in local government; when indicated, develop Scopes of Work for short-term TA, oversee recruitment, and manage the work in country.

3) Independent Sector Institutional Development. The UMU will assist participating independent sector organizations to develop themselves institutionally, with particular emphasis on developing plans for sustaining their programs in the absence of A.I.D. funding. Each independent sector proposal submitted to the Project Committee for approval will include a preliminary assessment of the organization's needs, with specific benchmarks set. The UMU will include a report of progress made in such activities in its quarterly progress reports to A.I.D.. Tasks specific to this function include the following:

- Undertake an institutional needs assessment through a consultative process with each participating independent sector organization, and identify practical performance benchmarks it can achieve. The results of the preliminary assessment will accompany its sub-grant proposal to the Project Committee.

- Provide in-house, or, if indicated, short-term, technical assistance to the independent sector organizations in helping them meet their benchmarks. Types of TA needed will vary considerably, although financial systems development and institutional quality control (personnel policies and supervision, administrative systems and controls, program monitoring and evaluation) are likely to be common to all.

- Conduct on-the-job, consultative, and formal training sessions, as required, for the individual organization and for groups of organizations with common needs.

- In particular, provide assistance to participating organizations in development of institutional sustainability strategies, including, but not limited to, assessment of alternative sources of funding, e.g. development of specific financial projections, identification of diversified clients and activities, development of income-generation schemes, identification of appropriate external funding agencies, etc. Where appropriate, assist the independent sector organizations in making necessary linkages with new clients and/or funding sources.

- Work with informal associations, at their request, in needs identification. Where indicated, provide introductions to the USAID SDA staff. Where otherwise indicated, facilitate linkages between informal associations and recognized independent sector organizations that will enhance the growth of each. If indicated, conduct specialized roundtables or seminars with informal associations on topics of common interest.

Outside of these three primary functions, the UMU will also be required to undertake the following tasks:

- maintain close contact with the Haitian and international independent sector community, particularly those working in programs or with interest groups involved in democratic development in Haiti; this will involve not only those organizations receiving A.I.D. funding under this project but also those receiving other A.I.D. or private funding;

- maintain close contact with other organizations working under this project, including the Consortium for Legislative Development, the National Republican Institute (NRI), the National Democratic Institute (NDI), and the U.S. Mission; where feasible, joint training activities in collaboration with FTUI and its work with labor confederations will be encouraged;

- in consultation with USAID, conduct roundtables or conferences on specific topics related to Haiti's democratic evolution that are identified by the groups above as of common interest, or are otherwise identified;

- provide quarterly progress and financial reports to A.I.D. as required by the terms of the Cooperative Agreement (the requirements for reporting are further spelled out in a specific section of the Scope of Work);

- at its request, provide advice and assistance to the U.S. Mission on the evolution of its democracy initiative.

2.2 Proposed UMU Staffing

The PP budget is based on 10 person years of international hire long-term TA and 12 pm of international short-term TA, in addition to local staff. The Offerors are required to propose individuals for 3 long-term positions. (Should the person be resident in Haiti s/he would not receive full international hire benefits, although the budget provides full benefits for all three positions). The three long-term TA are considered Key Personnel for the purposes of proposals and the Cooperative Agreement. Summary descriptions for each of the three positions follow:

Chief of Party/Democracy Advisor (4 years): The Chief of Party (COP) will serve as the Grantee representative for all aspects of the Cooperative Agreement, including supervision of all long- and short-term grantee personnel and preparation of all required progress and financial reports. The COP will have delegated authority from the Grantee for all actions under the Cooperative Agreement, including authority to make sub-grants, with the exception of amendments to the Cooperative Agreement, which may be delegated at the discretion of the Grantee. The role of the COP will be particularly important in assuring that institutions and activities funded promote democratic values and attitudes among defined client groups, but remain non-partisan in approach.

As Democracy Advisor, s/he will work closely with UMU professional staff, USAID/Haiti, and participating independent sector's to assure that project and sub-grant activities, for both independent sector and local government categories, meet the purpose of the project. For the proposed local government activities, s/he will also need to develop and maintain contacts with legislators and GOH officials, to assure that training

activities are commensurate with evolving GOH laws and policies.

The Chief of Party/Democracy Advisor will be a senior manager with broad experience in independent sector development activities, with specific experience in local participation, local government, decentralization, and democracy. The successful candidate should hold an advanced degree in management or social sciences, and/or demonstrate equivalent experience in the independent sector/democracy sector. The successful candidate should have at least 10 years experience working with non-governmental institutions in developing countries, at least 5 of which should be prior resident experience. Prior experience with A.I.D. required. An FSI S3/R3, or equivalent, in French and English is required.

Financial Management Specialist (4 years): The Financial Management Specialist will be responsible for the establishment and operation of all financial systems required to operate the UMU and provide and account for sub-grants issued under its auspices, in both U.S. dollars and local currency accounts. The Financial Management Specialist will report to and work under the supervision of the Chief of Party/Democracy Advisor.

The Financial Management Specialist will directly supervise at least 4 local hire staff: 1 Financial Systems/Monitoring and Evaluation (M&E) Specialist; 1 Controller; and 2 Bookkeepers. S/he will ensure that adequate plans are made, and carried out, for training participating independent sector organizations in development and implementation of financial M&E systems. These will be developed in consultation with the organizations, and will cover its total financial portfolio, and not be limited solely to the A.I.D.-funded sub-projects.

The Financial Management Specialist will be a middle-level manager with experience in independent sector development activities, with specific experience in financial systems development and financial management training in developing countries. The successful candidate should hold an MBA and/or CPA, or demonstrate equivalent experience in financial management. The successful candidate should have at least 5 years experience working with local institutions in developing countries, at least 2 of which should be prior resident experience. Prior experience with A.I.D. highly desirable. An FSI S3/R3, or equivalent, in French and English is required.

Institutional Development Specialist (2 years): The Institutional Development Specialist will be responsible for

assisting participating organizations in defining and achieving their institutional development objectives. S/he will report to and be supervised by the Chief of Party, and will in turn supervise two local hire positions, a Training Specialist and a Program Monitoring and Evaluation Specialist.

The Institutional Development Specialist will take the lead in undertaking independent sector organization needs assessments and collaboratively developing practical benchmarks for their own development. S/he will place particular emphasis on development of short-, medium-, and long-range plans for developing funding sources to cover program activities in the absence of A.I.D. funding. This work will include assessment of alternative sources of funding, e.g. development of specific financial projections, identification of diversified clients and activities, development of income-generation schemes, identification of appropriate external funding agencies, etc. Where appropriate, s/he will assist the organizations in making necessary linkages with new clients and/or funding sources.

The Institutional Development Specialist will be a middle level or senior manager with experience in independent sector development activities in developing countries, with specific experience in development of independent sector fund raising or income generation schemes. The successful candidate should hold an advanced degree in management or the social sciences, or demonstrate equivalent experience in independent sector development activities. The successful candidate should have at least 5 years experience working with local institutions in developing countries, at least 2 of which should be prior resident experience. Prior experience with A.I.D. highly desirable. An FSI S3/R3, or equivalent, in French and English is required.

Local hire staff are estimated to include:

Senior Professionals

- 1 Training Specialist
- 1 Program M&E Specialist
- 1 Financial Systems/M&E Specialist
- 1 Controller

Support Staff

- 2 Bookkeepers
- 1 Administrative Assistant
- 2 Secretaries
- 3 Drivers
- Guards

Illustrative areas of short-term technical assistance may include the following:

- Decentralization;
- Local Government Resource Generation (this is meant to include those activities appropriate to the public sector, such as local tax and fee systems, development of linkages with "institutions mixte" in the area, etc., and not operation of flour mills or movie houses, which are considered private sector activities);
- Independent Sector Fund Raising
- Constituency Building
- Monitoring and Evaluation Methods
- Organizational Development/Training

Annex D, Detailed Budgets, includes a detailed budget for the UMU and estimated furniture and equipment needs.

ANNEX G

JUSTIFICATION FOR NONCOMPETITIVE AWARD TO THE NED

ACTION MEMORANDUM TO THE GRANT OFFICER

DATE : May 8, 1991
TO : Martin Napper, Grant Officer
FROM : Karen Poe, Chief HRO *Karen M. Poe*
SUBJECT : Justification of Noncompetitive Award to the NED under
Democracy Enhancement Project (521-0236)

Problem: Your review and approval are required to enable the Mission to develop and execute a grant with the National Endowment for Democracy (NED) on a noncompetitive basis under the subject project. The grant is estimated at \$ 2.1 million for the life of the project.

Discussion: The New Project Description (NPD) for the Democracy Enhancement Project (521-0236) was reviewed by AID/Washington on March 5, 1991, with authority to approve the PID or PID-like document delegated to USAID/Haiti through 91-STATE 083769 dated 15 March 1991. The Mission Director already has authority to approve the PP and authorize the project through 88-STATE 417937 dated 29 December 1988.

The purpose of the project is to expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the Constitution. Project analyses identified Haiti's nascent political parties and its more active labor confederations as two types of autonomous private institutions important to Haiti's democratic development, and thus deserving of project support.

The U.S. National Endowment for Democracy (the NED) has been providing assistance to the development of Haiti's political parties and labor confederations since 1986. The NED is a U.S. private, non-profit organization as defined in Section 501 (c)(3) of the Internal Revenue Code. It has carried out its programs in Haiti through three of its core institutes. For political party development, it has provided grants since 1986 to the National Democratic Institute for International Affairs (NDI), and since 1989, with A.I.D. funding, to the National Republican Institute for International Affairs (NRI). For labor union development, since 1986 it has funded the Free Trade Union Institute (FTUI), which has operated in Haiti through its regional affiliate, the American Institute for Free Labor Development (AIFLD). A summary of the NED's activities in Haiti for the period 1985-1988 is attached to this memo.

In 1989, USAID/Haiti provided the NED a grant of \$ 1.1 million as part of its Elections Management Assistance Project, which included sub-grants to NRI (\$ 360,400), NDI (\$ 330,900) and FTUI/AIFLD (\$ 219,700), as well as to the Americas Development Foundation for support to non-governmental organizations (\$189,000). The NRI and NDI sub-grants supported active programs of seminars and conferences with Haiti's political parties, which according to all reports were extremely well received. The grants also covered support for international observer missions for the 1990/91 elections. The FTUI/AIFLD grant was used to support AIFLD's country representative in carrying out labor union development and civic education activities, emphasizing "get out to vote" messages.

The new Democracy Enhancement Project proposes to continue support to the political parties and labor confederations in Haiti, with a shift of focus from elections to longer term development of participatory political institutions which can help sustain democracy in the country. The types of activities to be undertaken will focus on technical assistance and short-term in-country and U.S. training, offered on a strictly non-partisan basis. Project analyses recognize that the approach is high risk, in terms of political sensitivities and the possibility of claims of partisan activities under project funding. To quote the A.I.D. Administrator in a recent cable, "A.I.D. is not attempting to export American institutions and impose them on developing countries. It would be unacceptable and ultimately self-defeating to try to recreate exact copies of American institutions, support specific parties or candidates, or manipulate the political process to achieve specific results. It is important that the implementation of the democracy initiative be non-partisan... (91-STATE 093628).

The NED was created by an act of the U.S. Congress (P.L. 98-164) as a private institution specifically to provide for U.S. funding for democratic development to be free of short-term policy preferences of a particular U.S. administration or by the partisan political interests of any party or group. Because of its experience worldwide and in Haiti, it is considered to have predominant capability for the sensitive work with political parties. Because of FTUI's pre-existing relationship with Haitian labor confederations, its support through a NED grant is merited as well.

The project has budgeted a total of \$ 2.1 million in Development Assistance (DA) funding for the proposed grant to NED over the life of the project. Tentatively, NED will subgrant \$ 800,000 each to the NRI and NDI for political party development, and \$ 500,000 to FTUI for labor development. The FTUI funding is tentatively allocated for two years only; should early results prove promising, additional funds will be sought for later years of the project.

Considerations: It is necessary to approve use of noncompetition in order for the Mission and the NED to move ahead in developing more detailed sub-grant proposals for NRI, NDI, and FTUI. A.I.D. Handbook 13, Grants, covers selection of recipients in Chapter 2. Section 2B.3. states that "Competition is not required for:...b. Assistance awards for which one recipient is considered to have exclusive or predominant capability, based on

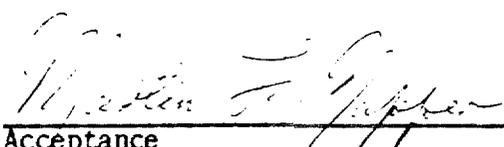
experience, specialized facilities or technical competence, or based on an existing relationship with the cooperating country or beneficiaries."

As discussed above, the NED clearly has "exclusive or predominant capability" through its two party institutes in terms of non-partisan work with Haiti's political parties. The Mission is not aware of any other U.S. institutions which offer the desired blend of technical competencies and guaranteed non-partisan approaches offered by NRI and NDI.

The NED additionally has "an existing relationship", though FTUI/AIFLD, with Haiti's labor confederations. The Mission, however, is less certain about AIFLD's "exclusive or predominant capability" in this domain, in that other FTUI affiliates, notably specific foundations related to the ALF-CLO, may possess greater technical competencies for work with specific unions, e.g. the American Federation of Teachers with the Haitian National Teachers Confederation. The proposed noncompetitive award will thus be developed with the NED without predisposition towards AIFLD, but with an emphasis on utilizing the broad range of talents that FTUI can bring to labor confederation development in Haiti.

Handbook 13, 2B.4, requires that noncompetitive awards must be justified in writing by the technical office, and submitted to the cognizant grant officer for review.

Recommendation: That you review this noncompetitive justification and either except or reject same.


Acceptance

Rejection

Drafted by: HRO:KPoe W.P. Date May 8/91
Clearances: PDI:RFanale OR Date 5/1/91
: GSpence CID Date 4/24/91

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National Endowment for Democracy

1101 Fifteenth Street, N.W., Suite 203, Washington, D.C. 20005

(202) 293-9072

PROGRAMS OF THE ENDOWMENT
AND ITS INSTITUTES IN HAITI

CENTER FOR INTERNATIONAL PRIVATE ENTERPRISE (CIPE) to conduct a diagnosis of the Haitian Private Sector Development Alliance and its five member associations. A CIPE consultant examined the internal management functions of each association with a view to making recommendations for activities through which these organizations can contribute to the support and solidification of democratic processes in post-Duvalier Haiti.

FY 1985 - \$ 17,500

FREE TRADE UNION INSTITUTE (FTUI) to provide assistance to the Workers Federation of Trade Unions (FOS), the major independent trade union movement in Haiti. The program supports a department within the FOS for education and training on the role of the labor movement in an open and democratic society. The department also helps to coordinate union activities such as organizing, get-out-the-vote campaigns, and regular servicing of FOS affiliates. National and regional programs concentrating on general trade union topics such as democratic unionism, grievance handling, and organizing form the core of the education program.

FY 1986 - \$109,710

FY 1987 - \$ 75,000

FY 1988 - \$ 70,000

AMERICA'S DEVELOPMENT FOUNDATION (ADF) to enable the Haitian International Institute for Research and Development (IHRED) to continue its three-pronged program to promote democratic values and processes and to encourage cooperation and dialogue among private sector groups committed to democracy in Haiti. The program consists of a continuation of IHRED's National Forum series of colloquia, an expansion of its civic education activities, and the launching of a democratic network of local grassroots leaders. IHRED was established in the wake of Duvalier's fall in February 1986 and has served as a neutral forum for dialogue on efforts to achieve a successful transition to democracy in Haiti.

FY 1986 - \$157,634

FY 1987 - \$110,000

FY 1988 - \$110,000

A second grant was awarded to the HAITIAN INTERNATIONAL INSTITUTE FOR RESEARCH AND DEVELOPMENT (IHRED) at the end of FY 1986 for a civic education project designed to teach Haitian citizens the principles of democracy and to develop their sense of responsibility for the welfare of their country. The program included the production of both printed materials, including posters and pamphlets, and radio and television spots aimed at encouraging citizen participation in the electoral process. These materials were disseminated through the media and also through the efforts of a network of community-based groups.

FY 1986 - \$100,247

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The NATIONAL DEMOCRATIC INSTITUTE FOR INTERNATIONAL AFFAIRS (NDIIA) conducted a three-day "Party-Building Workshop" for nearly twenty rising Haitian political and civic leaders as well as party representatives from democratic countries in the Caribbean, Latin America, and Africa on August 26-29, 1986 in San Juan, Puerto Rico. Participants discussed the roles and responsibilities of political parties in developing civic awareness and participation, the benefits of a loyal opposition for democratic development, constitutional choices and electoral codes and procedures. Workshop sessions focused on the technical aspects of party-building, such as organizational development, party management, issue formulation, constituency building, and budgetary strategies. The second phase of this program was a multi-national survey team visit to Haiti in December, 1986 to assess the country's technical needs in holding national elections.

FY 1986 - \$ 95,466

The NATIONAL DEMOCRATIC INSTITUTE FOR INTERNATIONAL AFFAIRS (NDIIA) convened in June, 1987 a three-day workshop in "Party-building in a Transitional Democracy" for Haitian party leaders and mid-level party officials in Haiti. The seminar covered four topics: party structure and organization; issue formulation; fund-raising; and constituency-building. Haitian participants included representatives from "The Group of Ten," a centrist grouping that meets periodically under the auspices of the Haitian International Institute for Research & Development; the eight parties registered and certified with the Ministry of Justice under the Political Parties Decree; and other parties that had demonstrated both an ability to gather a constituency and to adhere to democratic internal practices.

FY 1987 - \$ 52,347

NATIONAL DEMOCRATIC INSTITUTE FOR INTERNATIONAL AFFAIRS (NDIIA) to convene an international team to observe the presidential/legislative elections in Haiti scheduled for November 29, 1987. Approximately twenty delegation members were drawn from Venezuela, Canada, Costa Rica, Senegal, the Philippines, Botswana, Northern Ireland, Jamaica and the United States, and divided into six teams to observe the election process in Cap Haitien, Jeremie, Jacmel, Hensch, LaCaye and Port-au-Prince. Their conclusions condemning the widespread violence and the postponement of the elections were presented at a news conference in Miami.

FY 1987 - \$ 34,565

July 1988

ANNEX H

LIST OF PERSONS CONTACTED

ANNEX H

LIST OF PERSONS CONTACTED

Haitian National Assembly

Senate

Eudrice Raymond, President of the Senate (FNCD)
Guy Bauduy, Vice-President of the Senate (Independent)
Jean-Robert Martinez, Secretary of the Senate (FNCD)
Robert Opont, Second Secretary of the Senate (PDCH)
Louis Marie Alphonse Austin, Parliamentarian (FNCD)

Serge Gilles (PANPRA)
Jacques Rony Mondestin (PUCH/MRN)

Chamber of Deputies

Ernst Pedro Casseus, President of the Chamber (FNCD)
Frantz Robert Monde, Vice President of the Chamber
(Independent)
Renold Renard, First Secretary of the Chamber (ANDP)
Edmonde Supplice Beauzele, Second Secretary of the Chamber
(PANPRA)
Laveau Jean-Baptiste, Parliamentarian (PDCH)

Decius Benoit Beaubrun (ANDP)
Pierre Duly Brutus (PANPRA)

Haitian Interest Groups and Non-Governmental Organizations

Political Parties

Marc Bazin, MIDH
Victor Benoit, FNCD/CONACOM
Sylvio Claude, PDCH
Joachim Pierre, PDCH
Claude Roumain, MIDH
Rene Theodore, PUCH

Amicale des Juristes

Rene Julien, Lawyer

Association of Haitian Journalists

Raymond Exume, Secretary General

CDRH

George Nicholas, Director

Jean-Sebastien Roy, Training Coordinator

CHADEL

Jean Jacques Honorat, Director
Yvelie Honorat, Prison Reform Program

Celebration 2004

Serge Montes, Director
Simon Sylvera

Centre Petion Bolivar

Arnold Antonin, Director

FONHEP

Rosny Desroches, Director

Haitian Association of Voluntary Agencies (HAVA)

Kathy Mangones, Executive Director

IHRED

Leopold Berlangier, Director
Marcelle Narcisse, Controller
Francis Hilaire, Financial Consultant

Labor Confederations

Andre Lafontant Joseph, Secetaire General Adjoint, CNEH
Shiller Marcelin, OGITH
Joseph Senat, FOS

Other

Leslie Delatour, Economist (former Minister of Finance)
Ann Hauge, AGRI SUPPLY (private sector)
Marc Antoine Noel, former Director, CEP IV

Other Donors

United Nations Development Program

Carroll Long, Resident Representative
M. Dupuy, Program Officer

Fonds d'Aide et Cooperation

Jean-Charles Chatel, Conseiller Culturel and Chef de Mission
a.i.

Embassy of Germany

Karl-Otto Konig, Charge d'Affaires

IICA

Jan Hurwitch, Representative

U.S. National Endowment for Democracy

National Endowment for Democracy
Barbara Haig, Program Director

Related Institutes

AIFLD

Michael Purdue, Program Director/Washington
Hose Estrada, Regional Director/LAC
Jesse Friedman, AIFLD/Washington
Don Kessler, Haiti Country Representative
Joe Campos, Haiti Country Representative a.i.

NDI

Lionel Johnson

NRI

Anne Bradley

U.S. Mission in Haiti

U.S. Embassy, Port-au-Prince

Ambassador Alvin P. Adams, Jr.
Robert Holley, Political Officer
Steve Kashkett, Political Section
Hoyt Yee, Political Section

USIS

Christian Filostrat, Public Affairs Officer
Bruce Brown, Information Officer

USAID

David Cohen, Director
Franz Herder, Deputy Director

Martial Bailey
Robbin Burkhart
Mary Ann Cusack
Lance Downing
Francois Dugue
David Eckerson
Rosalie Fanale
Herve Jean-Charles
Yves Joseph
Joel Laroche
Frantz Louis

Martin Napper
Annie Nesterczuk
Igor Nesterczuk
Shelagh O'Rourke
Karen Poe
Arthur Shoepfer
Patricia Smith
Gail Spence
Michael White

Other A.I.D. Related

Derick Brinkerhoff, Management Systems International,
Implementing Policy Change Project
Sergio Cambroner, Program Director, Americas Development
Foundation, Development of Democracy Project
Donald D. Kurtz, Cooperative Housing Foundation
Steve Liapis, former Chief of Party, A.I.D. Honduras
Democratic Initiatives Project
John Lynch, Vice President - Operations, Americas
Development Foundation, Development of Democracy
Project
Michael Miller, President, Americas Development Foundation,
Development of Democracy Project
Alice Morton, Management Systems International, Implementing
Policy Change Project
Gerald Reed, Florida International University, Legislative
Development Project
Phil Roark, Camp Dresser McKee, WASH Project

Project Paper Design Team

Ajit Dutta, President, DATEX, Inc. (Financial Analyst)
Larry Harrison, Senior Democracy Advisor, DATEX, Inc.
Laura McPherson, Team Leader/Institutional Analyst, DATEX,
Inc.

ANNEX I
SELECTED BIBLIOGRAPHY

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ANNEX I

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ANNEX J
INITIAL ENVIRONMENTAL EXAMINATION

UNCLASSIFIED

STATE 140972

MAY 3 - 1991

ACT: AID-3 INFO: AMB DCM (5)

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RR RUEHPU
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BT
UNCLAS STATE 140972

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CN: 04370
CHRG: AID
DIST: AID

AIDAC PORT AU PRINCE FOR M. FONTAINE, L. DOWNING

E.O. 12356: N/A

TAGS:

SUBJECT: ENVIRONMENTAL THRESHOLD DECISION FOR
USAID/HAITI DEMOCRACY ENHANCEMENT PROJECT (521-0236)

REF: PORT AU PRINCE 02802

1. LAC DEPUTY CHIEF ENVIRONMENTAL OFFICER, J. WILSON,
HAS REVIEWED AND HEREBY APPROVES MISSION REQUEST FOR
CATEGORICAL EXCLUSION FOR SUBJECT PROJECT. IEE NUMBER
IS LAC-IEE-91-37. COPY OF ENVIRONMENTAL THRESHOLD
DECISION IS BEING POUCHED TO MISSION FOR INCLUSION IN
PROJECT FILES. BAKER

BT

#0972

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UNCLASSIFIED

STATE 140972

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VM:05/10/91

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Democracy Enhancement Project (521-0236)

(IEE - Negative Determination)

A. PROJECT DESCRIPTION

This \$10 million project will contribute to the development of a constitutional, stable and open democratic society in Haiti in which the majority of Haitians will be able to improve the quality of their lives. Its purpose is to expand and strengthen constitutional and autonomous private institutions which facilitate broad-based participation in democratic decision-making and respect for the Constitution.

B. PROJECT ACTIVITIES

The project will be implemented through a series of grants and cooperative agreements with both Haitian and U.S. NGOs. One grantee will be competitively selected from a group of U.S. organizations with experience supporting democracy enhancing activities in the developing world. This grantee will administer the Democracy Fund and is expected to make subgrants to small Haitian NGOs whose management systems are not strong enough for them to qualify for direct grants from USAID.

The Project will comprise five components:

- Strengthening the Legislature - The project will provide short-term technical assistance, funding for study-tours, seminars, conferences and staff training to increase the efficiency of Haiti's new national legislature.
- Strengthening Haitian Political Parties - Through the National Endowment for Democracy (NED), the project will provide short-term technical assistance, in-country training, and seminars to assist viable parties in organizational development.
- Strengthening Electoral Processes and Institutions - In collaboration with other donors, the Project will assist the Permanent Electoral Council in carrying out free and open elections in 1992 and 1994 for the National Assembly. By the end of the project the CEP will be using a valid Electoral Registry as a basis for elections.
- Continued Support to NGOs - The project will strengthen the institutional and programmatic capabilities of 10-15 NGOs and 4-5 labor confederations which enhance democratic values and pluralism in Haiti.
- Support to Local Government - Through a US organization experienced in this domain, the project will assist at least 350 local government bodies in improving their skills in planning, resource generation and allocation, and constituent participation.

C. RECOMMENDED THRESHOLD DECISION:

In accordance with Sections 216.1 and 216.2 of A.I.D. Regulation 16, a categorical exclusion is recommended, and no further environmental examination is deemed necessary.

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