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

DOMINICAN REPUBLIC

PROJECT PAPER

DEMOCRATIC INITIATIVES

AID/LAC/P-729 PROJECT NUMBER: 517-0265

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AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE: A (A = Add, C = Change, D = Delete)

Amendment Number

DOCUMENT CODE: 3

COUNTRY/ENTITY: DOMINICAN REPUBLIC

3. PROJECT NUMBER: 517-0265

4. BUREAU/OFFICE: LAC 05

5. PROJECT TITLE (maximum 40 characters): Democratic Initiatives

6. PROJECT ASSISTANCE COMPLETION DATE (PACD): MM 03 DD 11 YY 02

7. ESTIMATED DATE OF OBLIGATION (Under 'B.' below, enter 1, 2, 3, or 4)

A. Initial FY 92 B. Quarter 2 C. Final FY 96

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

A. FUNDING SOURCE	FIRST FY B. FX	C. L/C	D. Total	LIFE OF PROJECT E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	(200)	(800)	(1,000)	(1,239)	(7,761)	(9,000)
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1.						
Other U.S. 2.						
Host Country		200	200		3,000	3,000
Other Donor(s)						
TOTALS	200	1,000	1,200	1,239	10,761	12,000

9. SCHEDULE OF AID FUNDING ($000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE 1. Grant	2. Loan	D. OBLIGATIONS TO DATE 1. Grant	2. Loan	E. AMOUNT APPROVED THIS ACTION 1. Grant	2. Loan	F. LIFE OF PROJECT 1. Grant	2. Loan
(1) PSEE						1,000		9,000	
(2)									
(3)									
(4)									
TOTALS									

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code

B. Amount

13. PROJECT PURPOSE (maximum 480 characters).

To strengthen the democratic process in the Dominican Republic by: promoting a more dynamic democratic culture, improving wide citizen participation in decision-making, improving the effectiveness and efficiency of the political process, and enhancing governmental effectiveness, accountability and responsiveness.

14. SCHEDULED EVALUATIONS

Interim MM 01 YY 94 MM 01 YY 98 Final MM 03 YY 01

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)

I have reviewed the methods of implementation and financing of this project and certify that they are in agreement with Payment Verification Policy Implementation Guidance.

Kathleen LeBlanc
Controller

17. APPROVED BY

Signature: Francis Conway

Title: Acting Mission Director

Date Signed: MM 03 DD 11 YY 92

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION

MM DD YY

PROJECT AUTHORIZATION

NAME OF ENTITY: Pontificia Universidad Catolica Madre y Maestra (PUCMM)

NAME OF PROJECT: Democratic Initiatives

NUMBER OF PROJECT: 517-0265

1. Pursuant to Section 106 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Democratic Initiatives Project for the Dominican Republic involving planned obligations of not to exceed Nine Million United States Dollars (US$9,000,000) in grant funds over five (5) years from the date of 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, to the extent permitted under Handbook 1, Supp. B, Chapter 18 and Handbook 13, of goods and services for the project. The planned life of the project is ten (10) years from the date of initial obligation.

2. The purpose of the project is to strengthen the democratic process by: promoting a more dynamic democratic culture, improving broad citizen participation, improving the effectiveness and efficiency of the political process, and enhancing governmental effectiveness, accountability and responsiveness. The objective of the project is to support Dominican initiatives to strengthen the democratic system by increasing citizen awareness and participation, as well as by improving the effectiveness, responsiveness, and accountability of the State.

The grant will finance project administration by PUCMM, sub-grants to Dominican PVOs and NGOs, project evaluations, audits, and contingencies. The project sub-grantees will contribute counterpart funding in cash and/or in-kind.

3. The Project Agreement which may be negotiated and executed by the officer to whom such authorization is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following additional terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

a. Source and Origin of Commodities, Nationality Services

Commodities and services financed by A.I.D. under this Project shall have their source and origin in the United States (A.I.D. Geographic Code 000) and the

Dominican Republic to the extent permited under the A.I.D. Buy America policies (HB 1, Supp. B, Chapter 18) except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have the Dominican Republic to the extent permitted under the Buy America policies, or the United States as their place of nationality, except as A.I.D. may otherwise agree in writing.

Ocean shipping financed by A.I.D. under the Grant shall, except as A.I.D. may otherwise agree in writing, be only on flag vessels of the United States.

Francis J. Conway
Acting Director
USAID/Dominican Republic

Date: March 11, 1992

Clearances:

PDO:DChiriboga _____ Date 3/9/92
PDI: BSevern _____ Date 3/9/92
CONT:KLeBlanc _____ Date 3/10/92
RLA: EDragon Fax Clearance Date 2/11/92
RCO: MNapper _____ Date 3/10/92

PONTIFICIA UNIVERSIDAD CATOLICA
MADRE Y MAESTRA

RECINTO SANTO TOMAS DE AQUINO

DEMOCRATIC INITIATIVES SUPPORT PROJECT

SUBMITTED TO THE

AGENCY FOR INTERNATIONAL DEVELOPMENT

(A.I.D.)

FEBRUARY 1992
SANTO DOMINGO, D. R.

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DEMOCRATIC INITIATIVES SUPPORT PROJECT

I. EXECUTIVE SUMMARY

A. Definition of Problems and Opportunities

After successfully overcoming several critical situations, the Dominican Republic has been able to develop a stable democratic, multi-party political system, based on the acceptance of the legitimate function of the opposition, and the expression of dissent through the country's constitutional and legal framework.

However, given the scant experience of the Dominican Republic with democracy, the obvious heterogeneity of its social sectors, its general state of underdevelopment and poverty, and the consequent potential for social conflict, priority needs to be given to the strengthening of a governable democracy.

To the above, one should add the inevitable transformations that will take place in the nineties, such as the renewal and replacement of important political leaders, the likely reshuffling of political forces, and the deepening of the changes already in progress in the party system. This explains why it is time to formulate a project aimed at supporting initiatives that contribute to strengthening the Dominican democratic system.

The democratization process of the Dominican Republic has coincided with two phenomena that have traditionally been defined as antagonistic to democratic stability: an economic crisis and the growing inability of the government to respond to social pressures.

On the other hand, during the initial phase of this democratization, in the late seventies and early eighties, Dominican society underwent a tremendous process of organization of its business, trade union, popular and professional sectors. However, in spite of their increased capacity of mobilization, the popular groups remained weak. In the first place, the trade union movement appeared unable to unify its leadership and organizations. Secondly, numerous popular and non-trade union grassroots organizations had emerged and made the people's movement even more heterogeneous.

The inefficient response of the government to the most important and most diverse social demands, as well as the difficulty of the workers' movement to solve its own internal differences, seemed to open up considerable space for the political leadership of non-union grassroots organizations at the end of the eighties.

The analysis of Dominican reality indicates that favorable conditions exist to convince a large part of the social and political actors of the need for reforms. At the same time, however, this analysis leads to a diagnosis of problems that must be faced by any process that has as its purpose the achievement of a democracy with sound institutions and broad participation.

The problems that have been detected are:

1. The only type of institutionally established political participation of citizens is of an indirect nature, through the election of the members of the representative bodies.

2. The opportunities for citizen participation in the decision-making and problem-solving processes of the community in between elections are practically nil.

3. The rate of voter participation is low. In the 1990 elections, electoral absenteeism increased considerably.

4. Election processes are marked by a high degree of conflict, due to the weakness of the institutions and the poor credibility of the "Junta Central Electoral" (Central Electoral Council).

5. The main political parties are not organized on the basis of a real internal democracy nor do they protect or guarantee the rights of minorities, affiliates or dissident leaders.

6. The "great leader" and the upper echelons of the parties, to the detriment of the majority of the membership, exert a dominating influence on the nomination of candidates for Congressional and municipal positions.

7. The representativeness of the elective bodies, especially at the National Congress, is distorted, as is the case of the Senate.

8. Respective constituencies do not identify with their representatives and, consequently, do not hold them accountable.

9. Governmental political institutions suffer from a lack of managerial abilities.

10. The extraordinary administrative centralization discourages the generation of local leadership in the political parties.

11. Although a broad consensus exists on the need for reforms, this consensus does not yet include certain key political forces.

It is a fact that from the decade of the eighties on, especially during its latter half, the need for an institutional reform of the State and for a strengthening of democracy have been accompanied by a general awareness in broad sectors of society that these reforms have to be put into effect as soon as possible.

As a result of this growing awareness, several discussion fora have emerged to debate reform proposals in a spirit of broad pluralism and participation.

The Project that is herewith proposed is fully consistent with the expectations of Dominican society, as well as with those of the Agency for International Development (A.I.D.) and with the foreign policy of the United States Government.

B. Justification and Description of the Project

The fundamental objective of the Democratic Initiatives Support Project is to promote efforts to strengthen the Dominican democratic system by increasing citizen awareness and participation, and improving the efficiency and impartiality of the State.

The improvement of the political and social situation should not be limited to government bodies but should also touch the intermediary institutions that channel the expressions and participation of civil society.

The design of this Project is the result of several months of team work by a considerable number of Dominicans, all of whom are firmly committed and possess vast experience with initiatives aimed at supporting national democracy. Upon A.I.D.'s invitation, these persons agreed to form a Consultative Group and, for several months, prepared the design of the Project. This Group recommended to A.I.D. a list of Dominican experts considered as most apt to perform the preliminary analyses required for the design of such a project. It also unanimously recommended the Pontificia Universidad Católica Madre y Maestra (PUCMM) as the most appropriate Dominican institution to administer the Project.

The Project is conceived as a facilitator that will respond to the expectations of different social sectors regarding the strengthening of a democratic government system and of life in Dominican society in general.

Within these guidelines, the Project proposes an action strategy that will assign a central place to all topics relevant to the development of a more participatory democracy in the Dominican Republic on the agenda of concerns in the political debate.

With this strategy, and at the end of this ten-year project, the following will have been achieved:

1. A broad acceptance among citizens, intermediary groups, parties and leaders of basic democratic values and attitudes.

2. A higher percentage of citizens that are well-informed of the political system, with more confidence in their own role within this system, and actively participating in the formation of their society regarding those issues that affect their lives directly.

3. An honest and effectively operating Civil Service.

4. Improved public services, both nationally and locally.

5. A more open government, willing to respond to the needs expressed by the people.

6. Effective operating mechanisms that offer the different intermediary groups in society opportunities to influence the process of political decision-making.

7. More participation of women in the political process.

As a way of supporting Dominican initiatives, PUCMM herewith proposes a ten-year project with financial and technical resource requirements of approximately 12 million dollars. Of this amount, 9 million will be contributed by A.I.D., and a minimum of 3 million will constitute the national counterpart.

The following are some of the activities eligible for financing by the Project: activities of education for democracy at all levels; activities of consensus-forming and/or facilitating concerted citizen action for democracy; and, activities of State reform and modernization, as well as for the development of a more participatory democratic system, in which civil society and its intermediary institutions would play a more effective role.

Taking into consideration the nature of this Project, it will have a "rolling" design, with emphasis on flexibility, and be easy to evaluate in an on-going fashion.

A.I.D., through a grant agreement, will make the above mentioned funds available to PUCMM, in order to implement the Project and ensure the achievement of its objectives. PUCMM will then be the institution in charge of administering the funds of the Project. In order to comply with its administrative duties, PUCMM will establish an Operational Unit. The Executive Vice-Rector of the Santo Tomás de Aquino Campus of PUCMM in Santo Domingo will be responsible for the general supervision of the Project, with the assistance of an auditor and the necessary support staff.

Moreover, the Project will also have a broadly representative Consultative Council whose main role will be to assist PUCMM and A.I.D. in formulating the necessary policies and procedures for granting sub-grants, as well as for their control and supervision.

The Operational Unit and the Consultative Council will be assisted by a Selection Committee that will choose the activities to be financed by the Project.

Finally, the participants in the Project are all the institutions of Dominican civil society that become sub-grantees of the same upon approval of their proposals aimed at implementing democratic initiatives.

The Project will concentrate its efforts on three main areas of action:

1. A permanent program of education for democracy at all levels for the promotion of democratization and citizen participation.

2. A series of actions in support of the institutional reform and modernization of the State and of the political system.

3. A core of instrumental activities aimed at the achievement of the objectives of the Project.

In order to ensure the adaptation of the Project to the changing political reality of the country, Annual Working Plans will be prepared taking into account the goals and objectives of the Project, as well as the political and social circumstances of every moment.

C. Recommended Action

In its own name, and on behalf of the members of the Consultative Group in charge of designing the Project, PUCMM requests that A.I.D. sign a grant agreement with PUCMM as executing agency. A.I.D. would contribute with a financing of US$9 million in support of activities of private Dominican institutions aimed at strengthening the Dominican democratic system through an increased awareness and participation of citizens in that system, and an improvement of the efficiency and impartiality of the government.

II. JUSTIFICATION AND DESCRIPTION OF THE PROJECT

A. Nature and Scope of Problems and Opportunities

After successfully overcoming several critical situations, the Dominican Republic has been able to stabilize a democratic political system, based on the plurality of parties, the acceptance of the function of the opposition, and the expression of dissent through an institutional framework.

This achievement has mainly been possible thanks to the changes and modernization that Dominican society has gone through in the last three decades.

This situation is both interesting and paradoxical as Dominican society, in spite of its lack of democratic tradition, of its authoritarian political culture, and of serious economic and social crises, has managed to maintain the rules of the game of political alternation through competitive, albeit difficult and troubled elections.

Undoubtedly, the establishment of a relatively successful and stable democratic system has been an achievement, but this is not sufficient yet. It is imperative now to maintain and to develop this system, which means that the main concern should be the creation of the necessary conditions for Dominican democracy to have a future and to be able to respond to the complex challenges of the country's development.

Democracy is a government system characterized by broad social participation in the decision-making process. This broad participation usually entails a greater amount of discussion, negotiation and consensus, and prevails - although not exclusively - in the political institutions where the different forces of society interact and compete.

A democratic decision-making process may also prove to be somewhat slower, due to the efforts it takes to reach a concerted agreement. On the other hand, its end product will also be considered as much more legitimate and acceptable. To the extent in which this search for a consensus becomes easier, democratic efficiency improves, too. In other words, the degree to which a political system is governable bears a direct relation to the workability and efficiency with which decisions are made and implemented. A democracy whose decision-making process is paralyzed, or which proves unable to react in a timely fashion, is fatally ill. This kind of situation constitutes a breeding ground for authoritarian "temptations" that cannot but accelerate disillusionment with democracy, and end up burying it altogether.

Given the scant experience of the Dominican Republic with democracy, the obvious heterogeneity of its social sectors, and its general state of underdevelopment and poverty, there exists a potential for social conflict, and priority should thus be given to the strengthening of a governable democracy.

To the above, one should add the inevitable transformations that will take place in the nineties, such as the renewal and replacement of important political leaders, the likely reshuffling of political forces, and the deepening of the changes already in progress in the party system. This explains why it is time to formulate a project aimed at supporting initiatives that contribute to strengthening the Dominican democratic system.

In order to understand the dynamics of the Dominican democratic process in the last 30 years, as well as the deficiencies that it still has and for whose correction a great deal of effort and collaboration from all sectors will be needed, one must first understand the social and political processes that characterized the era of Trujillo's dictatorship.

During the first years of his regime, Trujillo's strategy consisted of imposing upon the Dominican nation a tutelar and authoritarian State. From its inception on, the ideology of Trujillo's dictatorship was based on the notions of work, order, peace and progress. All of these concepts had a very special meaning within the framework of the authoritarian and totalitarian vision that characterized the regime.

The research studies produced on the Trujillo era have often put emphasis on the violent dimensions of the regime, its use of repression and physical coercion. There is no doubt that violence and force played a fundamental role in the consolidation and maintenance of the regime. However, it should be stressed that Trujillo's dictatorship also left its mark on Dominican political culture, a mark that outlasted the regime, which ended in 1961.

Trujillo's downfall led to considerable social agitation, with the emergence of political parties, trade unions, business associations, cooperatives and organizations of peasants, student groups and professional bodies. In this process, a convergence took place between social and political movements, which sometimes became indistinguishable from one another.

Nonetheless, this birth of a civil society occurred in the midst of numerous contradictions, conflicts and crises that made it practically impossible to maintain political order. On the one hand, the urban masses rebelled against the notions of obedience, discipline, peace and order, which had been imposed by

Trujillo. This explains why the masses took to the streets to destroy the more concrete symbols of the dictatorship, together with organizing themselves in numerous political and social associations. On the other hand, the economic and political elite of the country was divided over the kind of reforms that had to be carried out. This was very clear in the struggle between Unión Cívica Nacional (UCN) and the Partido Revolucionario Dominicano (PRD): the former had a rather oligarchical orientation, while the latter was a more populist party.

At the beginning of the sixties, a series of internal and external events made it impossible to maintain and strengthen democracy any longer in the Dominican Republic.

A retrospective look upon these events that opposed democracy enables us to conclude that they fundamentally served to emphasize the use of force as a basic mechanism to solve political conflict, as well as the fact that average citizens did not have easy access to effective channels for expressing their needs and expectations democratically. In other words, force prevailed once again over the law in Dominican politics.

Joaquín Balaguer's twelve-year presidency (1966-1978) was the product of a profound political and social crisis. Balaguer insisted upon respect for the law as a guarantee to achieve political harmony and social progress, but in spite of this, the law never acquired its due status of importance, neither under Trujillo nor under Balaguer.

Although it must be said that the gap between the law and personal whim was narrowed under Balaguer's regime, as compared to Trujillo's time, these changes were not sufficient to give new meaning to the concept of law in the political process.

In 1978, the Dominican Republic underwent important political changes that deepened the democratization process of Dominican society. After a decade and a half in the opposition, the PRD defeated Balaguer in competitive elections. Balaguer accepted his defeat which undoubtedly constituted an important demonstration of democratic progress and the ability of leaders to change the course of history through their decisions.

This democratization process coincided with two phenomena that have traditionally been defined as antagonistic to democratic stability: an economic crisis and the growing inability of the government to respond to social pressures. Indeed, this inability of the government to satisfy numerous social demands was due to its imperative need to reduce the fiscal deficit as well as State subsidies, and only led to more political unrest during the eighties.

On the other hand, during the initial phase of this democratization, at the end of the seventies and early eighties, Dominican society also went through a tremendous process of organization of its business, trade union, popular and professional sectors. After years of political repression and social disorganization, democratization created opportunities for several social sectors to organize themselves in order to promote their respective agendas of social and political claims. This explains the high degree of social and political activism that characterized Dominican society at the beginning of the eighties, when the number of strikes, attempted strikes, work stoppages and demonstrations increased from 88 in 1979, to 225 in 1981.

However, in spite of their increased capacity of mobilization, the popular groups remained weak. In the first place, the trade union movement appeared to be unable to unify its leadership and organizations. On the contrary, it fell apart even more, fragmented into rival factions linked to the different political organizations that fought for the leadership of the trade union movement. Secondly, numerous popular and non-trade union grassroots organizations emerged and made the people's movement even more heterogeneous. Proof of this boom of the popular movement was the fact that, of the total popular protest actions held between 1983 and 1988, according to a survey published by the El Siglo newspaper, 37% had been led by non-union grassroots organizations, 23% by the unions, 16% by professional associations, 14% by peasants, and 7% by students. In general, the annual total of protests increased from 107 in 1983, to 549 in 1988.

In fact, a kind of duality, or even rivalry, emerged between the traditional trade union leaders who believed in centralized processes for bargaining (and, sometimes, confrontation) with the employers and the State, and the rest of the people's movement which, in spite of its considerable clout, remained outside the minimal negotiation channels that had been established (for instance, the popular organizations did not participate in the Tripartite Dialogue that was initiated at the beginning of 1988 with the mediation of the Catholic Church).

The inefficient response of the government to the most important and most diverse social demands, as well as the difficulty of the workers' movement to solve its own internal differences, seemed to open up considerable space for a political leadership of non-union grassroots organizations at the end of the eighties.

There is no doubt that many of these grassroots organizations are somewhat amorphous; for instance, it is difficult to determine the exact nature and size of their membership. In spite of this, they have shown a lot of clout and ability to channel into popular protest actions (from general

strikes to neighborhood demonstrations) a great part of the dissatisfaction that prevails in Dominican society. Consequently, one of the challenges that Dominican democracy will have to face in the nineties is to politically integrate these new groups that reflect the growing complexity of Dominican social structures as well as their many needs. It is to be feared that if the political system fails to address these issues, the levels of social and political violence might worsen in the country.

The lack of available surveys in the Dominican Republic makes it very difficult to perform a comparative analysis of the changes in attitudes and political beliefs of the population. However, on the basis of a survey sponsored by the newspaper Hoy at the beginning of 1988, it is possible to point out that a serious problem of the Dominican political system is the level of distrust that is felt towards the key institutions of the democratic system.

According to the data of this survey, the level of distrust towards the main government institutions was very high: 83.2% of the respondents answered that they had none or very little trust in the Congress, while 77.4% said the same about the judiciary system. The Presidency of the Republic suffered less rejection, although 60.3% responded that they had no or very little trust in its ability to solve national problems. The level of distrust was particularly high in the case of the political parties: 94.4% said that they either did not trust them, or trusted them very little. Trade unions and business organizations did not fare much better: 87.9% of those surveyed trusted the trade unions very little or not at all, while 73.9% said the same about business associations. The level of distrust in the Armed Forces and the National Police was also high: 64.2% answered that they had little or no trust in the Armed Forces, while 76.2% said the same about the National Police. The institutions that enjoyed the highest trust among the population were the Catholic Church and the schools, with 63% and 78.5% of approval, respectively.

This data suggests that disenchantment with the political institutions permeates the whole political process. If this interpretation is correct, then the democratization process of the Dominican Republic will have to face some tough problems in the coming years. Of particular concern is the level of distrust felt towards three institutions that are fundamental for democracy: the legislative power, the judiciary, and the political parties. This is why a reversal of the process of distrust and disillusionment with the political institutions on which democracy is based, is an essential task of any democratic initiative that is to be successful.

The analysis of the above described reality indicates that favorable conditions exist to convince a large part of the social and political actors of the need to for reforms. At the same time, however, this analysis also leads to a diagnosis of problems that must be faced by any process that has as its purpose the achievement of a democracy with sound institutions and broad participation.

The problems that have been detected are:

1. The only type of institutionally established political participation of citizens is of an indirect nature, through the election of the members of the representative bodies.

2. The opportunities for citizen participation in the decision-making and problem-solving processes of the community in between elections are practically nil.

3. The rate of voter participation is low. In the 1990 elections, electoral absenteeism increased considerably. Besides sociological and motivational factors, this is also due to the type of voter registration system that currently exists and that depends on the citizens' own initiative to request their inclusion in the electoral lists. The "cost of voting" is high.

4. Election processes are marked by a high degree of conflict, due to the weakness of the institutions and the poor credibility of the "Junta Central Electoral" (Central Electoral Council). This body is not autonomous and has to work with precarious economic resources. The allocation of its resources depends on will of the Executive Power.

5. The main political parties are not organized on the basis of a real internal democracy nor do they protect or guarantee the rights of minorities, affiliates or dissident leaders.

6. The "great leader" and the upper echelons of the parties, to the detriment of the majority of the membership, exert a dominating influence on the nomination of candidates for Congressional and municipal positions.

7. The representativeness of the elective bodies, especially at the National Congress, is distorted, as is the case of the Senate.

8. Respective constituencies do not identify with their representatives and, consequently, do not hold them accountable. This has a negative effect upon the responsibility and responsiveness of elected officials who become completely autonomous. In fact, the voters are giving out "blank checks" to their representatives.

9. Governmental political institutions suffer from a lack of managerial abilities. Mid-level officials are not recruited on the basis of merit and are submitted to the ups and downs of political life and the changes of administration that occur in public entities.

10. The extraordinary administrative centralization of the central government, as well as the territorial level, discourages the generation of local leadership in the political parties.

11. Although a broad consensus exists on the need for reforms, this consensus does not yet include certain key political forces.

These problems, and the logic behind the movements of each one of the Dominican political actors in the Project, have to be taken into account in order to avoid a naive approach to the reform process.

B. Relationship Between the Project and Dominican Strategy

As indicated in the previous section, the institutional reform of the State and the strengthening of democracy are deeply felt needs and general claims of several sectors of Dominican society.

The obsolescence of the current organization of the State has become apparent on endless occasions, the most recent one being the 1990 elections. On the other hand, civil society has not developed very strongly, thus benefiting the State itself which has taken on and centralized activities that could very well be performed outside its sphere. Moreover, the participation of citizens has been limited to the elections that take place every four years in order to choose authorities over whose actions they have no control whatsoever.

Notwithstanding the above, and from the decade of the eighties on, especially during its latter half, the need for an institutional reform of the State and for a strengthening of democracy has been accompanied by a general awareness in broad sectors of society that these reforms have to be put into effect as soon as possible. This is the meaning behind numerous initiatives that have been submitted for the consideration of the citizens regarding the reform and modernization of the State, the reform of the Constitution, an electoral reform, a reform of the judiciary branch, and the decentralization and strengthening of a democratic culture that would permeate all social and political institutions. As a result of these initiatives, several discussion fora have emerged to debate these proposals in a spirit of broad pluralism and participation. Recently, and as a consequence of this general claim of civil society, the national

community has been witness to a debate among the major political forces on the need to initiate as soon as possible the necessary reforms of the State that will make it more effective and democratic.

At present, it can be said without any doubt that, in general, the national community has become aware of the need to reform the State politically and to strengthen democracy. Therefore, this is an excellent time to develop a project that will support this process.

The Democratic Initiatives Support Project is an expression of this broadly shared awareness, and aims at contributing to its orientation and implementation.

C. Consistency of the Project with A.I.D. Policy and Strategy

The proposed Project's response to Dominican initiatives for State reforms and increased citizen participation in the political process accords fully with USG foreign policy and A.I.D. foreign assistance strategy.

Secretary of State James Baker has stated that "(of the five key foreign policy challenges the United States will be facing in the coming decade, our first and foremost challenge...is consolidating democracy)". Pursuant to this policy, A.I.D.'s Mission Statement and the A.I.D./LAC Bureau Statement of Objectives put "strengthening democracy" on an equal level with "broad-based growth" as the primary A.I.D. objectives.

Pursuant to these policies and objectives established by Washington, USAID/DR in its FY1992-96 Country Development Strategy Statement states that "an important part of the USAID's strategy is to assist Dominicans with redefining the role of government in a modern society and in the process strengthening their democracy." Of USAID/DR's proposed overall economic development assistance program, two parts directly concern democratic initiatives of the type proposed in this Project: "Support Dominican initiatives to facilitate participation and encourage involvement by citizens in the process of government," and "Promote improved efficiency and impartiality of government institutions."

D. Justification and Strategy of the Project

The goal of the Project is to achieve a more effective, representative and participatory democratic system. In view of the fact that, at present, the democratic institutions of the Dominican Republic are not adequately serving the citizens, and that the latter are not playing a participatory role in democracy, the Project aims at strengthening the Dominican

democratic process through the promotion of a more dynamic democratic culture, a broader citizen participation in political and social processes, the improvement of the efficacy of political processes through which citizen participation is expressed and channeled, and the strengthening of the government's efficiency, impartiality, and sensitivity to social claims.

The fundamental objective of the Democratic Initiatives Support Project is to promote efforts to strengthen the Dominican democratic system by increasing citizen awareness and participation, and improving the efficiency and impartiality of the State. In other words, the purpose is to make the country's political system more democratic and governable.

The democratization of a political system necessarily involves the issue of political participation and representation. A more specific objective, hence, is to try and improve institutional mechanisms so as to enhance participation and to stimulate the creation of a democratic culture that not only accepts and respects the existence of the "other", but also ensures the necessary conditions for an effective collaboration through common actions.

As the country has adopted the model of representative democracy, representation has to be improved qualitatively along three dimensions, i.e. representativeness (the whole body of representatives should reflect as faithfully as possible the political profile of the voters); responsiveness (the representatives should be sensitive to the claims of their constituencies); and accountability (the representatives should effectively account for their administration).

This improvement should not be limited to government bodies (National Congress, Presidency of the Republic, Judiciary Branch, and local governments), but also cover the intermediary institutions that channel the expressions and participation of civil society (political parties, interest groups, and civic organizations).

To improve a democratic system also implies the issue of governability, i.e. how to face the numerous demands made on a political system that only possesses limited resources to satisfy them. Consequently, the search for efficiency through an effective rationalization of political institutions and of public administration is a goal of capital importance to ensure that governability.

The goal of increasing the democratic nature and governability of a political system entails the adoption of a "political engineering" perspective, based on the identification of problems, an analysis of the different options for solution,

the search for concrete possibilities of intervention in political reality through reforms, and the development of training and educational activities.

Thus, if the purpose is to promote a greater degree of democracy, mechanisms will have to be found to stimulate political participation and to increase representation. If more governability is desired (as an output of the system), the management and operational methods of political and administrative institutions will have to be improved in terms of efficiency and rationality.

The feasibility of a project like this is based on the fact that Dominican society possesses the dynamic foundations from which to promote and achieve a modernization of the Dominican State along democratic guidelines.

The design of this Project is the result of several months of team work by a considerable number of Dominicans, all of whom are firmly committed and possess vast experience in the field of initiatives supporting national democracy. They include academic specialists, leaders of professional, business and trade union organizations, foundations, non-governmental organizations, as well as leaders of community-based and grassroots groups and institutions. On the whole, these personalities may be considered as broadly representative of the different strata that compose the Dominican civil society of today.

Upon A.I.D.'s invitation, these persons agreed to form a Consultative Group and, for several months, prepared the design of the Project. At a series of working meetings, they discussed in depth the feasibility, opportunity and relevance of a project of this kind in the current situation of the Dominican Republic. They also determined the Project's goals and objectives, as well as the most adequate administrative mechanisms for its implementation. Finally, a consensus was reached on specific areas for action which would then constitute the "democratic initiatives" that deserve priority support from the Project. The Consultative Group recommended to A.I.D. a list of Dominican experts considered as most apt to perform the preparatory analyses required for the design of such a project. It also unanimously recommended the Pontificia Universidad Católica Madre y Maestra (PUCMM) as the most appropriate Dominican institution to administer the Project.

The Project is designed to facilitate and deepen the response to the expectations of different sectors regarding the strengthening of the democratic government system and of life in society as a whole.

Within these guidelines, the Project proposes an action strategy that will assign a central place to all topics relevant to the development of a more participatory democracy in the Dominican Republic on the agenda of concerns and public debate.

This purpose will be achieved through educational mechanisms that promote the essential values, attitudes and practices of a democratic culture, such as tolerance, capacity for dialogue and willingness to negotiate and reach agreements; in other words, the achievement of a consensus necessary to undertake joint actions that allows for facing and solving the problems inherent in all processes aimed at developing a more participatory and effective democracy.

Consequently, the Project will promote discussion and consensus on these topics. It will identify groups that might give sustained sponsorship to the activities that are necessary for the implementation of this consensus and, to the extent possible, it will grant support for these actions in view of the adoption of public policies for the development of a more efficient State and a more participatory democracy.

This strategy is expected to contribute to the development of a more democratic culture that will enable all citizens, even the most humble and disenfranchised ones, to understand the importance of political reforms for the improvement of their living conditions, and to feel a part of the decision-making process on all issues of their concern. This will give them a higher degree of trust in the institutions of a democratic system that they, themselves, have helped to create.

An element that is inherent to this strategy of increasing citizen participation in the efforts to democratize the political system is the strengthening of the ability of the institutions of Dominican civil society to successfully implement initiatives financed by the Project. This does not mean that the Project is going to dedicate substantial resources to technical assistance or other measures of explicit institutional development. The point is, rather, to stress the fact that the experience gained by these institutions in actively participating in democratic initiatives financed by the Project will increase their ability to plan and execute other future activities with their own means. This, in turn, will help them to become more influential actors, with more impact in a more participatory and democratic political system.

Finally, it is hoped that the reforms of the governmental agencies that are promoted and achieved through this process will tend to create political and administrative institutions that reflect the interests and feelings of civil society and respond to its needs.

With this strategy, and at the end of this ten-year Project, the following will have been achieved:

1. A broad acceptance among citizens, intermediary groups, parties and leaders, of basic democratic values and attitudes.

2. A higher percentage of citizens well-informed about the political system, with more confidence in their own role within this system, and actively participating in the formation of their society regarding those issues that affect their lives directly.

3. An honest and effectively operating Civil Service.

4. Improved public services at both national and local levels.

5. A more open government, willing to respond to the needs expressed by the people.

6. Effective operating mechanisms that offer to the different intermediary groups in society opportunities to influence the process of political decision-making.

7. More participation of women in the political process.

E. Components of the Project

As a way of supporting Dominican democratic initiatives, a ten- year project is proposed with financial and technical resource requirements of approximately twelve million dollars. Of this amount, the Agency for International Development (A.I.D.) will contribute nine million, and a minimum of three million will constitute the national counterpart.

The institutions or sectors of Dominican civil society interested in promoting initiatives aimed at strengthening democracy in the country, or in the reform and modernization of its government institutions, may opt for support from the Project, provided the activity or program proposed complies with the requirements established by the same. Indeed, the principle that guided the design of the Project and that should prevail in its implementation, is that of responding to demands that emerge from Dominican sectors and institutions interested in promoting democratic initiatives.

The following are some of the activities eligible for financing by the Project: activities of education for democracy at all levels; activities of consensus-forming and/or facilitating concerted citizen action for democracy; and,

activities of State reform and modernization, as well as for the development of a more participatory democratic system, in which civil society and its intermediary institutions would play a more effective role.

Taking into consideration the nature of this Project, it will have a design with emphasis on flexibility, and be easy to evaluate in an on-going fashion. Thus, the Project will be able to adapt itself to the evolution of Dominican society during this final decade of the century. In order to ensure this flexibility of accommodation to new situations and to maximize its impact, external evaluations will be performed of the progress achieved at the end of the second and fifth years of the Project.

1. Participants in the Project

A.I.D., through a grant agreement, will make the above mentioned funds available to the Pontificia Universidad Católica Madre y Maestra (PUCMM) in order to implement the Project and ensure the achievement of its objectives. As the donor agency, A.I.D. will establish financial controls over PUCMM's management of the Project funds (PUCMM will be the recipient institution) in conformity with the terms and procedures stipulated in the Agency's regulations for this kind of project. Likewise, A.I.D. will give its approval to the Annual Working Plans of the Project.

PUCMM, on the other hand, will be the institution responsible for the management and financial control of the funds of the Project. In order to comply with these duties, PUCMM will establish an Operational Unit. This Unit will be headed by an Executive Director, assisted by the technical team and support staff mentioned in Chapter III, Section C, of the present document. PUCMM will exert financial control as stipulated by A.I.D. for this kind of project and all funds granted, as sub-grants, to the institutions that will execute the activities of the same. The Executive Vice-Rector of the Santo Tomás de Aquino Campus of PUCMM in Santo Domingo will be responsible for the general supervision of the Project, with the assistance of an auditor and the necessary support staff. The auditing staff, as well as the personnel of the Operational Unit, will be recruited for the duration of the Project, in conformity with the norms and procedures of PUCMM and the regulations established by A.I.D. for such cases.

Moreover, the Project will have a broadly representative Consultative Council. Its composition and specific functions will be explained in detail in Chapter III of this document. Its main role will be to assist PUCMM and A.I.D. in the formulation of the necessary policies and procedures for making sub-grants, as well as for their control and supervision.

The Selection Committee will be composed of the Executive Director of the Operational Unit of PUCMM and of three members selected by PUCMM, with the approval of the Consultative Council and A.I.D. The Project Officer of A.I.D. will participate as an observer in the deliberations of this Committee. For more details on the composition and functions of the Selection Committee, see Chapter III of the present document.

Finally, the participants in the Project are only those institutions of Dominican civil society which become sub-grantees of the same, upon approval of their proposals to implement democratic initiatives, and in agreement with the selection criteria listed in Chapter III of this document.

2. Priority Areas and Illustrative Activities

One of the major obstacles to the functioning of the Dominican political system is the absence of a culture of concerted agreement and compromise, as well as the lack of responsible collaboration practices among the different political forces of the nation. In spite of strong pressures from civil society to mobilize good will around concrete objectives, the political leadership remains reluctant to negotiate and compromise, which blocks the possibilities of agreement.

Any institutional reform project must go through different phases: the elaboration of a diagnosis of the situation, the identification of crucial areas requiring intervention, and the formulation of possible solutions. Likewise, concrete mechanisms have to be pointed out in order to implement the reforms.

In a democratic society, the introduction of reforms supposes a broad process of citizen consultation among key groups in public opinion formation and in the decision-making process. The application of this principle, together with the factor mentioned in the initial paragraph of this section, demand the strengthening of the existing consensus-building mechanisms or spaces in Dominican society, as well as the creation of new means of implementation of the objectives proposed by the Project.

The particular nature of the institutional reforms examined in the Project's guidelines requires the structuring and/or strengthening of instances of multisectorial representation dedicated to consensus-building and to the implementation of political reforms.

As already mentioned in this same section, the Project will have a flexible design that will enable it to adapt to the changing situation of national politics during this decade. In view of this, Annual Working Plans will be prepared

taking into account the goals and objectives of the Project, as well as the political and social circumstances of every moment.

As mentioned above, the Project will concentrate its efforts on three main areas of action:

First: A permanent program of education for democracy at all levels to promote citizen participation.

Second: A series of actions in support of the institutional reform and modernization of the State and the political system, in order to make them more effective, participatory, and sensitive to the expectations and claims of society.

Third: A core of instrumental activities (collection of information and measurement of impact) that are necessary for the achievement of the Project's objectives.

The Project's activities should produce an impact that can be measured over a relatively short period of time. This requires concentrating efforts on one topic that permeates all areas of priority action. Likewise, baseline information is to be collected in order to measure the progress reached by Project-supported activities.

The following, with an exclusively illustrative purpose, is a brief description of those activities which, among the three priority areas indicated above, were recommended by the Consultative Group in charge of designing the Project, to be taken into account specifically during the first three years of the Project.

a. Program of Democratic Education for the Promotion of Citizen Participation

One of the main objectives of the Project consists of promoting the development of a democratic culture among the population and the main actors in the Dominican political process.

Indeed, the strengthening of democratic institutions necessarily implies that citizens internalize genuine values of pluralism, civilized life in society, the recognition of individual prerogatives, the respect of the majority together with the rights of minorities, the search for justice and collective welfare.

Thus, the incidence could be reduced of the protracted prevalence of values and practices that belong to an authoritarian culture, typical of the above described national tradition.

These values and practices manifest themselves in the field of interpersonal relations, in the interaction between the sexes, in the family, in the schools, in business, in public institutions, in business and trade union organizations, in the churches, in the media, in the political parties, i.e. in the whole of society.

This is the reason why a growing number of popular organizations and entities of public interest are putting emphasis on an educational or awareness-raising component, as a basic corollary of any process that aims at a broader political participation of citizens in the debate regarding public affairs.

On the other hand, almost all activities proposed for Project support in the field of its State reform program assume the development of a mass education component, as well as other educational activities focused upon key groups as an indispensable means for the implementation of said reforms.

In view of this, one of the priority areas of the Project should be the permanent promotion of educational activities, well selected for their impact on the development of a democratic culture and aimed at: teaching the population in general and specific groups in particular about the advantages and functioning of the democratic system; promoting citizen participation in social and political institutions; and fostering internal democratization of both public and private organizations. These activities would include the preparation and dissemination of materials on education for democracy and the promotion of activities such as courses, seminars and workshops that contribute to this end. These activities would take place at different levels:

(1) At a basic level: by means of illustrative educational booklets, citizen manuals, and mass media campaigns (press, radio and television).

(2) At an intermediate level: through courses and workshops for intermediate leaders of community-based and grassroots organizations, intermediary non-governmental institutions, and the political parties.

(3) At the upper level: specialized activities for sectorial and political leaders, through seminars, workshops and panels aimed at consensus-building, dissemination of documentary material, and other related actions. Specific topics would be included on political reforms supported by the Project.

It should be pointed out that this program of education for democracy will put special emphasis on the education of children and youth, who represent the future of Dominican democracy.

For a more detailed description of the concrete and specific activities in the field of education for democracy that were recommended by a specialized team created within the Consultative Group in charge of designing the Project, see Annex D of this document.

The national entities that would be able to participate, in one way or another, in this program of democratic education supported by the Project include the following: private institutions belonging to the three levels of the formal educational system (elementary, secondary and university); the mass media (press, radio stations and television channels); popular and community-based groups and organizations (both urban and rural); institutions of public interest; non-governmental not-for-profit organizations (the so-called Third Sector); business, professional and trade union associations; training schools of democratic political parties, etc.

b. Actions in Support to State Reform

(1) Electoral Reform

Electoral reform has been identified by the Consultative Group in charge of designing the Project as one of the most fundamental areas of priority action to be developed under the auspices of the Project. The fact that the country will celebrate general elections in 1994 gives special urgency to this electoral reform.

Some of the specific activities that could be considered for support by the Project, are as follows:

(a) Update of existing electoral legislation and regulations.

(b) Institutional modernization of the Junta Central Electoral (JCE, "Central Electoral Council") and of the Municipal Councils. Definition of the administrative and arbitrative functions of the JCE. The first objective supposes a restructuring of the electoral body in view of staffing it with qualified and stable professional, technical and administrative personnel, capable of efficiently and adequately planning and executing the regulatory, organizational and arbitrative actions of the institution. The second objective implies a clear and precise demarcation of the institution's administrative and technical functions, as well as of the

normative and arbitrative duties performed by the regular and alternate members of the JCE.

(c) Screening of the Electoral Records. This activity is one of the cornerstones of the modernization process of the Dominican electoral system. Its implementation would allow for organizing more transparent elections, free of tensions and suspicions among the participating parties and within the population itself, which in turn would take pressure off the JCE.

(d) Training of electoral personnel. Besides training the permanent staff of the JCE and the Municipal Councils, as already examined in previous initiatives, this activity would prepare additional staff to be employed during the months that precede the elections, as well as the staff employed at the polling stations and in supervisory and logistical support tasks on the day of the elections.

(e) Democratization of political parties. This would consist of the preparation of specialized legislation that would rule the creation of political parties, the replacement of their leadership bodies, the definition of program guidelines, selection processes for candidates nominated to elective positions, and financial management, in order to guarantee an effective functioning of the mechanisms of internal democracy.

A more detailed description of these activities required to successfully carry out an electoral reform, including their practical operation, can be found in Annex C of this document.

The national institutions that could carry out electoral reform initiatives include the Dominican universities, especially those that have law schools, as well as several foundations and institutions of public interest with vast experience in the field. These national institutions would be able to request counseling from international or regional organizations such as the Centro Interamericano de Asesoría y Promoción Electoral (CAPEL, Inter-American Center for Electoral Counseling and Promotion) and the Carter Center, among others.

(2) Implementation of the Civil Service Law

The promulgation of the Civil Service Law and the Administrative Career (Law No. 14-91), on May 20, 1991, after several decades of fruitless efforts, established an administrative model in the country that is based on professionalizing and modernizing public functions. The results of these efforts should be translated into better and more efficient services for the citizens, a more professional and

stable bureaucracy - free from the changing influences of party politics and personal favoritism - and a public administration that is more sensitive to the demands of the population. Moreover, a reduction should be expected in the levels of administrative corruption.

Said law is considered as a "framework" law that defines the principles that will rule the working relations between the Executive Power and the civil servants that directly report to it. The implementation plan considered by the law - but still to be put into effect - includes a series of activities for the preparation of the administrative and technical rules and procedures required for the application of said law, according to a certain order of priorities.

In view of the importance of this law for the achievement of some of the objectives of the Project, selective support should be given to those actions which aim at putting the law into effect. These actions are: promotion of the knowledge of the law among the general public, the key sectors of society, and the civil servants themselves; and preparation of the rules and procedures pertaining to the implementation of the Administrative Career.

It is to be expected that private institutions of higher education will submit initiatives aimed at achieving its fuller implementation for the Project's consideration within a reasonable period of time.

(3) Strengthening of the Judiciary Power

The in-depth reform and professionalization of the Judiciary Power is one of the necessary prerequisites for achieving the Project's goal of building a more effective, sensitive and responsible democratic system. This strengthening should be seen as a series of actions to create a judiciary career service and a National Council of the Judiciary, as well as to update current legislation, including the main Codes, to establish more functional models of judiciary organization, and to educate citizens concerning their rights to defense, the basic contents of the laws that concern them most, and the procedures that the judiciary system makes available to them.

The successful compliance of this reform implies the development of actions tending to make the judiciary institutionally more independent in the selection of judges and court support staff, as well as in budget management, and the impartial, professional and transparent administration of justice, free from extra-judiciary pressures.

For a detailed description of the concrete activities included in an in-depth reform of the Judiciary Power, as outlined in the above paragraphs, see Annex C of this document.

It is expected that among the national private institutions that will submit initiatives in this area to the Project, there will be a number of legal foundations with vast experience, as well as the main professional and trade associations in the field of law. In these efforts to reform the Judiciary, it would also be convenient to receive technical assistance and collaboration from both regional and international institutions with broad experience in this matter. Some of these already collaborated successfully with several past efforts undertaken in the Dominican Republic to improve the administration of justice; for instance, the Instituto Latinoamericano de las Naciones Unidas para la Prevención del Delito y Tratamiento del Delincuente (ILANUD, United Nations Latin American Institute for the Prevention of Crime and the Treatment of Offenders).

(4) Other Initiatives

Several other initiatives of institutional State reform should be mentioned here, as they were also suggested by the Consultative Group in charge of designing the Project, which considered them worthy of attention and support at some stage of the Project, or recommended them for financing by another donor:

- Reform of the Constitution
- Reform and Modernization of the National Congress
- Decentralization of the Political System and Strengthening of Municipal Governments.

c. Core of Instrumental Activities

A number of carefully selected activities are necessary, or may contribute significantly to the achievement of the Project's objectives. These activities will be specifically oriented to the collection of indispensable information and the measurement of the impact of the Project.

(1) Collection of Information

There is no doubt that the Project should be able to rely on the most complete and updated information possible, both for the determination of its priorities and for an adequate selection of proposals. In order

to satisfy this need for information, the Project should have access to the following:

(a) An inventory of Dominican social and political institutions with experience in the field of democratic initiatives. This will enable the executives of the Project to determine the institutional profile of the institutions or groups that submit proposals to it, as well as to know their fields of action, territorial scope and degree of representativeness. Thus, the Project will know in detail the organizational universe of the activities that it will support. This inventory will consist of a computerized database that will be permanently updated throughout the Project. The possibility could also be considered of publishing a territorial atlas of institutions for more general use.

(b) A collection of electoral and public opinion surveys, as well as other, broader socio-political studies conducted in the Dominican Republic in recent years. It would be very useful to gather all this information for the Project, as it would put to use a considerable volume of data that is now scattered and highly underutilized. Many of these surveys exist on diskettes; some of them have already been offered to the Project by their sponsors. This recovery work would be extremely valuable for the design of the basic Project survey mentioned subsequently. Interested Dominican institutions would have access to this data bank.

(2) Measurement of Impact

As indicated in more detail in Chapter III, Section D of this document, the Project will need mechanisms to measure its own impact, as well as that of the different activities it supports. These mechanisms will also enable the Project to perform the ongoing revisions or corrections it might consider necessary in its order of priorities or for the activities it wants to select. These impact-measuring mechanisms would include the following:

(a) A baseline survey on values, beliefs, attitudes and opinions concerning Dominican democracy and its institutions. This survey is indispensable for an accurate and objective determination of the current state of affairs before initiating the Project. Therefore, the survey will serve as an empirical frame of reference and as an element for comparison. It would be based on the above mentioned recovery of the wealth of information contained in the electoral surveys, opinion polls, etc. that have been conducted recently; additional information would be collected only on those variables that have been insufficiently documented in previous research studies.

(b) A detailed system or program of periodic surveys that will constitute an instrument for periodically measuring and evaluating compliance of the Project's purpose and of the achievement of its goal.

3. Expected Impact of the Project

The main objective of the Democratic Initiatives Support Project is to achieve the creation of a national awareness that would lead to the reform and modernization of the Dominican State, in view of increasing citizen participation in political, economic and social decision-making.

Today's reality of the Dominican Republic is one of growing deterioration of the government's capacity to offer services of sufficient quality to satisfy the expectations of citizens. In fact, State institutions have been ignoring more and more the people's requests for education, health, electrical power, and drinking water services. This has annulled to a large extent the real representativeness of elected and appointed government officials. This Project has been structured to and contribute to the correction of this difficult situation.

The impact of the Project, in its broadest dimension, should reach the whole population of the country. On the other hand, in its more limited dimension, i.e. the electoral, legislative, and judiciary processes, and democratic representation, it will reach the adult Dominican population, whom the Project will provide with mechanisms to express their aspirations, as well as the means to participate actively in the decision-making processes of public policy.

Another expected impact of the Project will be the strengthening of the capacity of the institutions of Dominican civil society to plan and execute future actions, thus helping them to become decisive actors in national political life. Likewise, the Project will have an impact on the level of political participation of Dominican women.

The activities that will be carried out within the framework of the Project will achieve, at the end of ten years, a broad acceptance of democratic values by all citizens, as well as by grassroots, professional, trade union, and business groups and institutions; a greater degree of information on the political system among citizens; a civil service based on professional merit and on the honesty of the civil servants; and, a more effective and open government, willing to respond to the needs expressed by the people and to be held accountable by them.

In summary, the impact of the Project should be aimed at a substantial increase of the levels of quality of life in the Dominican Republic which should benefit, both directly and

indirectly, all men and women who, at present and in the immediate future, are or will be its citizens and residents.

F. Other Related Activities of the US Government

In developing this proposal, the proponents have become aware of various activities of USAID/DR, A.I.D./Washington, and other USG agencies pertaining to democratic initiatives. Working with the USAID/DR Project Coordinator, the Project's Operational Unit will maintain awareness of these and possibly other activities in order to draw on them, their resources and experience, as appropriate, and to avoid duplication of effort.

1. A.I.D.

a. USAID/DR NGO/PVO Cofinancing Project

The NGO/PVO Cofinancing Project provides resources on a cost- sharing basis for activities proposed by Dominican and US PVOs. The Project has been going through a preparatory stage for over two years and is about ready to make its first grants. Since democratic initiatives are among the types of activity included for cofinancing, there is a special need for coordination of this project with the Project herewith proposed, in order to avoid duplication of effort.

An important first step will be to define "division of labor" between the two projects. The NGO/PVO Cofinancing Project seems especially appropriate for some of the weaker, nascent NGOs interested in democratic initiatives which have special need of institutional strengthening assistance to build their capacity to implement activities and to mobilize resources. The Cofinancing Project makes special provision for such technical assistance.

Of further use to the Democratic Initiatives Project will be the experience gained by USAID and the Cofinancing Project Implementation Unit over the past two years. For example, the Participation Manual and the Guide for Preparation of Grant Application, developed under the Cofinancing Project, should provide useful models for similar needs under the Democratic Initiatives Project.

b. LAC Regional Projects

(1) Administration of Justice

The LAC/DI office of A.I.D. in Washington manages several regional projects of actual or potential interest to the Dominican Republic as a source of resources and/or experience for the improvement of the administration of justice.

(a) ILANUD

ILANUD is a UN organization based in San José, Costa Rica, which provides training and technical assistance for identifying and addressing problems of criminal justice systems in Latin America.

(b) Center for the Administration of Justice at Florida International University (CAFJ/FIU)

A cooperative agreement between FIU and A.I.D. has been building the capacity of that University through its Center for Administration of Justice. The Center provides services in supervising and updating justice sector assessments, support for national commissions concerned with promoting justice sector reform, and assistance for training needs assessments. FIU has already assisted in the 1989 assessment of the Dominican justice system. In time, FIU can be expected to gain the capacity to respond to a broader range of technical assistance requirements.

(c) Florida State University/ Caribbean Law Institute (FSU/CLI)

An A.I.D. cooperative grant has been extended to Florida State University Law School working together with the University of the West Indies Law School to establish a Caribbean Law Institute. The focus of the Caribbean Law Institute is more on substantive legal reform in areas directly concerned with economic development such as commerce, trade and investment. While thus far the Institute has been concerned principally with the English-speaking Caribbean, other Caribbean countries are not necessarily excluded from participation.

(d) Inter-American Bar Foundation (IABF)

With A.I.D. support, the IABF has helped national and local bar associations in Central America and the Dominican Republic strengthen their capacity to carry out expanded programs on a self-financing basis. Such bar organizations have particular potential in the use of continuing legal education programs to improve the efficiency of lawyers and in the setting and enforcement of professional standards to improve the performance and ethics of the legal profession. The bar associations also have the potential to be proponents and advocates of justice system reforms. Of special relevance to this democratic initiatives project is the tie between "law related education", carried out by some bar associations, and the "democratic education" examined under this Project.

(e) Consultant Firms

Various consulting firms have expanded their expertise and acquired valuable experiences while performing A.I.D. contracts in administration of justice. They include Checchi and Company and the National Center for State Courts, among others.

(2) Electoral Processes

The LAC/DI Office also manages a regional project for assistance to democratic electoral processes:

(a) Center for Electoral Assistance and Promotion (CAPEL)

CAPEL is an international organization based in Costa Rica concerned with helping less developed countries strengthen their electoral systems. It has the capacity to provide training and technical assistance in support of such activities.

(b) Other Organizations

Among other organizations with similar capacity to provide technical assistance for strengthening of electoral systems are: International Foundation of Electoral Systems (IFES), and National Democratic and Republican Institutes (NDI/ NRI).

(3) Legislative Strengthening

This regional project, founded by the LAC/DI Office of A.I.D., has enlisted the services of certain US-based institutions to enhance the ability of LDC legislative leadership to understand the restraints on performance of their legislatures and to identify activities they should promote to overcome these restraints.

(4) Financial Accountability

This regional project of the LAC Office of A.I.D. provides technical assistance through Price Waterhouse to help countries improve their financial management systems in order to prevent waste, corruption and fraud.

(5) Other Regional Projects

Two projects of the LAC Office of A.I.D. are oriented specifically towards Central America. However, their experience could be useful outside that region, too. They are:

a project with the American Bar Association for development of arbitration as an alternative dispute resolution system; and, a project concerned with "Political Parties and Democracy" working toward internal reform of political parties interested in enhancing their capacity as participants in the democratic process.

Other important activities of support to regional democratic initiatives sponsored by the LAC Office of A.I.D. are concerned with the promotion of free press and the relationship between military and civilian authorities in democratic governments (implementing agency is The American University).

The Office is also considering new regional projects to provide assistance in the areas of democratic education and participation, local/municipal governments, and public administration.

2. United States Information Service (USIS)

Through the foreign visitor programs and programs for the exchange of university professors, USIS has the capacity to be of help in support of democratic initiatives activities under the proposed project. It is understood that USIS as well as the U.S. Embassy and the USAID Mission in the country will be represented on an interagency committee to coordinate U.S. government-sponsored activities in support of democratic initiatives in the Dominican Republic.

G. Activities of Other Donor Agencies

Several multilateral and bilateral international agencies have given, or are still giving, support to activities in the field of democratic initiatives in the Dominican Republic. Hereunder we present some of the most important of these activities.

1. German Political Foundations

The three main political parties of the Federal Republic of Germany (the Christian-Democratic Union, the Social-Democratic Party, and the Liberal Party) each operate their own political foundations with national and international programs.

a. Friedrich Ebert Foundation

This foundation has been operating in the Dominican Republic since the early eighties. In the past, it developed projects with the PRD (support to its Political School), with the Unión General de Trabajadores (UGTD), with

government institutions (a training course for diplomats with the Ministry of Foreign Affairs), as well as with different private groups and institutions, such as Forum, Foro Urbano, Consenso Agrario, Plan Educativo, etc. It has also sponsored a study and workshop program on elections.

At present, the Ebert Foundation continues to support Foro Urbano, Consenso Agrario, and Plan Educativo, among others. With the PRD, it is negotiating the possibility of resuming its support to the Political School, and for the time being, it is sponsoring the participation of PRD leaders in Executive Training Courses in Venezuela, and organizing a few workshops for leaders in the interior of the Dominican Republic.

b. Konrad Adenauer Foundation

This foundation has maintained relations with the country since the sixties, and has given support to the Social- Christian movement: to the Partido Revolucionario Social Cristiano (PRSC), the Confederación Autónoma de Sindicatos Cristianos (CASC), the Federación de Ligas Agrarias Cristianas (FEDELAC), and the Instituto de Formación Agraria y Sindical (INFAS). At present, it gives assistance to the Partido Reformista Social Cristiano (PRSC) through its Instituto de Formación Política (IFP), and maintains its support to CASC and INFAS. Its main line of work is to help the PRSC in its efforts to modernize its party organization, to train qualified political leaders, and to define a political program.

c. Friedrich Naumann Foundation

This foundation is linked to the Partido Liberal La Estructura, the Fundación Pedro Francisco Bonó, and the Fundación para el Desarrollo de la Juventud Rural (FUNDEJUR). In coordination with the Bonó Foundation, it has developed political training programs for the leaders of La Estructura, by way of specialized courses and seminars on liberalism, economic integration of the Caribbean, and other topics. Through FUNDEJUR, it maintains a strong training program for promoters of government agencies and NGOs that work in the rural sector, as well as for leaders of peasant associations and agricultural cooperatives.

2. <u>United Nations Organization</u>

a. United Nations Development Program (UNDP)

Besides its traditional support to development projects during President Balaguer's administration that began in 1986, UNDP has become the international agency with the greatest influence on structural reform of the Dominican economy (tariff and tax reforms, and industrial reconversion).

There are reasons to believe that UNDP would be willing to contribute to other institutional reforms, specifically political reforms.

b. Latin American Institute of the United Nations for Crime Prevention and Treatment of Offenders (ILANUD)

This organization has collaborated with the study of the Dominican judiciary system, and with the formulation of a constitutional reform project regarding the Judiciary. In these activities, ILANUD has received support from A.I.D., through its regional program for the improvement of the administration of justice in Latin America and the Caribbean.

3. Organization of American States (OAS)

OAS has had significant influence on different areas of the country's institutional development. It played a predominant role in the design of the Dominican electoral system and in the organization of the first democratic elections in 1962 and later on, when Electoral Registration was introduced. Both directly and through the Centro Interamericano de Asesoría y Promoción Electoral (CAPEL), it has maintained its links with the Dominican electoral process.

4. Spanish Cooperation

The Institute of Ibero-American Cooperation (ICI) and its Agency for International Cooperation maintain active relations with different government agencies and private Dominican groups through its local office, as well as from its headquarters in Madrid. One of the important areas of Spanish assistance to the country has been municipal development, particularly through several projects with the Ayuntamiento of the National District. At a more general level, ICI has promoted several Encounters with Democracy Europe-Ibero-America in Madrid, as well as symposia on electoral systems and political representation in Latin America, in collaboration with the Friedrich Ebert Foundation. Dominican participants attended these meetings.

5. American Institutions

a. Inter-American Foundation (IAF)

IAF has been linked to the country for a long time, as sponsor of community development projects for the benefit of the lowest income groups among the population. In conformity with its philosophy of work, it is possible to coordinate activities with this foundation to improve self-management skills of these groups, and to develop closer

links between them and the municipal governments, as well as with the agencies of the central government.

b. Ford Foundation

This foundation supports a regional research project on new urban social movements. The Dominican part of this project is implemented through the FLACSO-Dominican Republic project.

c. The Carter Presidential Center, Emory University

The Carter Center has rendered precious services to the electoral process of the country, particularly during the past elections of 1990, when it had to play a role of supervision, and practically of arbitration. Recently, it has been mentioned, together with CAPEL and the Commission of Elections of Costa Rica, as one of the possible external actors that might counsel Dominican institutions in their efforts to reform the electoral system before the next elections of 1994.

It is important that the Democratic Initiatives Support Project establish contact with these and other donor agencies and institutions interested in the Dominican Republic, in order to coordinate all efforts for the development of democracy in the country. This coordination could be achieved by a mutually agreed upon division of the fields and areas to be supported by each agency, or through the development of joint action programs. The basic philosophy of the present Project is to facilitate and deepen Dominican democratic initiatives. However, the field is so wide, and the volume of required technical and financial resources is so large, that no single effort will be sufficient. On the other hand, the maintenance and deepening of the impact achieved by the Project throughout its ten years of duration will require that other international and national agencies and institutions guarantee its continuity beyond the date of termination of the Project.

III. IMPLEMENTATION PLAN

A. General Description

As explained in Chapter II, the nature of the Project itself demands a design with enough flexibility to respond continuously to the changing circumstances of the Dominican social and political environment. This is why the implementation plan will be based on Annual Working Plans taking into account the annual analyses to be conducted by PUCMM. These Annual Plans will be prepared on the basis of the Project's goals and objectives, on the one hand, and on the political and social circumstances of the moment, on the other hand.

1. Implementation Plan

The Project will be implemented in four phases:

a. Preparatory Phase for Implementation (March-June 1992)

As soon as the agreement between A.I.D. and PUCMM is signed, and following the procedures outlined hereafter, the Consultative Council and the Operational Unit of the Project will be constituted. Also, its Executive Director will be appointed, and the personnel selection process will be initiated for the different functions required for the implementation of the Project.

During this phase PUCMM, with the approval of the Consultative Council and of A.I.D., will appoint those members who do not belong ex-officio to the Project's Proposal Selection Committee. Also, formal procedures will be designed for the reception, revision and approval of proposals for sub-grants. To this end, the Operational Unit will prepare a Manual of Participation and a Guide for the Preparation of Proposals for the institutions wishing to submit proposals to the Project.

During this phase, the Executive Director of the Project, jointly with the Consultative Council, will prepare the Annual Working Plan for the First Stage (July 1992-May 1993) of the Initial Phase of the Project. This Annual Working Plan will establish the priorities for action for the first year and, like all the subsequent ones, will be submitted by PUCMM to A.I.D. which, within 21 days, will inform PUCMM, in writing, of its approval or not.

One activity that will have to start in this phase (and continue throughout the Project), is the promotion of the Project itself so as to guarantee that all institutions that might be interested in participating in its implementation are duly informed of the opportunities it offers, besides the

continuous dissemination of an adequate image of the Project, thus ensuring the broadest possible basis of support. This task is the responsibility of the Operational Unit, under the guidance of the Consultative Council. To this end, the Operational Unit will be equipped with the necessary resources to issue publications, promote meetings, organize events, conferences, workshops and seminars intended to achieve the above mentioned objectives, i.e. to inform those interested and to obtain the broadest possible support.

It is expected that by July 1992, the majority of private institutions interested in submitting proposals will be ready to submit specific projects, or will already have done so. It is imperative that by that date all agencies and procedures involved in the revision and approval of sub-grants will have become fully operational, and that the funds corresponding to this phase of the Project will have been made available.

The work of information collection will also have to be initiated during this phase. Likewise, the Project will have to start the design and implementation of a survey program to measure the impact of the Project. Work will be started with the baseline survey. The Operational Unit will be responsible for starting all these activities. For more details on this survey plan, see Annex F.

b. Initial Phase (July 1992-May 1994)

This phase will be divided in two stages:

(1) First Stage (July 1992-May 1993)

During the first stage of the Initial Phase, at least one initiative should be started up in each one of the priority activities selected as objectives for this Initial Phase within the Working Plan for the period July 1992-May 1993. This will have to include activities in the area of education for democracy, as well as in the field of State reforms.

During this stage, the collection of data and information initiated during the Preparatory Phase will have to be completed. The maintenance of this data bank will require continued action by the Operational Unit of the Project.

At the end of this stage, PUCMM and A.I.D. will have to internally evaluate the impact achieved during implementation. Likewise, they will have to analyze the national socio-political situation, which will serve as a basis for the formulation of a strategy and a Working Plan for the year June 1993-May 1994. The procedure for internally evaluating the

implementation and results of the Annual Working Plan, and for analyzing the national socio-political situation, will be a standard procedure that will have to be repeated at the end of each year so that its results may serve as a starting point for the formulation of the strategy and the Working Plan for the next year. These internal evaluations will be conducted by the Operational Unit, which to this end may hire the services of experts able to report on the national socio-political situation.

(2) Second Stage (June 1993-May 1994)

During this stage, emphasis will be put on those activities which tend to contribute to a satisfactory electoral process for the Dominican political community, as well as on activities of education for democracy. A basic assumption of this Project is that the activities of education for democracy will retain a high priority throughout the development of the Project.

Moreover, PUCMM - with the approval of the Consultative Group, and with no objection from A.I.D. - will have to determine in each case which line of action is most appropriate to promote those democratic initiatives and reforms which best guarantee the achievement of the Project's objectives in the long term.

During this stage, in the first months of 1994, the first periodic survey will be held.

c. Intermediate Phase (June 1994-May 1998)

Whatever the result of the 1994 elections, it is expected that the changes produced in the institutional environment, in the internalization of democratic values, and in the levels of articulation and strengthening of civil society will have the anticipated positive effect on the operation of the Dominican political system and on society as a whole which, in 1998, will have to conduct a more satisfactory electoral process from the democratic point of view.

During the first months of this Intermediate Phase, from June to December 1994, the first external evaluation of the Project will take place. The results of this evaluation will allow for the preparation of the strategy to follow until May 1997.

In the first months of the year 1996, the second periodic survey will be carried out.

At the end of the fifth year of implementation of the Project, from January to May 1997, the second external evaluation will be conducted, which will serve as

a basis for preparing the strategy for the next four and a half years of the Project.

In the first months of 1998, there will be a third periodic survey.

d. Final Phase (June 1998-March 2002)

It is difficult to forecast the social, political, cultural and economic situation of Dominican society of mid-1998. As will have been done annually, PUCMM and the Consultative Council, together with A.I.D., will have to evaluate the situation and revise its strategy so as to make it responsive to the reality of the moment, as well as to determine the most adequate course of action to be taken under the given circumstances.

During the second half of 1998, the fourth and last periodic survey will be held. At the end of this Final Phase, in the year 2002, the final external evaluation of the Project will be conducted.

For a synoptic view of the entire implementation plan, see Annex B.

2. Decision-Making Structure of the Project

The nature of the Project demands a decision-making process that is fast and independent, and that readily responds to the changing socio-political circumstances of the country.

The recommended structure for the Project under consideration:

- A Consultative Council
- An Operational Unit
- A Selection Committee.

a. The Consultative Council

During the design stage of this Project, it was understood that its particular nature demanded the broadest possible support at all times, and that mechanisms were needed to remain permanently in touch with the socio-political reality of Dominican society. In order to guarantee this support to the Project, which in itself should constitute an example of democratic participation, it was determined that the Consultative Council should be composed of 21 members.

The members of the Consultative Council will be selected by PUCMM, with the approval of A.I.D., and chosen among persons known to be interested in the goals of the Project. For the success of the Project, it is of utmost importance that the Consultative Council be composed of persons with diverse political opinions, and representative of the largest possible variety of social sectors, obviously with the assumption that they all have a basically democratic orientation. The members of the Consultative Council will be appointed for a period of one year. They will be notified of their appointment by a letter jointly signed by the Director of A.I.D. and the Rector of PUCMM. The first Consultative Council will include many of the members who formed the Consultative Group that was charged with designing the Project. Once established, the Consultative Council will prepare its internal operating regulations.

The main functions of the Consultative Council will be as follows:

- To give advice on the policies, goals and standards of the Project.
- To guarantee the widest possible participation of national institutions and sectors in the implementation of activities tending to strengthen democratic institutionalism.
- To propose new initiatives that enrich the Project and help it reach its objectives.
- To contribute to a better image of the Project within Dominican society.
- To follow up on the progress of the Project, in order to guide its orientation in conformity with Dominican political culture, and with the goals and objectives assigned to the Project.
- To examine and to give their opinion on the recommendations of the Proposals Selection Committee.
- To approve the Annual Working Plans submitted by the Operational Unit.
- To receive the quarterly technical and financial reports prepared by the Operational Unit, as well as the periodic evaluations of the Project.

b. The Operational Unit at PUCMM

The Operational Unit, created to this effect by PUCMM, will be directly responsible for the administration of the Project.

The Operational Unit will have the following functions:

- To direct all aspects of the Project.
- To project the image of the Project and to promote the Project itself.
- To administer the funds and to exert financial supervision of the Project.
- To supervise the implementation of the Project and of each one of its activities.
- To maintain close contact and relations with the community.
- To coordinate the technical revision of the "proposal profiles" and of the "definitive proposals" presented to the Project for obtaining sub-grants. This process includes the reception and analysis of proposals submitted by institutions, as well as the appropriate processing of the same, and the preparation of any necessary documentation.
- To continuously review selection criteria for sub-grants, and to facilitate feedback to other instances.
- To convene meetings and to prepare the agenda of the Consultative Council and of the Proposals Selection Committee.
- To prepare, jointly with the Consultative Council, the Annual Working Plans to be submitted by PUCMM to A.I.D.
- To prepare the quarterly technical and financial reports to be presented to the Consultative Council and to A.I.D.

- To perform the annual internal evaluations.

- To coordinate with A.I.D. all necessary steps to ensure a good administration of the Project.

This Unit will remain under the responsibility of a Director, with direct supervision by the Executive Vice-Rector of the Recinto Santo Tomás de Aquino of PUCMM, as this University is the institution responsible to A.I.D. for the Project. Moreover, it will have an Administrative and Finance Office, with the necessary legal counsel and support of an Auditing Office, which will report to the Executive Vice-Rector. The necessary staff will be provided to execute each of these functions.

The Director will be responsible for the fulfillment of the above mentioned functions of the Operational Unit, and will ensure that the program in its totality complies with the strategy and objectives agreed upon in this grant agreement. The Director will also supervise the general implementation of the Project. Two more of the Director's functions will be to act as ex-officio coordinator of the Proposals Selection Committee and as Secretary of the Consultative Council.

Likewise, the Director will be responsible for obtaining a consensus on matters that are important to the goals of the Project, and will generate as much goodwill and as many professional relationships as possible among the political community, with the representatives of the Dominican Government, and with institutions interested in participating in the activities of the Project.

Within PUCMM, the Executive Vice-Rector will be responsible for permanently ensuring that the Operational Unit follows the procedures and execute the policies established by itself and by A.I.D., so as to guarantee the proper operation of the Project.

With the counsel of the Auditing Office, the Executive Vice-Rector will coordinate the internal audits that PUCMM will have to carry out both of the Operational Unit and of the institutions receiving sub-grants. The Executive Vice-Rector will also be the institutional representative of PUCMM for the administrative requirements of the Project. Finally, the Executive Vice-Rector will ensure the continuity of the Project's implementation under any circumstances.

c. Selection Committee

The Selection Committee will be composed of the Director of the Operational Unit, as ex officio coordinator, and of three members chosen by PUCMM, with the Consultative Council and A.I.D concurrence. The A.I.D. Project Officer will participate as an observer in the deliberations of the Selection Committee.

In the case that a conflict of interests should occur between a member of the Selection Committee and the institution submitting a proposal, this member will be substituted by another person designated by PUCMM with the approval of the Consultative Council and A.I.D., on an ad-hoc basis.

The Selection Committee will:

- Examine all proposals for sub-grants to implement democratic initiatives submitted for its consideration by the Director of the Operational Unit.

- Evaluate whether the proposals submitted for its consideration are in line with the purposes and strategy of the Project.

- Evaluate the technical and financial aspects, as well as the feasibility of any proposal submitted for its consideration. To this end, when necessary, the Committee may request advice from the staff of the administrative and finance offices, of the auditing office, and of the legal counsel of the Project.

- Evaluate the administrative capabilities of the institutions submitting proposals for implementation, as well as their financial viability. To this end, the Committee will seek all necessary advice.

- Submit the proposals it has evaluated, together with its opinion, to the Consultative Council for review and decision by the latter.

When analyzing a proposal, the Selection Committee will be allowed to seek the advice of independent experts for special required tasks and analyses.

3. Purchases With Project Funds

The purchase of goods with A.I.D. funds will be regulated by A.I.D. procedures and regulations.

No need is anticipated for important purchases of durable goods with A.I.D. funds throughout the life of the Project, with the exception of the acquisition of a few pieces of equipment necessary for the operations of the Operational Unit.

B. Selection of Activities

1. Prequalification of Sub-grantees

In general terms, for a private Dominican institution to qualify for a sub-grant of Project funds, it has to demonstrate that it possesses formal legal status in conformity with the Dominican laws; that the nature of the activities it has undertaken to date enables it, in the opinion of the Selection Committee, to carry out the proposed activity, and that it possesses the necessary financial and administrative management skills to perform the activity.

As part of the Manual of Participation, the Operational Unit, with USAID concurrence, will prepare the criteria of prequalification for institutions to receive sub-grants from the Project.

In all cases, sub-grantees will have to comply with the requirements established by Handbook 13 of A.I.D.

The Project will consider the possibility that the private Dominican institutions submitting proposals for sub-grants might have to include in these proposals the cooperation of institutions or experts from the United States or other countries with experience in this field.

2. Selection Criteria

In the evaluation of proposals for sub-grants, the following criteria will be used, among others which may be established by the Consultative Council:

a. That the activity proposed be consistent with the goal and purpose of the Project of contributing to the strengthening of the Dominican democratic system, of making it more trustworthy, effective and representative; of raising citizen awareness and participation; and, of improving the effectiveness and accountability of the government.

b. That the proposal be technically, financially, and politically viable; and that the contribution requested from the Project for the activity not exceed US$250,000.

c. That the activity be sponsored by a private Dominican institution with a proven record of achievement in the field concerned, and with a strong commitment towards democracy and the purpose of the proposal.

d. That the institution making the proposal contribute counterpart funds, in conformity with the guidelines set forth for the Project; and that said institution not receive more than 20 percent of the funds contributed by A.I.D. for activities during the life of the Project period.

e. That the action proposed be part of the priorities established for the Project, so as to avoid dispersion of its resources in too many different fields.

f. That, to the extent possible, the proposal multiply or catalyze other efforts.

g. That the proposal be the result of the broadest possible consensus or that it contribute to promote such consensus.

h. That, to the extent possible, the proposal be made by grassroots organizations, or take their priorities into account.

i. That the performance and impact of the proposed activity may be evaluated with objective indicators.

j. That, to the extent possible, the proposal be part of programs sustainable beyond the life of the Project.

k. That the proposal have as its first goal the public or common interest, rather than the defense of individual interests.

l. That no efforts be unnecessarily duplicated, and that, to the extent possible, efforts of different sectors, institutions, groups, and people be combined.

m. That the activity not consist exclusively of research.

The analysis of the indicators of social and political participation of women in Dominican society reveals a notable increase in the labor force; in secondary, university and technical education; in electoral registration and in the elections themselves; in participation in the electoral campaigns of the main parties, through their women's branches or

campaign committees; and in neighborhood grassroots councils, which are mostly inspired by women.

Therefore, one of the strategic objectives of the Project should be to promote initiatives that tend to remove the factors that influence the discriminatory situation to which Dominican women are subjected.

All of the Project's activities should put emphasis on the integration of women. Consequently, in the implementation of the Administrative Career, in the reform of the Judiciary, in the democratization of the political parties, in the activities of education for democracy, and in consensus-building activities, this purpose should always be present, and concrete actions should be considered to convert it into a reality.

3. Requirements for the Proposals

Private Dominican institutions, the only agencies entitled to apply for support from the Project, will submit their requests for collaboration to the Operational Unit of the Project, according to the two-phase process described below. The Operational Unit will supply interested institutions with a Guide for Preparation of Proposals covering the basic requirements of the Project for obtaining approval of a proposal.

The institutions concerned may submit their proposals at any time throughout the year. These proposals will be submitted in Spanish and will be reviewed by the Operational Unit of the Project.

This revision implies an initial screening by the Operational Unit of the Project, and a general evaluation by the Selection Committee, as explained below.

4. Process of Proposal Selection

a. Procedures of the Operational Unit, the Selection Committee, and the Consultative Council

Private Dominican institutions will submit their proposals in a two-phase sequence. In the first phase, they will present a two-page "project profile" in Spanish to the Operational Unit for comments, amendments and orientation. The Operational Unit will supply applicant institutions with a standard form to outline this "proposal profile".

The Operational Unit will review the "proposal profile" for preliminary evaluation, examining whether it is in line with the objectives of the Project, and whether it

is feasible for the financial capabilities and objectives of the proposing institution.

The Director of the Operational Unit will supply feedback to the applicant institution. This feedback will indicate the strong and weak points of the sub-grant's design, the sections of the proposal that need particular attention, and any changes suggested to the concept itself of the sub-grant. Whenever necessary, the Operational Unit will assist the proposing institution with the improvement and clarification of the submitted proposal.

If a proposal does not address the priorities, objectives and goals of the Project, or does not meet minimal technical or financial feasibility criteria, the Director of the Operational Unit will inform the applying institution of the non-acceptance of the "proposal profile". The Operational Unit will notify the Selection Committee and A.I.D. of all rejected "proposal profiles", with an explanation for each denial.

Each quarterly technical report prepared by the Operational Unit for the Consultative Council and A.I.D. will include a list of all the "proposal profiles" received during that period.

Finally, during the second phase, the Operational Unit will work jointly with the applicant institutions to develop a "definitive proposal", in Spanish, that complies with the requirements of the Project.

When the Director of the Operational Unit considers that a "definitive proposal" meets with the requirements, he/she will present it to the Selection Committee for review and recommendation.

After review by the Selection Committee, the "definitive proposal" will be sent with a favorable technical recommendation by the Committee to the Consultative Council, which will then decide on approval of the financing of the proposal with Project funds.

b. A.I.D.'s Right of Veto

After a "definitive proposal" has received the favorable technical recommendation of the Selection Committee and the approval of the Consultative Council, an executive summary of the same, presented with a special format to be prepared jointly by A.I.D. and PUCMM, will be submitted by PUCMM to A.I.D. A.I.D. reserves for itself the right to object, within fifteen days, to the approval of a proposal for a sub-grant, in the case that, in its opinion, some procedure or criterion agreed

upon between PUCMM and A.I.D. has not been complied with. In all cases, A.I.D. will accompany its approval or objection by a written answer.

c. Notification

Within sixty days of the date of presentation of a "definitive proposal", the Operational Unit will notify the applicant institution of the approval or rejection of its proposal. This notification will be in the form of a letter of approval or a letter requesting additional information or improvement of the proposal before final approval. When proposals are rejected, the reasons for the same will be included in this letter.

C. Administration of Activities

1. Financial Administration

All sub-grants included in this Project will be regulated by the administrative requirements of A.I.D., particularly those contained in its Handbook 13.

The Auditing Office, which reports to the Executive Vice-Rector of PUCMM, will exert internal auditing control over the sub-grants. These will also have to comply with the external audit requirements of the Project.

PUCMM will keep a special account for small initiatives considered necessary for the achievement of the objectives of the Project. Each initiative may not exceed US$10,000.00, and will be administered by the Operational Unit, with the advice of the Consultative Council. The number of projects of this kind to be financed every year will be established by PUCMM, with the approval of the Consultative Council and A.I.D., within the framework of the Working Plan for every year.

In order to respond to the interests of community-based and popular groups and associations whose participation is indispensable for the achievement of the objectives of the Project, either one of the following mechanisms may be used: a) to use the special account for small initiatives mentioned in the previous paragraph and whose administrator will be the Operational Unit; or b) to encourage community-based and similar groups to channel their requests through organizations possessing the necessary administrative and financial systems and controls to become beneficiaries of sub-grants from this Project. With this second mechanism, the latter organizations would have administrative and accounting responsibility for these sub-grants.

2. Purchase of Goods and Services for Activities

No purchase of equipment and other durable goods is considered in support of the activities of the sub-grantees.

3. Follow-Up on the Progress of the Activities

PUCMM, through its Operational Unit, will be responsible for following up on and supervising the development of activities undertaken by the institutions that the Project collaborates with in the field of democratic initiatives. To this end, the institutions receiving sub-grants will have to present to the Operational Unit quarterly technical and financial reports. The necessary administrative, financial and evaluation mechanisms will be designed and clearly established in the Manual of Participation.

4. Evaluation of Activities

Each proposal submitted for the consideration of the Operational Unit must contain a plan to evaluate its impact on and contribution to the objectives of the Project.

D. Evaluation of the Project

The nature of the Project requires close monitoring and evaluation to ensure that the best possible use is made of existing opportunities. To this end, the preparation of technical and financial reports is scheduled, as well as two types of evaluations: internal and external.

The internal evaluations of the Project will be performed at the end of each year and will serve as bases for the preparation of the Annual Working Plans for each subsequent year. These evaluations will be the responsibility of the Operational Unit.

PUCMM, through its Operational Unit, will prepare and present to the Consultative Council and to A.I.D. quarterly technical and financial reports, in view of carrying out adequate follow-up and control of the progress and activities of the Project.

The external evaluations will be conducted by a team of experts external to the Project and will be contracted for directly by A.I.D. These external experts will examine the results of the Project at its different stages in light of the conditions existing at any time in the Dominican Republic.

Three external evaluations are scheduled: the first one at the beginning of 1994, the second at the beginning of 1998, and the third and last one in 2002.

Besides these internal and external evaluations, it should be taken into account that a program of periodic surveys will be carried out to measure the impact of the Project. This program of surveys should start with a baseline survey at the beginning of the Project, in 1992. Together with previous information collected from other sources, it will allow for the creation of the necessary database for the condition of democracy at the beginning of the Project, in order to determine how this condition is modified as the Project evolves. During the life of the Project, four more surveys will be held; they will be scheduled strategically so as to evaluate the achievements and impact of the Project.

Annex B presents the time sequence for these follow-up and evaluation activities programmed throughout the Project, while Annex F lists the main indicators to evaluate the impact of the Project, as well as the detailed program of its surveys.

E. Audit of the Project

The Project will be audited annually in all its aspects and levels by a firm of external auditors in accordance with the "Guidelines for Financial Audits Contracted by Foreign Recipients" issued by USAID's Inspector General. Sub-grantees receiving $25,000 or more per year will also be subject to the annual audit requirements of these guidelines. On the other hand, the Auditing Office, which reports to the Executive Vice-Rector of PUCMM, will be responsible for the internal financial review of the Operational Unit and will have oversight over project sub-grants. Close coordination will be maintained between the internal accountants and external auditors so that requirements of the Project are adhered to.

IV. SUMMARY OF THE MAIN ANALYSES OF THE PROJECT

A. Analysis of Technical Feasibility

1. Introduction

The analysis of technical feasibility covers the following points: the first part is dedicated to a selection and exhaustive analysis of priority illustrative activities of the Project and is found in Annex C. These fields of activity have been put in hierarchical order, according to the Project's priorities of implementation for the next three years, in order to strengthen strategic objectives that have already been partially programmed. The second part is an evaluation of the mechanism to administer the Project. The third part is an analysis of the global socio-political feasibility and of the impact of the Project. These latter two points are covered in some detail in the following paragraphs.

2. Feasibility of the Mechanism to Administer the Project

The analysis of the institution that will administer the Project, PUCMM, documents in detail the reasons that led the Consultative Group to recommend to A.I.D. the selection of this institution as the responsible agency for the administration of the Project. The details of this administrative, legal and institutional analysis can be found in Annex E.

The legal status, administrative capabilities, financial control and accounting systems of the institution are discussed, as well as its availability of adequate staff to manage a project of this kind.

Additionally, through the design of a decision-making structure with effective checks and balances, the Operational Unit of the Project will have the necessary independence. It will be located at a site (Recinto Santo Tomás de Aquino) that is accessible to the main users of the Project, which also possesses administrative and support facilities, as well as physical space for the events that are indispensable for its adequate operation.

The administrative, legal and institutional analysis provides a list of collaborative projects implemented between PUCMM and A.I.D., some of those with objectives and activities corresponding to those of the Project itself, as is the case of courses offered to legislators, as well as the strategy applied to the approval of the Civil Service Law and the Administrative Career. This background offers an additional

guarantee for the success of the Project, especially as far as the efficient and scrupulous management of resources and the achievement of objectives are concerned. For more details on the strategy followed for the approval of the Civil Service Law and the Administrative Career, see Annex G.

All of the above vouches for PUCMM as a reliable administrator of the Project. However, three additional factors should be added that were present in the minds of the authors of this option within the Consultative Group:

a. The recognized capacity developed by PUCMM to mobilize the main social and political actors of the country, and to bring them together to undertake a pluralist dialogue and to reach concerted agreements.

b. A track record of promotion of this kind of effort developed by the institution, especially in the fields of structural reforms of the economy and institutional reform, the two pivots of modernization and democratization of the economy, of society, and of the State.

c. The ability shown by the institution to follow up on and to translate agreements into concrete results.

In summary, the design of the decision-making structure offers guarantees of operational autonomy (Operational Unit), professional, institutional, social and political representativeness (Consultative Council), as well as the necessary technical solvency (Selection Committee) for the management of the Project.

This organizational model and the scheduled procedures will be appropriate and functional for the type of activities considered priorities for the Project.

3. Socio-Political Feasibility of the Project

Favorable conditions exist to convince a good part of the Dominican social and political actors of the need and reasons to carry out reforms. Nevertheless, warning should also be given about some obstacles:

a. Although there is a broad feeling that reforms are necessary, certain key political forces are still not aware of this need. However, there are also some positive signs. The fact that both Houses are chaired by two young leaders who have shown independence of judgment and action within their respective parties, PRSC and PRD, demonstrates that not everything is uniform in these organizations. These two leaders have shown themselves to be in favor of promoting reforms in Congress. In addition, President Balaguer recently charged a

commission of his party, the PRSC, with preparing a project of electoral reform. Finally, the President of the PRD has reiterated his offer to initiate a direct dialogue with President Balaguer to agree upon concrete reforms.

b. Two other factors could hamper political reform. One is the so-called "zero-sum culture" that rules the behavior of the main actors of the political game. Everybody aspires, sooner or later, to occupy the Presidency and to enjoy the constitutional and de facto privileges of power provided by centralizing the presidency. The result is that those who have control of the Executive despise agreements with the opposition; the latter, in turn, systematically blocks the Executive branch. The consequence is a political system with a lot of "inputs" and few "outputs", for lack of practice in bargaining or in reaching agreements, of a dialogue between competition and cooperation. The other factor has been, until now, a direct derivation of the first one. It is the bottleneck that chokes political dialogue at the top level of national political leadership.

c. Finally, one more element to take into account is that of the internal conventional processes that take place in the three main parties, as far as the possibilities of democratization of the parties themselves is concerned. While in the PRSC, Balaguer's own withdrawal from the race for the presidential nomination for 1994 might open up a competitive process of internal primary elections, the reiteration of Bosch's nomination as the presidential candidate of the PLD could generate strong tensions in this organization and even threaten to break it up. On the other hand, the virtual proclamation of Peña Gómez as the presidential candidate of the PRD, without any contender at all, would represent a regression in the levels of internal openness exhibited by this organization in the past decade.

These scenarios and the logic that will preside over the movements of each of the political actors during the initial stage of the Project (the next three years) will, thus, have to be taken into account in order to avoid any naive approach to the reform process. It is necessary for the Project to support Dominican initiatives to motivate the political will of the leaders, to facilitate agreements, to join forces, to inspire a moral citizen opinion, and to promote concrete steps in the right direction.

Consequently, to be successful, a strategy for reform should consider the following steps:

(1) To define an Agenda of Reforms, with duly motivated items and a hierarchy of topics.

(2) To document certain reforms that are still in a

"raw" stage and have hardly reached the level of general statements.

(3) To establish basic agreements among the key actors concerning minimum concrete reforms, and translate them into concerted proposals.

(4) To massively disseminate these proposals in order to generate feedback.

(5) To concretely implement these proposals.

Hence, the expected socio-political and economic impact of the reforms promoted by the Project may be considered as extremely positive:

a. The electoral reform - besides direct political benefits for the system - could also be translated into quantifiable economic and social advantages, if one thinks of the virtual paralysis of the economic actors, especially investment and transactions of all kinds, that occurs during the pre- and post-electoral crises that happen every four years.

b. The introduction of the Civil Service Law and the Administrative Career should be translated into a more efficient and professional bureaucracy, with better services for the population, a reduction of operational costs (both of staff and of procedures) and of the levels of corruption. This is especially true at the Ministry of Finance and its collector agencies, where administrative reform will be implemented as a priority.

c. A functional, accessible and fair judiciary system, with laws that are up-to-date and well-known to the population, professional and independent, would make life in society more civilized and more secure for the people and for all activities that are objects of judicial action.

d. The strengthening of the role of Congress and the reforms, both legal - the Budget Law - and constitutional, that reduce the discretionary power of the President in the management of public expenditures, would facilitate the achievement of a more balanced distribution of budget resources, giving priority to areas such as education, health and energy, which have been clearly neglected in the last years, not to mention the expenditures in social security, justice, public transportation, and municipal services. This strengthened role would also reduce the current centralized and biased use of expenditures with all its negative consequences.

e. The development of effective consensus mechanisms would not only be a functional part of institutional reform as

such, but should also lead to a lower number of general and partial strikes, and thus reduce social costs and losses of man-hours of work. One should remember that during 1991, in only one month, three general strikes were called, each one lasting 72 hours.

f. A system of more open, more inclusive, internally competitive parties would produce better leaders and more representative, qualified candidates. The political system, in turn, would become more responsive to popular demands and more flexible in the production of representation if the system of representation in Congress and in the municipal governments underwent some practical and functional modifications.

g. Finally, the whole series of reforms being considered complements the structural reforms of the economy that are now being implemented. A more open and more competitive economy, with a more dynamic role for private business, requires a State that intervenes less and is more democratic, more efficient, with a better qualified and better served population, satisfied and participative, equipped with a broad network of intermediate and grassroots organizations that articulate sectorial interests and make them cooperate within an agenda of development for the next decade.

B. Institutional Analysis

1. Introduction

The institutional analysis contained in this summary was part of the work commissioned by A.I.D. that served as a basis for this grant proposal for the Project.

The consultant's report included a listing of Non-Governmental Organizations (NGOs) and Private Voluntary Organizations (PVOs) that were identified in the Dominican Republic as possible participants in the implementation of the Project's activities. Moreover, a list was added of PVOs that had already been put on the list of eligibles maintained for these purposes by the A.I.D. Mission. Other types of institutions were also mentioned that, given their nature, could contribute to the dissemination the Project and broaden the scope of its impact.

The following eight NGOs were submitted to an institutional analysis: Centro de Investigación y Estudios de Derecho Empresarial, Centro de Orientación Económica, Fundación Economía y Desarrollo, Fundación Institucionalidad y Justicia (FINJUS), Fundación Siglo 21, Centro de Investigación para la Acción Femenina (CIPAF), Centro Dominicano de Organizaciones de Interés Social (CEDOIS), and Instituto de Entrenamiento de Líderes.

2. Guide for Analysis and Presentation

The consultant prepared a guide to the structure of institutional analysis visits to the different organizations included in the sample. This guide was analyzed by the group of consultants who carried out the different assignments, jointly with the representatives of PUCMM, the managing agency of the Project.

This guide will serve as an instrument to analyze those NGOs which, in the future, might want to participate in the Project and were not included in the first group of analyzed NGOs.

3. Purpose of the Institutional Analysis

The purpose of the institutional analysis was to identify a number of NGOs/PVOs that might be considered as eligible and apt to participate in the Project, and would justify the design of a sub-granting mechanism aimed at institutions that develop Project activities. Moreover, the analysis offers information on the degree of institutional development of these institutions, in view of helping the specialists who prepared the grant proposal, with the formulation of control systems and operational forms corresponding to the reality of existing institutions.

The institutional analysis that was performed of the eight organizations mentioned above included the following sections: 1) General information, such as the operation start-up date, date of incorporation, fiscal year of operation, address, and telephone numbers; 2) Philosophy and strategy, with a description of the principles on which the raison d'être of the organization is based and its actions; 3) Institutional life, with a description of the organization's hierarchy and its cooperation agreements with other organizations and agencies; 4) Organizational structure, including a detailed description of the staff employed by the organization; 5) Planning of the NGO's activities; 6) Methodologies and systems developed by the NGO for its activities; 7) Programs developed by the organization, or contemplated for the immediate future; 8) Finances, including information regarding financial statements; and, 9) Evaluation and control of implemented activities and programs.

4. Conclusions

The document concludes by acknowledging that there is a new type of NGO in the Dominican Republic, and describes this new group of NGOs that has emerged in the last five years. They are characterized by their use of mass media, by their activities aimed at influencing legislative and policy decisions,

and by their efforts to achieve a more democratic and modern society.

It should be noted that there is a coincidence between the leadership of these new NGOs and those which in the past initiated or supported the creation of more service-oriented and philanthropical NGOs.

The institutional analysis of the different NGOs in the country leads to the conclusion that the Dominican Republic indeed possesses adequate institutions to carry out the Democratic Initiatives Support Project, through agencies that will be sub-grantees of PUCMM, the managing entity of the Project.

PUCMM will play a very important role, as it will be in charge of the follow-up and control that are necessary for the success of the Project. Moreover, for an international donor it is very convenient to be able to rely on the proven expertise of this institution and on the adequate supervision it can provide. (Regarding the conditions of PUCMM as managing institution of the Project, see Section A of this Chapter: Analysis of Technical Feasibility).

Finally, giving priority to institutions with broad-based popular participation has been suggested, so that they themselves can be models of democratic culture that then influence the rest of society.

C. Political-Institutional Analysis

The challenge to democratize and make the Dominican political system more efficient implies a preliminary political and institutional analysis from a "political engineering" point of view. This approach is implemented through a review of the institutional regime with the purpose of identifying problems, proposing possible solutions, and examining concrete and feasible possibilities of intervention in political reality.

In order to democratize a system from the institutional point of view, mechanisms should be found to stimulate political participation and to improve the quality of representation. To obtain increasing degrees of efficiency in the adoption and establishment of public policies, it is necessary to improve the methods used to manage and operate political institutions.

The institutional form adopted in the Dominican Constitution is the presidential model, based on the principle of representative democracy. There is no other means of direct political participation outside the elections, which is the way that two of the three branches of government are generated. During the intervals between elections, participation is nil.

Electoral participation in the last five elections, on average, has shown a decreasing tendency. In 1990, absenteeism reached 40%, i.e. a net increment of 12%. One of the institutional variables that has had the most influence on this phenomenon is the type of electoral registration used. Indeed, it is the citizen who has to take the initiative to be recorded on the voting lists. This system increases the "cost of voting".

The Dominican electoral system is a source of dissatisfaction. Electoral registration is not perceived as trustworthy. The existence of two pieces of identification, and the separation between civil and electoral registration create real possibilities of manipulation by the party that occupies the Executive. Electoral administration and justice, headed by the "Junta Central Electoral", are very inefficient, and the mechanisms to appoint its members generate a lot of distrust among the participating political parties. Its lack of resources and of economic control, imposed by the Executive Power, further contributes to the deterioration of its image and operations even more.

All these factors create an atmosphere of conflict before, during and after the elections.

The party system has undergone profound changes since 1978. From a two-party system, it has evolved into a moderate multi-party system. The fragmentation of the voters' preferences becomes manifest in the constantly narrowing gap of votes between the first and the second majorities. This factor contributes to the difficulties that the elections have to face.

There is an increasing lack of faith in political parties. Their lack of internal democracy in the selection of their own leadership and in the nomination of candidates is a crucial aspect that perverts the relationship between the people and its representatives. This relationship has become one of party-upper echelons governmental leader/"caudillo"-representative. The lack of organization and of institutionalization, the poor or non-existent political basis, the lack of a political program, the absence of an external body to deal with the claims of members and affiliates only strengthen oligarchical leadership.

The representative bodies clearly reflect these distortions. Presidentialism prevails in all "circuits" of the political system. The erosion of traditional leadership and the lack of enthusiasm that these leaders generate are translated into a Presidency that becomes less and less "representative" and is only the expression of a decreasing minority of voters. The other side of the coin is a weak National Congress. Conceived as a "plenary Congress" rather than a "Congress of commissions", it

is an inefficient structure, with few economic, technological and human resources.

The electoral formula of the majority that is used to form the Senate facilitates its domination by the party that obtains the Presidency of the Republic. The specific weight of the Senate's attributions enables it to control the Judiciary, the "Junta Central Electoral" and the Office of the Comptroller of the Republic. This is another element in the hypertrophy of the Presidency. Although the House of Representatives uses the proportional formula, the majority of constituencies are binomial, which favors the two main parties and punishes the others.

There are problems with the three dimensions of representation (representativeness, responsiveness and responsibility), and more particularly with the latter. The representatives are divorced from those who are represented. Elected officials become autonomous and do not feel obliged to account for their administration, which means that the voters give them "blank checks" upon electing them.

This institutional overview is not complete without mentioning the incompetence of public administration, whose members are recruited according to criteria of patronage, without any job security or possibility of receiving training. The centralization and concentration of power, both horizontally (within one branch of the State) and vertically (in the capital of the Republic), constitute obstacles to the development of a responsive attitude among the institutions and officials of the government.

While these are the main institutional problems, the possible solutions lie in the field of political reform. In spite of the increasing demand for change, the political decision-making centers have adopted an obstinate attitude with little inclination to agreement and compromise. Consequently, efforts should focus simultaneously on activities of institutional diagnosis and on the creation of a climate that would become progressively more favorable to reform.

The reform actions recommended aim at five directions: political parties, electoral system, representative bodies, administrative structure and procedures of the government, and decentralization and deconcentration of power. The purpose of this strategy of change is to increase citizen participation, and to make the leadership, the elective bodies and the governmental institutions more representative, responsive and responsible.

D. Analysis of the Project's Social Compatibility

A project that aims at supporting democratic initiatives in the Dominican Republic is both necessary and desirable in view of the problems that the country faces. At present, the large majorities of Dominican society feel dissatisfied with the inefficiency of the government and with its lack of responsibility and capacity to respond to the serious problems of the population. This is the reason why making the government more responsible and effective regarding social needs is essential for increasing the confidence of citizens in government institutions and in the democratic system.

A project of democratic initiatives currently faces very favorable conditions because several sectors of society, including businessmen, trade unionists, popular leaders, professionals, the media, and religious leaders, among others, have been demanding democratic changes. In more concrete terms, according to a survey sponsored by the El Siglo newspaper in July 1989, a high percentage of the population (73%) said it was in favor of big changes, 15% indicated that only some changes were needed, and 5% said that no changes were necessary. Political affiliation was the only variable that produced a certain variation in the attitude towards the need for change: the followers of the Partido Reformista Social Cristiano (PRSC) showed less inclination towards change. 56% of the followers of the PRSC felt that the country needed important changes. However, the survey did not indicate clearly what kind of changes were favored or needed.

It is often argued that in countries like the Dominican Republic, with a large population of poor people, democratic ideals cannot flourish because the destitute masses care more about solving their daily problems of subsistence than fighting for political ideals. Although this statement might be considered as an exaggeration, democratic development programs in the Dominican Republic should certainly contribute to transforming this pessimistic notion that democracy would only be possible under conditions of economic prosperity. It is important to undertake this task, above all because democracy is precisely the system that offers the best conditions to achieve sustained socio-economic development, in conformity with fundamental human rights. In other words, it is essential to fight the notion that in poverty only authoritarianism is viable, in order to not only consolidate democracy, but also to achieve a society that is more just in socio-economic terms.

It should be emphasized, nevertheless, that those who design and implement specific programs within the Democratic Initiatives Support Project should be aware of the ambiguities that the term democracy itself possesses in a society where authoritarianism has always prevailed. This leads to the

suggestion that all steps taken in favor of a democratic transformation should be accompanied by concrete efforts to make the new policies and institutions more effective and responsible towards social demands, so that the changes might be accepted. On the other hand, the activities aimed at democratizing the political system and social institutions should put emphasis on the normative dimension of democracy. Although it is true that democracy cannot guarantee higher levels of efficiency and effectiveness in public policy, authoritarianism cannot do so either. However, as far as authoritarianism is concerned, democracy has the advantage of being the system which, in the short and long terms, best guarantees economic development, together with the protection of human and political rights.

Although it is expected and desirable that democratic change be implemented as harmoniously as possible, a project of democratic transformation should contemplate the possibility that tensions and uncertainty might occur in a social and political context that has been profoundly authoritarian. Anyway, in the Dominican case, the choice is clear: either changes are implemented in the knowledge that tensions might occur, or the waiting continues without alternatives for the decomposition of the current political system with which many people are already dissatisfied. This is the dilemma that Dominican society faces in the nineties.

Although the surveys and day-to-day conversations seem to suggest that there is a great desire for change in the Dominican Republic, the kind of change that is needed is still not very clear. Surveys are not accurate on that point, while analysts, political scientists and politicians do not agree on the type of reforms that should be carried out. In fact, one might say that a large part of the population, including broad sectors of the middle classes with more access to formal education, ignore a lot of the functioning of the Dominican political system (its problems, authoritarian characteristics, democratic potential, etc.), as well as the reforms that might help to democratize it. This is why a democratic initiatives project should support activities that tend to disseminate knowledge about the current political system and propose alternatives for change.

E. Economic Analysis

The way in which economic development has occurred seems to contradict the determinism contained in the theory of the economic stages or the conditions for take-off as suggested by Rostow. In all developed countries, a social elite of a democratic or authoritarian nature seems to exist. This elite has an enormous faith in its capacities and in those of its people, is committed towards the progress of the nation, with a hopeful vision of the future.

To count on an elite, with the above noted characteristics and with a limited vision for understanding the historical moment and for formulating an adequate strategy, would be of questionable value. This is demonstrated by the fact that in this century, only a few countries have been able to initiate and maintain a sustained process of development.

When one studies cases of the industrialization process of societies that occurred during authoritarian regimes, there is a risk of forgetting that these nations once had an authoritarian political culture and that, independently from the degrees of freedom achieved at the moment of analysis, the process of industrialization and development obliged them to open up, either for political or economic reasons.

The erroneous interpretation of authoritarianism in the newly industrialized countries of Southeast Asia, or the use of comparative studies, have served as basis and stimulus for the theory of the conflictive nature between economic development and democracy, and for supporting the notion that authoritarianism would be a more adequate political arrangement than democracy to overcome the economic distortions introduced by pressure groups. This hypothesis, as noted above, omits the fact that economic development has occurred under very diverse conditions and that, whatever its starting point may have been, it has obliged the political system to open up in either an accelerated or gradual fashion, or else it has led to stagnation and, eventually, to collapse.

To the degree to which technological change became the main factor of development, thus requiring constantly higher levels of education, the development process also required increasing degrees of freedom. Indeed, technological progress which led to the Industrial Revolution was, at that time, an element that gave support to production. This element became a quasi-production factor, until in the last three decades it turned into a manageable and predictable factor of production.

This new historical phenomenon should change the relationship between the political systems and economic development. As technical change is the fundamental element of development, and as technical change is moving towards organizational systems that are based more and more on the decisions and initiatives of individuals and small groups, in clear detriment to the hierarchical structure that supports totalitarianism, a growing degree of freedom is also becoming a fundamental instrument of technical progress and, consequently, of social progress as well.

With the decrease of the main international antagonisms and the possibility of a broad and lasting consensus on the value of democracy as a form of life in society, a clearer correlation

between democracy and development may emerge. Also, a change in the direction of research may emerge, focusing on the question of what to do to convert democracy into a more efficient political regime for the management of the economy.

Due to the atypical Dominican social development of the last thirty years, the problem of the sequence between economic development and democracy took on a very unusual turn. Indeed, since Trujillo's death, the country has not lived through a period of extreme authoritarianism that would have wiped away all the formal or essential traits of democracy. The notion that development occurs first, and then equality, has permeated the economic thinking of the governmental elites and was translated, whenever necessary, into the notion that first there was development and then, public liberties. The case of the development of the intermediary organizations makes this point.

The efforts to quickly create an entrepreneurial class and the fear of revolutionary outbursts were combined to create a kind of retaining wall against intermediary organizations. The division and liquidation of several associations and the prostitution of others decimated the intermediary organizations.

The weakness of the regional intermediary organizations with sufficient strength and independence to convert themselves into pressure groups, facilitated the concentration of public investment and population in the capital city, creating imbalances in the physical distribution of development and making the capital city impossible to manage. Likewise, at the same time, the weakness of neighborhood organizations deprived these groups of the freedom and capacity to propose and implement solutions in the areas of health, education, housing and others, and diluted the power that these same groups could exert against neighborhood crime. In general, during the most acute periods of economic crisis that the country has experienced in the last three decades, the lack of intermediary organizations has limited the capacity of the population to respond to usury, speculation and other economic manipulations that reduce the credibility of the economic and political systems in the eyes of the population.

It would be risky to assume that the degradation of Dominican justice today is worse than during the tyranny. The only thing that has occurred is the democratization of the special cases that nobody dared to defend in court in the past. However, the use of authoritarianism to overcome the slowness of the democratic process has led to a democratization of judicial corruption and has provoked a loss of credibility in judicial security, making it more difficult to handle economic relations. All this points to the supreme importance of strengthening Dominican institutions.

The disappearance of judicial guarantees constitutes in any society an obstacle to economic development, as it aggravates the calculation of risks and discourages investment. In the Dominican case, the weakness of the judicial system, and hence, the predominance of arbitrariness in economic decisions that are put in the hands of government officials and private groups, have become an inexhaustible source of corruption of such a magnitude that it is undermining the desire of national and foreign investors to place their resources in the country.

For a society with a certain level of modernization and a high degree of public liberties, as is the case of the Dominican Republic, authoritarian options that go beyond those that have prevailed in the country for the last three decades would be simply unacceptable, both internally and externally.

Given the existing state of the investment climate in the Dominican Republic, the Democratic Initiative Project should begin to produce more open, transparent transactions of all kinds within the society. This increased transparency should produce a more favorable "enabling environment" for investors and businesses and should, therefore, lead to a faster rate of growth of the economy along with a more equitable distribution of income than otherwise would occur.

V. FINANCIAL PLAN

A. Overall Financial Plan

Total project cost is estimated at $12 million. Of this amount, A.I.D. is requested to provide $9 million. Of this $9 million, US$6 million would be used for sub-grants to private Dominican institutions collaborating with the Project. It is expected that sub-grantee organizations will provide 50% or more of the cost of the activity for which financing is requested. This counterpart contribution may come from the recipient's own sources or from other national financing sources. However, there may be extraordinary exceptions, as explained in Section B below; and the Projected exceptions, taken together, may lower the national counterpart contribution average rate to 33.3% of the amount of the sub-grants and to 25% of the total project cost. The total contribution from non-A.I.D. sources is thus estimated at no less than $3 million equivalent in local currency.

B. Counterpart Contribution from National Sources

In order to gain maximum impact from limited funds and assure maximum Dominican commitment to Project activities, maximum feasible Dominican contribution to the cost of the activities will be sought. As a general standard, a counterpart contribution of 50% or more of the activity cost is expected. However, for exceptional cases, PUCMM, with the Consultative Council concurrence, may request approval from A.I.D. to reduce this requirement in appropriate and fair cases. This will be done on the basis of a list of criteria previously agreed upon between PUCMM, the Consultative Council and A.I.D.

No funds for any sub-grant activities can be disbursed until PUCMM, the Consultative Council, and A.I.D. develop a mutually acceptable set of criteria to be used to judge proposals that might request a waiver of the "no less than 50% counterpart contribution" rule.

After the first semester of the life of the Project, and subsequently as deemed convenient through the life of the Project, A.I.D. and PUCMM will review how the counterpart contribution from sub-grantee institutions has worked, and decide on any necessary modifications.

The value of time and labor contributed to the activity by sub-grantee staff and directors should be included in the calculation of counterpart contributions, as well as the time and labor contributed by staff hired specifically for Project activities by the institution.

C. Capital and Recurrent versus Specific Activity Costs

In contrast to the NGO/PVO Cofinancing Project, which includes a major PVO organizational development component, this Project includes no provision for NGO capital or recurrent costs. This Project will be concerned more with the product of the activity than with the producer. In general, the NGO sub-grantee's capacity to carry out the proposed activity will be a criterion for sub-grant award rather than a possible object of the sub-grant. This does not mean that the Project is not expected to have a positive impact on the future capacity of these institutions to develop new activities without the need for financing from A.I.D. or other international agencies.

Under the Project of Support to Democratic Initiatives, when the institution that is submitting a sub-grant proposal requires a considerable investment of capital for either technical assistance, the purchase of materials to implement the activity, or to cover the recurrent costs of that activity, it is advisable that this proposal be referred to the PVO/NGO Cofinancing Project or to another national or international donor agency.

D. Form of Payment of the Expenditures of the Project

Each sub-grant proposal will include a total budget estimate as a basis for determining sub-grant amount. The proposal will also include an estimated schedule of expenditures of sub-grant and counterpart funds. Upon approval of the sub-grant and its expenditure schedule in the proposal, the Operational Unit of PUCMM will schedule disbursements as needed. As a general rule, no funds will be advanced to sub-grantees; disbursements will be made only after the Operational Unit has received documentary evidence of the expenditures incurred by the sub-grantee institution. However, in cases of sub-grantees with adequate financial systems and controls, PUCMM may advance funds with the authorization of A.I.D.

Disbursements from A.I.D. to PUCMM, as grantee institution in charge of implementing the Project, will start with an initial advance corresponding to PUCMM's submission of its estimated requirements for the first three months of project implementation. Such estimate will include both sub-grant disbursements and the Grantee's administrative costs. Subsequently, PUCMM will make monthly submissions to A.I.D. including the Grantee's accounting of disbursements and costs to be charged against amounts advanced to the Grantee by A.I.D., and estimated sub-grant disbursements and administrative costs for the three months following the date of such submission.

For example, if PUCMM, as the Grantee, contemplated initiation of project implementation in July, Grantee's initial submission would include its estimate of costs for the three-month period July 1 through September 30. Correspondingly, on August 1 or as soon as feasible thereafter but not later than August 5, the Grantee would submit an accounting of its disbursements and administrative costs incurred during July, along with a projection of its disbursements and administrative costs for the period August 1 through October 31. A.I.D. will review these submissions and will advance the difference between the August-October projection and the advance outstanding (July-September projection less amount liquidated for actual July costs), subject to adjustments which may be made by A.I.D.'s Controller office if figures submitted by PUCMM are found to be inaccurate or unreasonable.

The theoretical three month period of "advance" is necessitated by a lag time in A.I.D. practice of roughly two months from submission of a request for payment to actual receipt of such payment. Therefore, to avoid financing project costs from its own working capital, PUCMM would submit its request for initial advance two months before it needs the first anticipated project disbursement. For the given example, this would be about May 1.

In compliance with A.I.D. regulations, funds advanced by A.I.D. would be kept in a separate bank account with the interest earned on such account to be paid by PUCMM to the U.S. Treasury.

E. Cost Estimates

1. Project Activity Fund

Of the US$9 million provided by the Project, US$6 million will be used to fund sub-grants to participating private Dominican institutions. The sub-grantees will provide counterpart funding equivalent to no less than US$3 million.

2. Administration and Management

US$2.47 million, contributed by A.I.D., will finance PUCMM's administrative functions in support of project implementation. Included are the salaries and costs of the Project's Operational Unit, i.e. the Executive Director of the Project and the other staff members of the Operational Unit, as well as the part-time participation of the Executive Vice-Rector of PUCMM's Recinto Santo Tomás de Aquino, in Santo Domingo, and the internal audit staff of PUCMM that will collaborate with the Project. Likewise, the fees of the three members of the Selection Committee designated by PUCMM will be included in this item. Administrative overhead costs will be covered on a direct

charge basis to include rental at reasonable market rates for office space, furniture, equipment, vehicles, etc. An independent Dominican CPA firm will be contracted to perform the annual external audits of the Project at an estimated cost of US$343,920 during the life of the Project. Finally, costs covering the initial baseline survey and four periodic surveys are included in this item. These surveys will be contracted with specialists in this field.

3. Technical Assistance

The Project's Operational Unit at PUCMM would provide some assistance to sub-grantees in proposal preparation as part of the Grantee's administrative function. The cost of such assistance is included in the Project administration budget. In addition, we anticipate that certain sub-grant activities would require the services of specialists, some of which would be available in the Dominican Republic, while others would have to be hired abroad. For budgeting purposes, we show such costs as sub-grant activity costs, rather than separate technical assistance costs. In a project based essentially on sub-grants such as this, it would be illusory to indulge in speculation as to the amount of such technical costs and the proportion thereof that would be foreign exchange rather than local costs. However, for preliminary budgeting purposes in this design phase of the Project, we estimate the total cost of such specialized assistance at the very round number of US$1 million, of which roughly half might be foreign exchange costs of non-Dominican consultants.

4. Evaluation

US$189,140 will be provided to carry out three scheduled external project evaluations.

5. Purchase of Commodities for Sub-grantees

While some expendables needed by sub-grantee institutions for their activities may be attributable to project financing, sub-grants will not include funds for the procurement of vehicles, computers, office equipment or furniture, or other non-expendable commodities.

"The Methods of Implementation and Financing" is found in Table 1. The remaining 4 tables provide summary and details of expenditure estimates over the 10 year life of project, including the Projection of annual A.I.D. obligations.

TABLE 1

Methods of Implementation and Financing

Project Element	Method of Imp.	Method of Finan.	Estimated Amt. (U.S.$ '000) FX	LC
I. ACTIVITIES FUNDS/ SUBGRANTS	HC Reimburs.	Advance to PUCMM	1,000	5,000
II. SALARIES	HC Reimburs.	Advance to PUCMM	50	1,053
III. SELECTION COMMITTEE	HC Reimburs.	Advance to PUCMM		149
IV. GEN. ADMIN. COSTS	HC Reimburs.	Advance to PUCMM		962
V. PERIODIC SURVEYS	HC Reimburs.	Advance to PUCMM		253
VI. EXTERNAL AUDIT	HC Reimburs.	Advance to PUCMM		344
VII. EXTERNAL EVALUATIONS	Direct Contract	Direct Pay	189	
TOTAL PROJECT			1,239	7,761

ANNEX B

FLOWCHART OF IMPLEMENTATION PLAN

PHASES

TYPE OF ACTIVITIES	PREPARATORY	INITIAL		INTERME-DIATE	FINAL
	3-1992/6-92	7-92/5-93	6-93/5-94	6-94/5-98	6-98/03-2002
I. INSTRUMENTAL ACTIVITIES					
A) INSTITUTIONAL PREPARATION	X				
B) COLLECTION OF INFORMATION	*******	*******	*******	*******	*******
C) SURVEY PROGRAM:					
1. BASELINE	X				
2. PERIODIC			X	X X	X
II. ACTIVITIES OF EDUCATION FOR DEMOCRACY		*******	*******	*******	*******
III. ACTIVITIES OF STATE REFORM		*******	*******	*******	*******
IV. EVALUATIONS:					
A) INTERNAL		X	X	XXXX	XXXX
B) EXTERNAL				XX	X

TABLE 2

DEMOCRATIC INITIATIVES SUPPORT PROJECT
Estimated Cost and Financial Plan Summary by Year
(US$000)

SPECIFIC INPUTS	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10	AID CONTRIBUTION TOTAL	FX	LC (*)	LOCAL COUNTER.	
I. ACTIVITIES FUND (According to Financing Source)															
-A.I.D.	500.00	800.00	800.00	800.00	600.00	500.00	500.00	500.00	500.00	500.00	6,000.00	(**) 1,000.00	5,000.00		6,000.00
-LOCAL COUNTERPART	250.00	400.00	400.00	400.00	300.00	250.00	250.00	250.00	250.00	250.00				3,000.00	3,000.00
II. SALARIES (***)	96.20	99.09	102.06	105.12	108.27	111.52	114.87	118.31	121.86	125.52	1,102.83		1,102.83		1,1
III. SELECTION COMMITTEE	13.00	13.39	13.79	14.21	14.63	15.07	15.52	15.99	16.47	16.96	149.03		149.03		14
IV. GENERAL ADM. COSTS	83.93	86.45	89.04	91.71	94.46	97.30	100.22	103.22	106.32	109.51	962.16	50.00	912.16		962.16
V. PERIODIC SURVEYS (****)	70.00		42.44		45.02		95.52				252.98		252.98		252.98
VI. EXTERNAL AUDIT (***)	30.00	30.90	31.83	32.78	33.77	34.78	35.82	36.90	38.00	39.14	343.92		343.92		343.92
VII. EXTERNAL EVALUATIONS (***)			50.00		53.05					86.09	189.14	189.14			1
TOTALS	1,043.13	1,429.82	1,529.16	1,443.82	1,249.20	1,008.67	1,111.95	1,024.42	1,032.65	1,127.22	9,000.00	1,239.14	7,760.92	3,000.00	12,000.00

* Dollar equivalent of Dominican pesos.
** These funds will be used by subgrantees to obtain technical assistance from institutions or individuals outside of the Dominican Republic; and b) to carryout networking activities that will likely include international travel.
*** The cost for years 2 through 10 include an annual dollar inflation rate of 3.00%
**** In this line item are included base-line and periodic surveys by sampling (a base-line and four samplings), focus groups, and other suitable ways of information gathering necessary to measure the impact of the project and guide the strategic planning of the same. National or international experts will be contracted for these activities.

Note: A.I.D. Contribution and Project totals are rounded to the nearest million.

TABLE 3

DEMOCRATIC INITIATIVES SUPPORT PROJECT

Annual Financial Breakdown (Obligations)

PROJECT YEAR	YEAR 1	YEAR 1	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10	TOTAL
A.I.D.	793.13	1,029.82	1,129.15	1,043.82	949.19	758.66	861.95	774.42	782.65	877.22	9,000.00

Table 4

DEMOCRATIC INITIATIVES SUPPORT PROJECT
Personnel Direct Costs Summary

II. ADMINISTRATION AND MANAGEMENT (PERSONNEL DIRECT COSTS)	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10	
-Executive Vice-rector (part-time)	13.00	13.39	13.79	14.21	14.63	15.07	15.52	15.99	16.47	16.96	149.03
-Executive Vice-rector Secretary (part-time)	3.90	4.02	4.14	4.26	4.39	4.52	4.66	4.80	4.94	5.09	44.71
-Salary	3.12	3.21	3.31	3.41	3.51	3.62	3.73	3.84	3.95	4.07	
-Fringe Benefits	0.78	0.80	0.83	0.85	0.88	0.90	0.93	0.96	0.99	1.02	
-Auditor (part-time)	15.60	16.07	16.55	17.05	17.56	18.08	18.63	19.19	19.76	20.35	178.84
-Salary	12.48	12.85	13.24	13.64	14.05	14.47	14.90	15.35	15.81	16.28	
-Fringe Benefits	3.12	3.21	3.31	3.41	3.51	3.62	3.73	3.84	3.95	4.07	
-Executive Director Operational Unit (part-time)	32.50	33.48	34.48	35.51	36.58	37.68	38.81	39.97	41.17	42.41	372.58
-Salary	21.60	22.25	22.92	23.60	24.31	25.04	25.79	26.57	27.36	28.18	
-Fringe Benefits	10.90	11.23	11.56	11.91	12.27	12.64	13.02	13.41	13.81	14.22	
-Executive Secretary (part-time)	6.50	6.70	6.90	7.10	7.32	7.54	7.76	7.99	8.23	8.48	74.52
-Salary	5.20	5.36	5.52	5.68	5.85	6.03	6.21	6.40	6.59	6.78	
-Fringe Benefits	1.30	1.34	1.38	1.42	1.46	1.51	1.55	1.60	1.65	1.70	
-Legal Advisor (by work order)	7.80	8.03	8.28	8.52	8.78	9.04	9.31	9.59	9.88	10.18	89.42
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
-Administrative-Financing Office Directorf (P.T.)	13.00	13.39	13.79	14.21	14.63	15.07	15.52	15.99	16.47	16.96	149.03
-Salary	10.40	10.71	11.03	11.36	11.71	12.06	12.42	12.79	13.17	13.57	
-Fringe Benefits	2.60	2.68	2.76	2.84	2.93	3.01	3.10	3.20	3.29	3.39	
-Secretary (full-time)	3.90	4.02	4.14	4.26	4.39	4.52	4.66	4.80	4.94	5.09	44.71
-Salary	3.12	3.21	3.31	3.41	3.51	3.62	3.73	3.84	3.95	4.07	
-Fringe Benefits	0.78	0.80	0.83	0.85	0.88	0.90	0.93	0.96	0.99	1.02	
III-SELECTION COMMITTEE	13.00	13.39	13.79	14.21	14.63	15.07	15.52	15.99	16.47	16.96	149.03
Total	109.20	112.48	115.85	119.33	122.91	126.59	130.39	134.30	138.33	142.48	1,251.87

NOTES:

A. To carry out these project activities the Vice-Rector will work an average of 10 hours per week. This will be paid by the project and deducted from PUCMM's contract. The cost per hour will be US$25.00. The Vice-Rector will have the support of one of his secretaries, who will allot an average of 20 hours per week to the project. This will be paid by the project and deducted from PUCMM's contract.

B. The rest of the personnel, except the legal advisor, will work full-time to the project.

C. The Legal Advisor will be contracted by work order. This person will be an expert in the field working for the Operational Unit of the Project and for the Exec. Vice-Rector's Office. to establish comprehensive moniotiring of current procedures.

D. Remuneration to the Selection Committe Members will be based on a previouly established fee schedule.

E. Fringe Benefits are: Medical and Life Insurance, Pension and Retirement Plan, 1/2 annual salary Christmas Bonus, and for certain executive level transportation and representation expenses.

Table 5

DEMOCRATIC INITIATIVES SUPPORT PROJECT
Summary of General Estimated Administrative Costs

Specific Inputs	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	YEAR 8	YEAR 9	YEAR 10	TOTAL
1. Use of office space	21.12	21.75	22.41	23.08	23.77	24.48	25.22	25.97	26.75	27.56	242.12
2. use of equipment	6.78	6.98	7.19	7.41	7.63	7.86	8.10	8.34	8.59	8.85	77.73
3. Electricity	4.94	5.09	5.24	5.40	5.56	5.73	5.90	6.08	6.26	6.45	56.66
4. Telephone, FAX, TELEX	2.40	2.47	2.55	2.62	2.70	2.78	2.87	2.95	3.04	3.13	27.52
5. Cleaning Service	0.93	0.96	0.99	1.02	1.05	1.08	1.11	1.14	1.18	1.21	10.63
6. Consultative Group and Selection C. Meeting Expenses	1.80	1.85	1.91	1.97	2.03	2.09	2.15	2.21	2.28	2.35	20.63
7. Office Supplies	2.40	2.47	2.55	2.62	2.70	2.78	2.87	2.95	3.04	3.13	27.52
8. Project Promotion	9.60	9.89	10.18	10.49	10.80	11.13	11.46	11.81	12.16	12.53	110.05
9. Annual Internal Evaluation Cost	6.00	6.18	6.37	6.56	6.75	6.96	7.16	7.38	7.60	7.83	68.78
10. Transportation	4.20	4.33	4.46	4.59	4.73	4.87	5.02	5.17	5.32	5.48	48.15
11. Local and International Courier Service	2.64	2.72	2.80	2.88	2.97	3.06	3.15	3.25	3.34	3.44	30.26
12. Mail service	0.60	0.62	0.64	0.66	0.68	0.70	0.72	0.74	0.76	0.78	6.88
13. Reproduction	3.60	3.71	3.82	3.93	4.05	4.17	4.30	4.43	4.56	4.70	41.27
14. Other indirect costs*	16.92	17.43	17.95	18.49	19.04	19.61	20.20	20.81	21.43	22.08	193.92
TOTAL	83.93	86.45	89.04	91.71	94.46	97.30	100.22	103.22	106.32	109.51	962.12

NOTES:

1. Approximately 220 m2 at US$8 per m2.
2. Equipment to be used on a regular basis as well as periodically in events and activities. For example, the use of 3 typewriters, 2 PCs, equipment time of a mainframe computer, use of audiovisual equipment, etc.
3. Electrical energy consumption provided by CDE or by PUCMM generators, in case of power failure.
4. Availability according to project's needs.
5. Provided on a daily basis where project activities are being carried out.
6. Meetings of the Consultative group, the Selection Committee or any other group necessary to be convoked to fulfill project's objectives
7. This includes office supplies needed for project performance: pencils, paper, etc.
8. Activities developed during the life of the project to assure that potential institutions interested in project participation are adequately informed and to establish project image that will assure a broad support base. This includes, the organization of events, meetings promotion, workshops, seminars, conferences and some publications.
9. Annual evaluation of project on-going activities in order appropriately adjust each activity's annual plan to the objectives and priorities of the project as well as to the socio-political conditions of the country. This will include the contracting of local advisors and the organization of events to analyse the on-going activities of the project.
10. This includes the transportation of administrative personnel working for the project to different parts of the country promoting or carrying out any other activity related to the project.
11. Local and international distribution of immediate delivery documents.
12. Local and international distribution of documents other than of immediate delivery.
13. Project activities will require the preparation and reproduction of documents to facilitate the dissemination, analyses and decision making related to various matters. For example, participating institution proposals, technical and financial quarterly reports and evaluations, etc.
14. The Democratic Initiatives (DI) Project will use the Management Information System (MIS) already developed by PUCMM to manage its on-going portfolio of programs and projects. The DI project's accounting and public relations needs, to name just two, will benefit greatly from PUCMM's system.

--(These figures may differ slightly from the Spanish version because of a difference in rounding figures between Plan Perfect & Lotus used to prepare them).
*These figures include costs of office equipment, maintenance, utilities and some salaries. See Table 6 for details.

Table 6
Democratic Initiatives Support Project
Summary of Indirect Costs

Other Indirect Costs	Monthly Cost	Cost per Year
1. Office Equipment	0.125	1.50
2. Maintenance Costs:		
2.1 Air conditioning Maintenance	0.080	0.96
2.2 Typewriter Maintenance	0.035	0.42
2.3 PC Maintenance	0.060	0.72
2.4 Furniture Maintenance	0.025	0.30
2.5 Building Maintenance (Paint, Repairs, etc.)	0.100	1.20
3. Commun Areas Maintenance		
3.1 Restrooms	0.015	0.18
3.2 Parking Lots	0.028	0.34
3.3 Corridors	0.015	0.18
4. Utilities	0.015	0.18
5. Office Personnel Costs Compesation	0.200	2.40
6. Compensation Costs of General University Accounting Office	0.200	2.40
7. Compesation for the use of University Press Office	0.050	0.60
8. Compensation for the Use of University Office of Public Relations	0.050	0.60
9. Compensation for the use of the University Computer Center	0.100	1.20
10. Compensation for the use of the University Purchasing Office	0.100	1.20
11. Vigilance	0.100	1.20
12. Electricity in Commun Areas	0.050	0.60
13. Others	0.062	0.74
TOTALS	1.410	16.92

Table 7

Estimated General Administrative Costs

	Monthly Cost	Amount	Number of Months	Total	
2. Use of Equipment					
Typewriter per month	0.025	3.00	12.00	0.90	
PCs	0.040	2.00	12.00	0.96	
Air Conditioning Units	0.050	3.00	12.00	1.80	
Equipment 43	0.100	2.00	12.00	2.40	
Others	0.060	1.00	12.00	0.72	6.78
3. Electricity	0.412	1.000	12.00	4.94	
4. Telephone, Fax, Telex 6 stations at $18.95 each	0.020	6.000	12.00	1.36	
Remittance of fax, long distance phone calls and telex	0.090	1.000	12.00	1.04	
5. Cleaning Services m2	0.077	1.000	12.00	0.93	
6. Consultative G. and Selection C. Meeting Expenses	0.150	1.000	12.00	1.80	
7. Office Supply	0.200	1.000	12.00	2.40	
8. Project Promotion	0.800	1.000	12.00	9.60	
9. Internal Evaluation Annual Cost	2.000	3.000	1.00	6.00	
10. Transportation	0.350	1.000	12.00	4.20	
11. Local and International Courier Service	0.220	1.000	12.00	2.64	
12. Mail Service	0.050	1.000	12.00	0.60	
13 Reproduction	0.300	1.000	12.00	3.60	

Note: Figures for No. 1 are found elsewhere.

	the citizenry. - Open and fair elections. - A more independent and trustworthy judiciary. - A more independent and effective legislature. - Political parties more democratic, participatory and representative. - A more decentralized governmental system, providing local governments with real autonomy.	- Election result is promptly [illegible] - Judicial power statistics and records; and public acceptance of its decisions. - Number, kind and sources of laws enacted. - Level of party identification by party activists and of confidence by the electorate. - Amount of resources available to and of services provided by local governments.	society. - Well informed public opinion.
Project Purpose: To strengthen the democratic process by: - Promoting a more dynamic democratic culture. - Facilitating participation and encouraging involvement by citizens in the political process. - Enhancing governmental efficiency and impartiality	**End of Project State:** - Wide acceptance by citizens, intermediate groups, parties and leaders of basic democratic values and attitudes. - Increased percentage of citizens well informed about the political system, confident of their roles in it, and actively participating in shaping their society on matters that directly effect their daily lives. - A more fair and effective civil service system in operation. - Improved public services at national and local levels. - A government more open to people's expressed needs. - Effective mechanisms in place providing opportunities to various intermediate groups in society to influence the political decision making process. - Greater participation of women in the political process.	- Opinion polls, focus group research and interviews, showing changes in values, attitudes, information, as well as levels of satisfaction and participation. - Percentage of turnover in government personnel with changes of administration. - Comparison between volumes of national vs. local budgets and amounts spent. - Public records and audits.	- GOCR remains pro democracy and does not object project activities. - NGOs and public interest groups capable of collaborating with project.
Outputs: - Institutional mechanisms for project implementation in place. - Subgrants made to executing private sector institutions and groups in order to implement: - A democratic education program. - Three institutional reforms of the State and the political system selected as priorities in each Annual work plan. - A core group of public interest organizations and NGOs as a major force in shaping changes in public opinion and in the political system.	**Outputs Indicators:** - Operational Unit, Selection Committee and Consultative Council established by grantee. - A system of gathering information on the democratic process, a survey research plan, and a series of democratic forums in operation. - Improved citizen knowledge, attitudes and participation in the democratic political process. (Illustrative indicators for priority institutional reforms: - Open and fair electoral process. - A more independent and professional judicial system. - Civil service law implemented. - A Constitution brought up to date. - A more independent and effective National Congress. - A truly decentralized and autonomous local government system. - A more democratic party system.)	- On-going and final evaluations. - Reports by grantee and sub-grantees. - Public opinion surveys, focus group research and interviews. - National press accounts and analyses. - Electoral records and results. - Government personnel records. - Judicial power statistic and records. - Congressional records. - Comparison between national and local government budgets and resources. - Public confidence in political parties.	- GOCR support of project is maintained. - Majority of participating local institutions and groups are effective. - Grantee and sub-grantees are effective.
Inputs: **A.I.D.** - Activity fund. - Administration - Grantee - AedR - Evaluation. **Local Counterpart Contribution**	**Level of Effort for Each Activity:** US$9,000,000 (Según PUCMM budget) US$3,000,000	- Grantee billings. - Controller's office reports. - Financial reviews. - Audits. - Evaluations.	- A.I.D. funds are available. - GOCR continues to be eligible to receive A.I.D. funds. - Conditions precedent and covenants are met.

ANNEX B

FLOWCHART OF IMPLEMENTATION PLAN

PHASES

TYPE OF ACTIVITIES	PREPARATORY	INITIAL		INTERME-DIATE	FINAL
	3-1992/6-92	7-92/5-93	6-93/5-94	6-94/5-98	6-98/12-2001
I. INSTRUMENTAL ACTIVITIES					
A) INSTITUTIONAL PREPARATION	X				
B) COLLECTION OF INFORMATION	*******	*******	*******	*******	*******
C) SURVEY PROGRAM					
1. BASELINE	X				
2. PERIODIC			X	X X	X
II. ACTIVITIES OF EDUCATION FOR DEMOCRACY		*******	*******	*******	*******
III. ACTIVITIES OF STATE REFORM		*******	*******	*******	*******
IV. EVALUATIONS:					
A) INTERNAL		X	X	XXXX	XXXX
B) EXTERNAL				XX	X

ANNEX C

DESCRIPTION OF ILLUSTRATIVE ACTIVITIES

(Taken from the "Analysis of Technical Feasibility" prepared by Lic. José del Castillo)

I. ELECTORAL REFORM

Electoral reform has been identified as one of the fundamental and priority fields of activity to be developed under the auspices of the Project. Its relevance is explained by the incidence of the following factors:

* The high level of pre- and post-electoral conflict in the Dominican Republic, due to the lack of transparency of many of the procedures that surround the electoral process, the lack of trust in the impartiality of the officials of the Junta Central Electoral (JCE) and of the Municipal Councils, the administrative and technical deficiencies of the electoral institution, the obsolescence of legislation in this field, and the absence of a culture of commitment among the political elite.

* The historical trend of constantly narrowing margins between the first and the second majorities gives rise to claims, refutations and disregard for the legitimacy of electoral results, with the resulting constitution of regimes having weak political bases and the correlative blocking of possibilities of cooperation among the main forces represented in the legislative and municipal bodies.

* Generalized distrust among important groups of voters - considering the 40% abstention rate recorded at the last elections of 1990 - regarding the suitability of the electoral mechanism as an effective means to generate valid solutions for the national problems. This has led to the emergence of a considerable degree of political apathy, which should be the object of empirical research as to its causes and motivations.

* The need to extract fruitful lessons from the experience accumulated in electoral matters after the celebration of eight general elections and one municipal election in the last thirty years, i.e. the period of democracy that has followed Trujillo's death.

The following are some of the specific activities that should be taken into account for sponsoring by the Project:

A. Updating of Existing Electoral Legislation and Regulations

The organization of the elections, the recognition of political parties, the registration of candidates, the formation of alliances, the voting and tallying processes, the consideration and arbitration of claims and refutations, among others, should be regulated by norms and procedures that need to be made more functional, transparent and accurate.

This implies the existence of a broad consensus among political parties, interest groups, public and private institutions, local specialists and foreign consultants, the mass media and the population, regarding the obsolescence of the Electoral Law and of its related regulations and resolutions.

An action plan is needed to identify basic modifications, to build a consensus on the same, and to generate political commitment towards their implementation at the legislative level.

The following concrete actions are needed for implementation:

1. A Focussed Workshop Program that would discuss, on the basis of concrete proposals, the different topics contained in the law and the regulations and resolutions, among representatives of the political parties, officials of the JCE, legislative leaders, lawyers and political scientists specializing in electoral matters.

These workshops should be programmed according to a precise methodological order, with previous preparation of working documents and through sessions that would follow an organizational pattern allowing for specific agreements to be reached. The workshops should operate as a forum combining the technical and political aspects of electoral reform.

Their final product should be an Electoral Bill with sound technical bases and political backing that would enable the Legislative Power to satisfy the reiterated demand for updated legal mechanisms for the elections.

2. A Regulation Plan for the Law that would contain the rules regarding its implementation and the corresponding administrative forms and procedures, as well as training for the personnel that will be dedicated to these tasks.

3. A Program of Dissemination of the Law, aimed at educating citizens, political parties and civic organizations on the scope and operational implications of the Law.

In order to carry out these actions, the following operational mechanisms could be applied:

- Focussed Workshop Program

Technical component: design of the program, preparation of reform proposals and documentary reference material, follow-up and formalization of agreements, drafting of final text of the bill. This component will be entrusted to national or international consultants hired to this end.

Political component: notification of the different sectors and persons who will participate in the workshop sessions, direction of the working meetings, establishment of political commitment among key actors. This component should be the responsibility of a body with sufficient influence and recognized moral authority, free of any suspicions of partiality.

- Regulation Plan for the Law

Technical component: preparation of regulations, procedures and forms by hired consultants.

Training component: training of JCE personnel, as well as of the Municipal Councils. A program could be agreed upon among the JCE, a university, and the group of consultants working on the technical component.

- Program of Dissemination of the Law

Technical component: design of the program, development of educational material - booklets, radio and television spots - a mass media campaign. The responsibility of persons and firms specializing in this field that collaborate with the JCE.

Administrative and coordination component: administration of the program, coordination of dissemination with the political parties and civic organizations.

B. Institutional Modernization of the JCE and of the Municipal Councils. Definition of the Administrative and Arbitration Functions of the JCE

The first objective implies the restructuring of the electoral body with qualified and stable professional, technical and administrative personnel, able to efficiently plan and implement the regulatory, organizational and arbitrative actions of the institution.

The second objective supposes a clear and precise demarcation of the administrative and technical functions of the institution, and of the normative and arbitrative functions fulfilled by the regular and alternate members of the JCE. In this regard, it was proposed to create an Executive Board of Electoral Administration which, within the electoral body, would be responsible for the administrative, technical and planning aspects of the elections, and would act under the supervision of the electoral court. The experience of the Office of Technical Planning and Electoral Organization that operated during the 1986 elections constitutes a good basis for defining this new body.

C. Screening of the Electoral Register

This activity constitutes one of the cornerstones of the modernization process of the Dominican electoral system. Its implementation would allow for more transparent elections, free of tensions and suspicions among the competing parties and the population itself, which in turn would take pressure off the JCE.

This screening would update the census of voters, eliminating duplicates, deceased persons, active military and police, and foreigners by means of cross-referencing the listings of voters, the archives of the "Cédula de Identidad Personal" (Register of Personal Identification), the lists of deceased persons of the Civil Registry Office and of Public Health, the lists of recruitments and discharges of the Armed Forces and the National Police, the census of foreigners of the General Board of Immigration, and any other instrument that might serve this purpose.

This screening would assume the design and application of massive procedures for verification of information, and the hiring of personnel specialized in data programming and analysis. It would be advisable to use national and foreign specialists in electoral registration as advisers.

At present, a desirable alternative option is the unification of the Electoral Register with the Personal Identification Card ("Cédula"), in view of establishing one single register and one single document that would be valid for multiple functions and uses. One aspect of this option would be its additional use for taxing purposes, in order to set up a National Register of Taxpayers. A more radical version would be to add the utilization of a single code number for all civilian purposes, including the use of passports.

Although the unification of the Electoral Register and of the Personal Identity Card would be desirable, the currently prevailing institutional conditions do not allow for the achievement of this objective in the medium term, particularly in view of the elections of 1994, by which date the screening of the Electoral Register should have advanced considerably.

Besides the screening of the Electoral Register - which is currently considered as the only existing register - one should take into consideration the remaining tasks of renewing registration of voters who have changed residence, new registrations of young voters and of indifferent adults who have remained out of the electoral census until now.

D. Training of Electoral Personnel

Besides the training of the permanent staff of the JCE and of the Municipal Councils, already examined in previous activities, it will be necessary to train the extra personnel employed for the organization of the elections during the months preceding the same, as well as of those who will be assigned to the polling stations and who will fulfill supervisory and logistical tasks on the day of the elections.

This activity is fundamental for guaranteeing good organization of the electoral process and to ensure the proper scrutiny of the votes at the stations, where a source document must be produced that will determine the entire subsequent process of electronic counting and verification of the results.

Many of the electoral problems in the Dominican Republic occur after the voting because of technical and procedural errors that are attributed to the personnel assigned to the polling stations, as happened in the 1990 elections.

E. Democratization of the Political Parties

This entails the preparation of specialized legislation to regulate the formation of political parties, the renovation of their executive bodies, the definition of their program guidelines, selection processes for candidates to elected positions, and financial management, in order to guarantee the effective operation of the mechanisms of internal democracy.

Therefore, it is necessary to make political parties more inclusive and more representative of the numerous sectorial and territorial interests that coexist today in the Dominican Republic. A stronger link should be established between the political elite and civil society, not only for electoral purposes, but throughout the daily dynamics of the debate on public affairs and in the decision-making process. Public opinion should have more control over the actions of the parties on the political scene, and citizens should participate more in party activities.

A study is needed of the different existing statutory modalities and modes of operation of the main political parties. Such a study would examine the different forms of organization, processes, decision-making mechanisms, leadership phenomena, and values that prevail in the culture of party politics.

Technical component: the above mentioned study. Preparation of a Bill of Political Parties. The responsibility of a group of consultants composed of political scientists, sociologists and lawyers.

Political component: implementation of a focussed workshop program, with the participation of representatives of the political parties, legislative leaders, officials of the JCE, and specialists.

II. MODERNIZATION OF PUBLIC ADMINISTRATION

With the promulgation of the Civil Service Law and the Administrative Career (No. 14-91) on May 20, 1991, a process is launched in the country to establish an administrative model based on the professionalizing and modernizing of public office. The results should translate into more efficient and qualified services for the citizens, a more professional and stable bureaucracy - free from the changing influences of party politics and personal favoritism - and a public administration more sensitive to the demands of the population. Moreover, a decrease of the levels of administrative corruption could also be expected.

Said law is considered as a framework law defining the working relations between the Executive Power and the civil servants who directly depend on it, which means that it includes the officials and employees of the Ministries and of the General Boards. The scope of the law excludes the employees of the legislative, judiciary and municipal branches, of the Junta Central Electoral, the autonomous bodies, the Armed Forces and the National Police, the agencies of State security, and others.

The law establishes two fundamental categories of civil servants:

A. The civil servants who are freely appointed to and removed from their positions by the President of the Republic and the higher authorities of the bodies that depend on the Executive (such as the Ministers and Deputy-Ministers, General Directors and Assistant-Directors, Governors, Ambassadors, Chiefs of Departments, and others).

B. The category of career civil servants who permanently remain in public administration, subject to selection norms, compensation and promotions based on merit, as defined by the law and its regulations.

A priority area stipulated by the law for the application of the Administrative Career is the Ministry of Finance and its agencies, i.e. the General Boards in charge of collections.

The implementation plan of the law contemplates a series of activities oriented towards the preparation of regulations, administrative and technical procedures regarding the application of the law in conformity with an established order of priorities.

Among the activities outlined in the document General Plan for the Establishment of the Civil Service Law and the Administrative Career, 1991-1994, prepared by the Oficina Nacional de Administración de Personal (ONAP), a series of actions aim at:

1. The promotion of knowledge of this law among the general public, key sectors of society and civil servants themselves.

2. The establishment of regulations, procedures and systems relevant for the implementation of the Administrative Career.

3. The organization of a training program for personnel that will fulfill tasks related to the application of the law in the different agencies subject to this application.

Given the significance of this process for the achievement of some of the objectives of the Project, selective support should be granted to certain actions contemplated in the reference document:

Technical component: consultants would be hired for the preparation of regulations, procedures and systems required for the application of the law.

Training component: an institution of higher education would be considered for the development of a training program for personnel responsible for implementing the law.

Dissemination component: a dissemination program would be established with the participation of media such as Radio Televisión Dominicana (RTVD) and others that would voluntarily lend their support, as well as a plan of orientation seminars for selected groups.

III. STRENGTHENING OF THE JUDICIARY POWER

Conceived as a series of activities aimed at making the Judiciary more professional and institutionally more independent; to achieve a more efficient administration of justice; and to educate citizens concerning their rights, the scope of the laws and the functioning of the judiciary system.

A. To achieve more professionalism and institutional independence for the Judiciary Power, the following activities could be contemplated:

1. Establishment of the Judiciary Career

The independence of the judiciary system is linked to the achievement of a higher level of professionalism and stability in the judiciary body, an objective that is to be reached through the establishment of the judiciary career. At present, and in compliance with a constitutional precept, all the judges have to cease their functions every four years at the beginning of a new governmental period, when the Senate has to make new appointments. Both the attributions of this House to appoint all the judges, and the way in which they are selected, have given rise to lengthy debates among the different actors of the judiciary system, as well as among legislators, political leaders and the media.

According to opinions expressed in a 1988 survey of a sample of judges (143), district attorneys (85) and lawyers (369), the large majority felt that the selection of judges was conducted inadequately. This was the opinion of 92% of the

lawyers, 66% of the district attorneys and 63% of the judges, who all mentioned politics or friendship among the criteria that prevail in the appointment of most judiciary personnel. The same situation occurs with the appointment of the members of the Attorney General's Office. (See the diagnosis entitled "Administration of Criminal Justice in the Dominican Republic", Center for the Administration of Justice at Florida International University and ILANUD, 1988).

2. Creation of the National Council of the Judicature

As a way of correcting this situation, it has been proposed to give the Supreme Court of Justice the power to appoint the remaining members of the bench, as the Supreme Court is itself appointed by the Senate upon previous recommendation of a list of three candidates prepared by a collegiate body created for this purpose. It would be called the National Council of the Judicature, composed of representatives of the three branches of power of the State. In 1986, upon request of the Supreme Court of Justice, a "Draft Project of Constitutional Reform for the Administration of Justice" was prepared by the lawyers Drs. Bernardo Fernández Pichardo, Raymundo Amaro Guzmán and Cristóbal Gómez Yanguela.

This draft project contemplates a body composed of the President of the Republic - who would be its Chairman and could delegate this responsibility to the Vice-President - the President of the Supreme Court of Justice, another judge of this Court, two members of the House of Representatives and two Senators (the Presidents of both Houses and one legislator each "selected among a political party different from that of the President of the Republic, and next in number of votes obtained at the election of the President of the House at the indicated date").

A recent National Encounter for the Improvement of Justice, held on October 3, 1991, organized by the Fundación Institucionalidad y Justicia (FINJUS), adopted as its first resolution: "To request that the President of the Republic and the leaders of the political parties represented at the National Congress" submit the aforementioned draft project to this body.

3. Judiciary Training Unit and National School of the Magistracy

Another initiative oriented to introducing corrections in the judiciary order is the establishment of training programs to better evaluate the members of the system, such as judges, district attorneys, and auxiliary and support personnel.

The 1988 survey revealed that 45% out of a total of 145 district attorneys of the different municipalities of the country had not undertaken any graduate studies in law. A large part of the 146 justices of the peace is appointed without complying with the required qualifications (83% of the lawyers felt that they were appointed for political or personal reasons, an opinion shared by 55% of the district attorneys).

A resolution of the above mentioned Encounter of FINJUS recommended to the Supreme Court the organization and implementation of a Judiciary Training Unit for the members of the Judiciary Police (National Police, Office of the Attorney General, and trial judges) and for auxiliary and subordinate personnel, created by the Supreme Court in 1988. Another supplementary initiative wishes to promote the creation of the National School of the Magistracy that would form new judges and district attorneys, and provide advanced courses for those already in service.

B. To achieve an efficient administration of justice, a better organization of the caseload that the Judiciary deals with would be needed, through more expeditious and clearer procedures and laws that are more consistent with the social reality of the country.

The diagnosis of the judiciary system contained in the above mentioned report titled "Administration of Criminal Justice in the Dominican Republic" reveals that in some instances of the judiciary process (trial judges, judges of first instance, appeal courts Supreme Court of Justice) the terms established for hearing the cases, and consequently for their trials, are not respected, which causes real bottlenecks in the judiciary flow. This is why 95% of the lawyers, 82% of the district attorneys, and 78% of the judges considered that "justice is slow". As an old maxim reminds us, justice that comes late is justice denied.

One of the consequences of this slow resolution of cases is the large number of prisoners in preventive custody who fill Dominican jails (83% of the inmates). Another less tangible but equally disturbing fact is the distrust felt towards the judiciary system by the citizens, who prefer to stay far away from its labyrinthine procedures.

In order to reach this objective, the following activities could be organized:

1. Establishment of More Functional Models of Judiciary Organization

The "Draft Project of Constitutional Reform for the Administration of Justice" mentioned above grants power to the Supreme Court to establish chambers and sections at the other courts examined by the Constitution. Likewise, it is entitled to create positions for judges. In order to make the judiciary process more fluid, the Attorney General of the Republic, Dr. Manuel García Lizardo, proposed at the Seminar on Constitutional Reform held at the UNPHU that a Collegiate or Single Court of First Instance be created that would deal with all matters, except land and administrative issues. This model would be similar to the court that is established in the District of Columbia, in the United States.

It is obvious that the Dominican judiciary system requires more detailed studies of an organizational nature that would examine the functional qualities of the different models of administration of justice, in order to optimize its functioning. In this regard, it would be convenient to undertake pilot experiments to test alternative models in those parts of the system that have been identified as most critical.

2. Updating of Legislation

Another factor to take into account in the reform of the Judiciary is the relevance and clarity of existing laws and procedures. The 1988 survey showed that the majority of the actors in the judiciary system feel that the laws are not adapted to reality, and that laws and procedures are not clear.

The government of President Antonio Guzmán appointed a commission of legal experts composed of Drs. Freddy Prestol Castillo, Mario Read Vittini and Jottin Cury to update and integrate current legislation. Unfortunately, this commission proved ineffective. Recently, another commission was appointed by President Balaguer, who asked Drs. Rafael Alburquerque, Lupo Hernández Rueda and Milton Ray Guevara to revise the Labor Code. This commission prepared a project of modification that was recently submitted to the National Congress.

As part of a private initiative under the auspices of the Banco Popular, a group of legal experts - constituted of Drs. Luis Julián Pérez, Manuel Bergés Chupani, Juan Manuel Pellerano, Luis del Castillo Morales, Froilán Tavares, Bernardo Fernández Pichardo, Salvador Jorge Blanco and Efraín Reyes Duluc - prepared a new Code of Commerce, unsuccessfully submitted to

Congress during Jorge Blanco's administration. During this period, a project of a Code of Civil Procedure, prepared by Dr. Artagnan Pérez, was sent to Congress, equally in vain. Finally, another jurist, Dr. Ramón Pina Acevedo, has advanced considerably with his work on a project of reform of the Code of Criminal Procedure.

Under President Jorge Blanco's administration (Decree No. 826 of 1983), on the eve of the Centennial of the translation and adoption of the French codes by the Dominican legislators, several commissions were appointed to prepare a new updated edition of the Civil Code, the Code of Civil Procedure, the Penal Code, the Code of Criminal Procedure, and the Code of Commerce, with the request to incorporate the modifications and amendments made to the same. This task was complied with.

In spite of these efforts, the updating of Dominican legislation remains a colossal task. The distances have to be overcome that separated early 19th century France, whose codes were adopted by the Dominican legal system at the end of the past century, and the Dominican Republic on the threshold of the 21st century.

In order to achieve this objective, multidisciplinary working groups should be formed with specialists of different legal fields as well as with professionals and technicians of related areas.

Their work should be based on diagnoses that present an updated view of reality, with objective indicators and analyses focused upon different themes.

The drafts of normative proposals should not only be submitted for discussion to panels of specialists and groups interested in the subject, but should also receive some feedback from society at large, through the administration of opinion polls.

C. Lastly, is the component of legal education for citizens. The strengthening of the judiciary system demands a better knowledge among citizens of their basic rights, of the laws that rule life in society, and of the functioning of justice itself. This is an indispensable corollary of any real access to the system, and of trust in the impartiality and equity of justice.

The judiciary survey of 1988 recorded that 85% of the respondents considered that citizens ignore their own rights. Likewise, that justice is so complicated that the majority of citizens do not understand anything about its functioning. To

this, one should add that 83% of the lawyers, 64% of the district attorneys and 50% of the judges think that justice favors the rich more than the poor, which gives an idea of the reasons that undermine the trust of the average citizen in the judiciary system.

To achieve this educational purpose, initiatives should be supported that promote massive citizen education campaigns. These campaigns would aim at enabling ordinary citizens to be duly informed of their rights to defense, of the basic contents of the laws that concern them most, and of the judicial procedures available to them.

The laws that rule the family, labor relations, personal income, traffic - to give just a few practical examples - usually affect the majority of the population, without the latter having knowledge of them. The design and implementation of educational campaigns concerning these and other laws could be interesting initiatives for organizations working in the fields of family protection, women's rights, or labor rights, as well as for agencies that offer legal counseling services to less privileged social groups.

These campaigns could be carried out according to the following modalities:

a) Preparation of illustrated educational booklets.

b) Production of audiovisual materials for TV, as well as radio spots.

c) Lectures and workshops for community and grassroots groups in poor neighborhoods and rural areas, on the premises of associations, trade unions, churches, etc.

IV. PROGRAM OF EDUCATION FOR DEMOCRACY

A. One of the objectives of the Project consists of promoting the development of a democratic culture among the population and the main actors of the political and social process.

This means that the strengthening of democratic institutions first requires the internalization by citizens of the true values of pluralism, civilized life in society, recognition of individual prerogatives, respect for the majority principle, conformity with the rights of minorities, the search for justice and collective welfare.

Thus, the incidence should be reduced of a protracted domination by values and practices of an authoritarian and traditional culture (Howard Wiarda describes this concept as the Iberian heritage: authoritarianism, corporativism, hierarchism, patrimonialism). These values are reinforced by countervalues and equally authoritarian practices derived from revolutionary Third World paradigms and from the totalitarian model of so-called real socialism, which were in fashion until recently among groups of young people, sectors of the middle class, popular movements and certain political parties.

These values and practices express themselves in interpersonal relations, in the interaction between the sexes, in the family, the school, business, public institutions, trade union and business associations, churches, the media, political parties, i.e. the whole of society.

B. From another point of view, many of the activities of State reform proposed for support by the Project suppose the development of a mass education component, as well as of other educational activities focussed upon key groups, as indispensable means for the implementation of these activities.

C. At the same time, a growing number of popular organizations and entities of public interest are putting special emphasis on the educational or awareness-raising component as a basic corollary in a process of increased political participation of citizens in the debate of public affairs and in decision-making.

In view of the above, one of the priority areas of the Project should be the promotion of activities of education for democracy.

EDUCATIONAL INITIATIVES

The educational activities of the Project should start from the basic principle that democracy is learned, established and developed within society and the State through daily practice. Thus, the Program of Education for Democracy should integrate a series of activities aimed at:

(1) Teaching the population and specific groups the concrete functioning of the democratic system.

(2) Promoting citizen participation in social and political organizations.

(3) Fostering democratization of public and private institutions.

These activities would include the development and dissemination of material for democratic education, and the promotion of activities contributing to this end (courses, seminars, workshops). These activities would be related to some of the political reforms proposed in the framework of the Project, and to other initiatives that might emerge from within popular organizations, political parties, the remaining civic entities and governmental institutions themselves.

The activities would be developed at different levels:

1. At a basic level, with illustrated educational booklets and mass media campaigns. To this end, specialized personnel would be hired for the preparation of these materials and the organization of the campaigns. Coordination would be established with the institutions of the formal educational system (Ministry of Education, public and private schools, universities), with political and social organizations, and with the media.

2. At an intermediate level, courses and workshops would be held for mid-level leaders of social and political organizations, taking into account the multiplying factor of investing in the training of leaders who in turn will influence their respective groups. Coordination would be ensured with organizations directly involved in activities of education for democracy.

3. At a higher level, specialized activities would be organized for sectorial and political leaders, such as seminars, workshops and panels aimed at consensus-building, dissemination of documentary material, and other related actions. The work would focus on specific topics in view of producing better results. Some possible guidelines have been outlined in the paragraphs dedicated to political reform.

CONCRETE ACTIONS

(1) Actions aimed at integrating education for democracy into the educational system:

1.1 To give support to a new Law of Education whose principles and goals would include the education of citizens for democracy, as well as the development of mechanisms and instances promoting the participation of all actors concerned in the educational process and in the school system, through Class Councils, School Boards and Municipal Boards of Education.

1.2 To motivate those NGOs that carry out activities in the educational sector to adopt this perspective of education for democracy and to give support to this orientation.

1.3 To organize educational events outside the formal sector (courses, seminars and workshops) to achieve the socialization of participants through internalization of democratic values. These events would deal with the substantial components of democracy as a system of government and as a form of citizen life, and would refer to current national problems.

1.4 To prepare a "Citizen's Manual" or "Booklet for Democracy" as part of reference material for both the formal and informal areas of the whole educational system. They would translate the Constitution and other normative documents of democratic life into plain language adapted to the average citizen's daily life.

(2) Actions of massive dissemination strategy of democratic principles, with emphasis on their practical applications:

2.1 To develop a broad mass media campaign on democracy as a political regime, with special reference to the organization of State institutions, and to a form of citizen life based on active participation of the people in the social and political spheres.

2.1.1 To create awareness among producers and sponsors of large-audience radio and television programs of the need to integrate democracy as a component of their programming, through segments specially prepared to this end, or through the assimilation of this theme through regular programming.

2.1.2 To produce and disseminate imaginative and pleasant "spots" of excellent technical quality, on different aspects of democracy and its practical consequences, to be aired through collaboration with radio and TV programs.

2.1.3 To produce and disseminate through the network of NGOs, neighborhood clubs, popular organizations and rural associations a series of "comic books" on the contents and practice of democracy, with reference to the country's social, economic and political problems.

2.2 To include, whenever possible, in each of the Project's initiatives, an education for democracy component that permits dissemination of the contents and goals of the Project among citizens. In each case, the most adequate formula and instruments would be selected.

(3) Actions of promotion of citizen participation in civic and political entities:

3.1 To support the development and consolidation of citizen participation in the so-called "popular or grassroots bodies," through a program aimed at strengthening these entities.

3.2 To promote democratization of institutions both in terms of their functioning and of the composition of their executive bodies, with special emphasis on State institutions whose decisions affect the community, and on those entities that channel political aspirations, such as political parties, or sectorial expectations, as is the case of trade unions and business associations.

3.3 To support administrative and political decentralization, promoting the transfer of resources and decisions to regional, provincial, municipal and local entities and bodies.

(4) Actions of support to electoral reform:

4.1 Focussed workshops for the discussion of a new Electoral Law.

4.2 A program of dissemination of the new Electoral Law at three levels: citizens, political parties and civic organizations.

4.3 Focussed workshops to discuss the Law on Political Parties.

4.4 A program to disseminate the Law on Political Parties.

(5) Actions of support to the modernization of public administration:

5.1 To promote knowledge of the Civil Service Law and Administrative Career.

(6) Actions of support to judiciary reform:

6.1 Creation of a Judiciary Training Unit and of the National School of the Magistracy.

6.2 Massive education campaigns on the citizens' rights to defense, on the basic contents of the most important laws, and on the functioning of justice, with the participation of NGOs and popular organizations.

6.3 Production of modules on criminal justice, labor justice and commercial justice.

V. INVENTORY, DOCUMENTATION, AND SURVEY ACTIVITIES

Some of the initiatives examined in the Project either require preliminary research and documentation, or include a research component.

By the same token, certain activities in this field constitute working tools for such tasks as proposal evaluation by the Selection Committee of the Project, measurement of the impact reached by activities supported by the same, or the formulation of new policies according to the order of priorities to be followed as a result of the periodic revisions of the progress made by the Project.

A. Updated Inventory of Social and Political Organizations; Atlas of Organizations

This would be useful for the executive bodies of the Project (Consultative Council, Operational Unit, Selection Committee and A.I.D.) in view of determining the institutional profile of the social and political organizations submitting proposals to the Project, as well as to know their fields of action, territorial scope and representativeness. Likewise, it would facilitate knowing in detail the organizational universe in which the activities sponsored by the Project take place. It would be a kind of "Who's Who ?"

Two outputs could be derived from this project:

1. A computerized data base that would be kept updated throughout the life of the Project.

2. The publication of an Atlas of Organizations, with territorial references.

B. Periodic Survey System

An instrument to periodically measure and evaluate compliance with the goal and objectives of the Project, as well as the impact of activities sponsored by the same.

The task of selecting objective indicators (quantitative and qualitative) requested from Lic. Rafael Acevedo should constitute the first step towards the design of a survey system which, in scheduled fashion, would permit the establishment of the level of progress reached by the Project.

VI. THE OVER ARCHING CONSENSUS-BUILDING THEME OF THE PROJECT

In general, consensus building is an over arching theme of the project. The purpose of each sub-grant is to move people toward consensus through the development, dissemination, and discussion of well-argued positions, both pro and con, on subjects considered critical to the democratization process in the Dominican Republic by the Dominicans themselves. Proposals for the development of fora for the purpose of consensus building are not precluded as activities unto themselves as long as the proposals meet all the selection criteria. Such proposals will compete equally with all others that also meet the selection criteria

One of the main obstacles to the functioning of the Dominican political system is the absence of a culture of concerted agreement and compromise, and the lack of practice of responsible collaboration among different political forces. In spite of heavy pressures by civil society to reach agreements on certain concrete objectives, the reluctance of the political leadership to negotiate and compromise blocks the possibility of agreement.

At present, several consensus-building spaces exist in Dominican society. In the field of labor relations between the unions, business and the State, the Catholic Church has articulated a fruitful experience of dialogue, negotiation and agreement in areas such as salaries, social security and labor legislation. Between the Executive and the business community several mechanisms of consultation have evolved regarding labor issues and structural reforms of the economy.

As far as NGOs are concerned, organizations such as Foro Urbano, Consenso Agrario and Plan Educativo, under the auspices of the Friedrich Ebert Foundation, as well as Foro Nacional - composed of several NGOs, grassroots and religious entities - have been discussing topics of public interest from the standpoint of their member groups. A pioneer organization, FORUM, also backed by the F. Ebert Foundation before its disappearance organized about thirty events whose results were published in a series also entitled FORUM. More recently, the Club of Executives decided to promote a "national agenda" with an appeal to reach concerted agreements among different sectors.

VII. PROGRAM OF MODERNIZATION OF CONGRESS

This consists of a series of actions aimed at equipping the National Congress with adequate tools for the performance of its duties.

A. Documentation Center

This Center would be organized based on the documentary and bibliographical resources of the Library of the Congress, with qualified technical personnel and modern equipment, in order to provide documentation and orientation services to legislators, especially to the working commissions, to the staff of advisers, and to a Program of Research and Consultation. CODETEL has offered a donation of computer equipment.

B. Advisory and Consultant Services

Aimed at strengthening the capacity of Congress to rely upon external advisory and consultant services in order to adequately cover the main areas of specialization required for its work. The talent bank and documentation currently existing in the different consulting firms and research centers would be put to use for this activity.

C. Research Program

Development of a research program on the functioning of Congress. In spite of being a body of such important power, it lacks basic and systematic studies.

D. Training and Updating Activities

The diversity and complexity of the tasks of Congress at a time of rapid change in the economy, in society and in the State, require a series of specialized seminars, workshops and courses for legislators, in order to improve their qualifications and to update their knowledge. An example of this is the package of economic and institutional reforms that Congress will have to process in the next three years. The reform of the Constitution is also being considered.

VIII. CONSTITUTIONAL REFORM

Several of the activities examined in the Project require amendments to the Constitution. This fundamental document has been in effect for 26 years. During this period, the economy, society and the functions of the State itself have undergone significant transformations that demand adjustments to the

constitutional text. On several opportunities (1974, 1980, 1982, 1986) constitutional reform projects were introduced unsuccessfully.

Recently, UNPHU held a Seminar on Constitutional Reform. Previously, in 1990, PUCMM had organized several workshops that resulted in a document called Institutionalism and Development, which outlines several constitutional reforms. In September 1991, the group of PRD members of the House of Representatives submitted to this assembly a bill that would modify certain articles of the Constitution.

The reform of the Constitution is an extremely "raw" topic that will demand intensive efforts, such as research and documentation, as well as consensus-building and dissemination.

Leaving aside a more exhaustive analysis, two points should be remembered:

A. Objectives of the Constitutional Reform

Any project of constitutional reform should be aimed at:

1. Restricting excessive power concentrated in the figure of the President of the Republic, which tends to practically annul all other powers of the State.

2. To make the current system of representation, i.e. the Senate, the House of Representatives and the Municipalities, more democratic, precise, representative and auditable.

3. To redefine certain faculties and functions of these powers, in order to establish a better democratic balance. Example: to transfer faculties and functions of the Executive to Congress (Comptroller), from Congress to the Judiciary (appointment of the remaining judges of the Supreme Court of Justice), from the Senate to the House of Representatives (possible example: the House of Representatives could appoint the JCE). This would also make Congress more symmetrical.

4. To strengthen the organic independence of the Judiciary, of the comptrolling function, and of the Junta Central Electoral.

B. Strategies for Constitutional Reform

The strategy to reform the Constitution could basically follow three different roads:

1. An integral reform of all its parts (titles, sections and articles) in one single effort of revision.

2. The partial amendment of certain articles of the text in one single session of the National Assembly.

3. A program of successive partial amendments, inspired by an integral approach, at several Revisory Assemblies.

The first option presupposes the following practical requirements: a. that a group of legal experts prepare a new constitutional text; b. that a previous broad consensus exists on the need for an integral modification of the Constitution; c. that Congress, in its capacity as National Assembly, decides to discuss the reform during several months.

The second option is the one selected until now by the authors of the five failed attempts at reforming the current Constitution. It was reiterated by the PRD, in its recent proposal to modify 29 articles out of the 124 of said document; these articles refer to the nationality, the Executive, the Judiciary, the Congress, the Comptroller and the elections.

The third option would start from a basic consensus that the Constitution needs adjustments, but would admit that there does not seem to be the necessary social and political consensus - including of the majority parties - on the type of changes required. It would recognize the seriousness and complexity of a constitutional reform process, and would establish a program of successive partial amendments within an integral approach, ranging from the area where the highest level of previous agreement would exist (this is precisely the area with less relative power within the current constitutional order) to the more sensitive issues that weigh more heavily in the actual distribution of power.

Thus, first the Judiciary Branch would be discussed, for which there already exists the Project of the Supreme Court of Justice, with the substantially similar proposal of the PRD. Then, during a second round of revisions, the system of representation would be studied (Congress, municipalities), as well as the electoral system. In a third round, the difficult topic of the powers of the President of the Republic (Art. 55) and the organization of the Executive, the creation of the figure of a Council of Government and of a consultative body of

sectorial representation (National Council of Development), as well as of provincial and regional bodies would be discussed.

This strategy would be more in line with the type of intervention required by the Constitution; it would also constitute a more serene exercise and would allow for better documentation and public debate. Moreover, it would adjust to short and mid-term programming so as to enable Congress to continue performing its usual tasks.[1] The political actors themselves would thus have sufficient time to accommodate themselves to the situation, which would reduce suspicions caused by hasty reforms.

IX. PARTICIPATION OF WOMEN

A. The analysis of the indicators of social and political participation of women in Dominican society reveals a considerable increase:

1. In the labor force (above all in the industrial free zones, tourism and the service sector in general, with particular importance in financial activities).

2. In secondary, university and technical education. Study programs as pedagogy, medical technology, laboratory technology, accounting - at the UASD - and education, interior design, executive secretarial studies, banking techniques, accounting, medical and laboratory technology, law, sciences - at the UNPHU - more women than men are enrolled, and in architecture and medicine they constitute a large group, as well. In the new programs that grant bachelor or technical degrees in information sciences, hotel administration, tourism, banking and languages - mostly offered by recently established institutes, as well as by some universities - the presence of women is overwhelming.

3. In the Electoral Register and in the elections themselves, where the weight of the female vote has been growing progressively.

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[1]The reform mechanism established by the Constitution does not address the possibility of convening special elections for a Constituent Assembly. The National Assembly (the plenary of both Houses), convened by law, is the only defined mechanism to implement the constitutional amendment, "which will determine the object of the reform and indicate the articles of the Constitution concerned."

4. In the electoral campaigns of the main parties, through specific women's entities or campaign committees.

5. In popular neighborhood organizations, which are in fact mostly inspired by women.

B. Concomitantly, in spite of the fact that women's issues were included in the programs of the parties that participated in the past elections (PLD, PRD, Partido La Estructura, and the coalition of Emergent Parties), and that they are part of the rhetoric of speeches and political campaigns, their presence on the lists of eligible candidates and, consequently, in the representative bodies of the State (Congress and Municipalities) diminished considerably as compared to previous years, when the participation of women was already very low.

In the leading bodies of the political parties, trade union, professional and business organizations, other intermediary associations and in the executive structure of the State itself (Executive, Congress, municipalities, Judiciary), there remains a marked asymmetry between the importance of women at the base of society, economy and politics, and their integration at the intermediate and upper levels of leadership.

An obvious example is that there are no women among the 30 Senators; out of 120 Representatives there are only 14 women (8 PRSC and 6 PLD). Until recently, there was only one woman in the cabinet (at present there are 3 -- Finances, Public Health and Education); only one woman has become Secretary General of one of the several existing trade unions -- Nélsida Marmolejos, who is also Representative for the PLD. Among the leadership of the National Council of Business there are no women, and among the remaining entrepreneurial associations, only the National Association of Young Entrepreneurs (ANJE) is headed by a woman.

C. Consequently, one of the strategic objectives of the Project should be to promote initiatives tending to remove the factors that intervene in this unequal situation. An example of the type of actions that could be sponsored in this area to increase the level and quality of women's participation in social and political organizations is the following:

1. Training: a training program, with emphasis on women's issues but not limited to those issues, and geared towards women leaders - at upper, intermediate and basic levels - in political parties in order to equip them with analytical tools, information and working methods enabling them to reach equal levels with the men in their parties. This program could be extended to trade union, community-based, professional and business organizations, in order to comply with the same purpose

and to enable women to reach higher levels of representation in their own institutions and in the political system. This would include seminars, workshops, courses and dissemination of bibliographical material.

2. Strengthening of the role of women in Congress and in Municipal Councils: this would consist of a program of advisory and consultant services allowing the 14 female legislators to increase their capacity of legislative initiative in areas specifically related to women's issues and other matters of social and political importance, as well as to improve their participation in the general parliamentary and public debate, and to develop their leadership. This program could be extended to the women members of the Municipal Councils all over the country. Its contents would range from training modules on how to prepare draft bills or resolutions, to public speech, parliamentary procedures and specific consultations.

3. Public opinion campaigns: a series of public opinion campaigns aimed at modifying the stereotypes that characterize the roles assigned to women and which block their access to executive positions. Women's participation would be promoted at all levels of society and of the State, and attempts would be made to eliminate social prejudice that limits the role of women.

D. The participation of women in other activities of the Project. In these activities, emphasis should be put on the integration of women; for instance, in administrative reform, judiciary reform, democratization of the parties, activities of education for democracy, and consensus-building activities, this purpose will have to be present, and concrete actions will have to be contemplated for its implementation.

EDUCATION FOR DEMOCRACY

I. CONCEPTUALIZATION

Ever since its origins, democracy has been understood as a particular way of organizing state institutions and use and distribution of power that implies the prominent participation of citizens. That is democracy conceived as a political regime.

This particular form of organizing the state and its fundamental institutions on the basis of broad citizen participation supposes the strengthening of civil society and the development within this society of different and varied organizations through which citizens actively participate in the analysis and solution of the problems affecting them. These organizations, moreover, have to facilitate the participation of civil society in the process of making decisions regarding public affairs, as well as in the implementation of these decisions.

From this point of view, democracy is a citizens' way of life. Therefore, democracy is at the same time a political regime of government and a form of citizen life.

Besides being a political regime and a form of citizen life, democracy should also mean the solution of the fundamental problems of national majorities. Otherwise, it would bear no direct relation to the concerns felt by the citizens, especially in our society where the poor are the majority. In some way or another, democracy has to represent a means for material progress for these majorities.

Although democracy is assumed to be a political regime, it is also understood that, as such, it has not been completely fulfilled yet. This is why substantial transformations are required to make this democracy more authentic and real. Rather than as a starting point, we see democracy as a point of arrival: it is not completed yet -- it still needs to be improved. If necessary, a new democracy has to be built for times that are also new.

For democracy to be more than just formal, the "democratic" organization of state institutions should be accompanied by the participation of civil society and of citizens in public affairs. In order to convert this into a reality, citizens should adopt and internalize the basic principles of democracy, and apply them to their daily exercise of political life. Consequently, citizens have to be educated in democracy in order to be able to exercise it, claim it, and defend it.

Although citizens appear to be the subjects of democracy, this is only true to the extent in which they become participating actors in its processes, through collective actions of a social, political and economic nature.

The education of citizens in democracy becomes even more necessary, in cases like the Dominican Republic, when the political system limits their participation to exercising their voting rights every four years, institutionalization is very precarious, the centralization and preeminence of the state have diminished the potential of civil society, and where authoritarian forms of exercising political and social power are prevalent.

The reform of the state, both in its technical and political aspects, will only have the expected success when citizens start exercising democracy as a daily practice. This is why it is important to contemplate the development of a broad program of "Education for Democracy" as part of the state reform process. This education should be conceived as the development of a political culture among citizens, based on democracy and on its daily exercise.

The "Education for Democracy" program is composed of a series of duly integrated activities intended to make common citizens and the country's leadership concretely understand the democratic system of government, which implies their participation both in civil society and in the strictly political sphere. This program should start with the principle that democracy is learned, established and developed within society and within the state, through its daily practice, exercising it every day.

II. OBJECTIVES

The objectives of the Education for Democracy program are an organic part of the Democratic Initiatives Support Project that aims at achieving the political and technical reform of the state in order to make it more efficient and democratic. These objectives are as follows:

2.1 To promote a collective building and adoption of the principles, roles and attitudes of democracy.

2.2 To foster the strengthening of the bodies and mechanisms through which citizen participation can be developed.

2.3 To encourage the democratization of institutions and social processes.

2.4 To achieve the formation of citizens who are better aware of, and more responsible for their rights and duties in the social and political spheres.

Democracy as a political regime will only become a reality and way of life when its principles are known, internalized and transformed by the citizens throughout the daily practice of the institutions and bodies that compose the socio-political system.

III. STRATEGIES

The above mentioned objectives of the program will be achieved through a series of timely actions and activities carried out within the broader framework of relevant strategies. These strategies would be the main and most adequate options for the achievement of the objectives, on the basis of particular actions and in conformity with the nature of the options themselves.

In order to educate citizens in democracy, three main strategies have been designed:

3.1 The utilization of the educational system, both formal and informal, for the internalization of democratic principles by the students, and for the practice of democracy throughout the educational process by all its actors (students, teachers, parents and tutors, as well as the community by way of its representatives).

3.2 The use of the media to make citizens literate in the principles of the democratic regime regarding the organization of the state as well as the practice of democracy in daily life.

3.3 The strengthening of citizen participation in all aspects of social and political life, with special emphasis on municipal institutions and community-based entities.

IV. PRINCIPAL ACTIONS

The actions aimed at achieving these objectives within the framework of the above strategies are the following:

4.1 In conformity with the strategy of integrating the educational system with Education for Democracy, the following actions should be undertaken:

4.1.1 Support and follow-up to a new Education Law that would include among its principles and purposes the development of democratic citizens, as well as mechanisms and bodies that foster participation in the educational process and in the school system of all actors, such as the Class Councils, the School Boards, and the Municipal Councils of Education.

4.1.2 The achievement of Education for Democracy becoming a component of the study programs of the first years of education, and introducing it in the training programs of teachers, since teachers will only be able to teach these principles if they know them well.

4.1.3 Support for Non-Governmental Organizations (NGOs) that agree to develop activities in the educational sector that assume this Education for Democracy perspective.

4.1.4 Organization of events in the framework of informal education to ensure socialization and internalization of democratic values among the participants. These events would be courses, seminars, and workshops on the substantial components of democracy and on current topics of national interest.

4.1.5 Preparation of a "Citizen's Manual" to be included as reference material throughout the formal and informal educational system, and which would translate the constitutional texts into a language easily understood in daily life.

4.1.6 Utilization of traveling performances of popular plays with contents that would strengthen democracy in the different communities of the national territory.

4.2 The strategy of teaching citizens the basic principles of democracy, with emphasis on practical applications, would be implemented through the following actions:

4.2.1 To develop a broad mass media campaign on democracy as a political regime, with special reference to the organization of state institutions, and as a form of citizen life based on broad and plural participation of citizens in the social and political spheres. Given the fact that women represent almost 50% of the population and are very much excluded from participation in democracy, their situation should certainly be taken into account in the contents of the messages prepared for the promotion of democracy. Women and their issues should be seen and presented as subjects of a process of which they still have to become full part.

4.2.2 To create awareness and commitment among producers and sponsors of large-audience radio and television programs so that Education for Democracy becomes a component of their programming, either through specially prepared segments on this topic, or including it in their regular programs.

4.2.3 Production of "spots" on different aspects of democracy, with emphasis on its resulting practices. These "spots" should be of high quality so that radio and television programs agree to broadcast them in the name of collaboration.

4.2.4 Production and broad dissemination, especially through the NGOs, neighborhood clubs and grassroots groups, of "comic books" about the ingredients and practice of democracy, making reference to the social, economic and political problems of the country.

4.2.5 Each of the activities that the Project supports should contain an Education for Democracy component, with sufficient resources to inform citizens of the contents and goals of each activity. In each case, the most adequate formulas and instruments should be found to communicate these components.

4.3 The actions contemplated within the strategy to strengthen citizen participation in the institutions of civil society as well as in the strictly political sphere are be as follows:

4.3.1 Defense of and support for the development and consolidation of citizen participation in the so-called "popular or grassroots organizations," through a program aimed at strengthening these bodies and promoting democratic participation of members. As leadership is such an important function in democratic life, because of its role as "facilitator and enhancer" of participation and growth of the people, it is necessary and convenient to undertake efforts to strengthen the leadership of grassroots or popular groups.

4.3.2 Defense of and support for the "democratization of institutions," both in terms of their operation and of the composition of their executive bodies. In this area, priority will have to be given to state institutions that make decisions affecting national majorities, as well as to those which channel the political aspirations and sectorial claims of citizens, such as political parties, trade unions and business associations. An awareness should be generated of the fact that the rule of democracy implies a redistribution of political, social and economic power. Participation, which is consubstantial to democracy, assumes the access of new subjects to the mechanisms of power. This is how it has to be.

4.3.3 Support for and promotion of administrative and political decentralization, which implies the transfer of resources and decision-making ability to entities and bodies at regional, provincial and municipal levels, with emphasis on the latter.

4.4 Together with the above mentioned actions, it is also considered necessary and convenient to undertake activities with the objective of further enhancing the knowledge and attitudes of Dominicans regarding Education for Democracy and Democracy itself. The following concrete actions are proposed:

4.4.1 To undertake a research study, preferably at the beginning of the implementation of the Project, intended to detect the level of

knowledge Dominicans possess on the democratic regime, as well as their attitudes towards the fundamental principles of democracy. Priority should be given to a dynamic, process-type approach, in order to overcome static and merely formal points of view.

The research proposed would base its work on already existing material from which sufficient information could be extracted on the contents of democracy and attitudes regarding its essential principles.

Besides contributing valuable information, this study would also make possible the evaluation of the influence of "Democratic Initiatives" on the expansion of knowledge regarding democracy, as well as on the modification of Dominican attitudes towards it.

Another objective of this study would also be to deepen the topic of Dominican Political Culture regarding Democracy.

Education for Democracy is a determining factor in the consolidation of the democratic regime. Therefore, the more knowledge is available on this topic, the more possibilities there will be to socialize citizens in democratic attitudes and internalize its principles to then translate them into the daily exercise of citizen life.

ANNEX E

ANALYSIS OF THE ORGANIZATION IN CHARGE OF IMPLEMENTING The Project

PONTIFICIA UNIVERSIDAD CATOLICA MADRE Y MAESTRA

(Taken from the "Administrative, Legal and Institutional Analysis," prepared by Lic. Adriano Miguel Tejada)

After several consultations among the Consultative Group in charge of designing the Project, it was widely acknowledged that the Pontificia Universidad Católica Madre y Maestra (PUCMM) was the most suitable institution in the country to carry out the implementation of this kind of project. Even though other organizations could also have been considered as candidates, they themselves recognized that PUCMM, thanks to its experience, staff, independence, close links with the political actors, and ability to build consensus would adequately perform the tasks involved in a Project of this nature.

I. GENERAL DESCRIPTION

The Universidad Católica Madre y Maestra was founded on September 9, 1962, by the Conference of Dominican Bishops. It was established in Santiago, the second city of the country, and called "Madre y Maestra", in honor of Pope John XXIII's social encyclical.

According to its statutes, the University is a private and autonomous institution, open to all persons without distinction of race, social class, ideology or religious beliefs, and dedicated to serving the community.

The University was recognized as an institution of higher education by the Dominican Government in December 1962, which granted to its studies and diplomas "the same scope, force and validity as those of the Universidad Autónoma de Santo Domingo".

The University initiated its academic programs on November 15, 1962, with studies in education and law. It quickly began to develop programs never offered before in the country, such as business administration, economics, electrical and mechanical engineering and nursing at undergraduate level, among others.

On December 8, 1965, the Dominican State, by Law No. 76, included the University in the national budget, allotting it a yearly subsidy of 1.2 million pesos to contribute to its academic efforts. The different public administrations have always respected this decision, and at present the annual contribution of the Dominican State is RD$4,608,654.

During the seventies, the University opened campuses in Puerto Plata, on the North Coast, and in Bonao, in the center of the island, offering technical programs and training activities in the fields of technology, hotel administration and other related areas.

In 1981, the University opened its campus in Santo Domingo, the Recinto Santo Tomás de Aquino, the site of most of its graduate programs and of its public sector-related activities. To date, the Recinto has graduated more than 2,000 professionals and has granted more than 21,000 diplomas for continuing education courses.

In total, the University has graduated more than 12,000 students and has delivered more than 30,000 diplomas in its different programs. In September 1987, on its 25th anniversary, Pope John Paul II honored the University with the Pontifical title (Papal Decree No. 1504/86/26). Since then, the University has been known as Pontificia Universidad Católica Madre y Maestra (PUCMM). In this document, we will refer to it as PUCMM.

II. LEGAL STATUS

PUCMM was recognized as an institution of higher education by Law 6150 of the Council of State on December 31, 1962. This law conferred legal status on the University, which means that it became a subject of rights and duties.

The PUCMM and the Universidad Autónoma de Santo Domingo, the State University, are the only academic institutions established by law. The remaining universities of the country have been established by Presidential Decree, which gives them a weaker legal status than the above mentioned institutions.

Likewise, PUCMM is registered as a PVO/NGO with the local USAID Mission.

According to its Statutes, all contracts entered into by PUCMM have to be signed by its Rector and approved by the Board of Directors. This approval may be issued after the signature of a specific contract, but for a contract to be legally valid as far as PUCMM is concerned, the University needs formal approval by its Board of Directors.

For the administration and other procedural matters of a specific program, unless there are special provisions to the contrary, there is no need for subsequent approval by the Rector nor by the Board of Directors.

III. ADMINISTRATIVE CAPABILITIES

In conformity with its Statutes, PUCMM is an institution whose authority is delegated through several bodies, ranging from the Board of Directors to the different departments in charge of implementing their respective academic or administrative programs or special projects. The organizational structure of the University enables it to systematically carry out the necessary controls, while at the same time ensuring the independence that the different units need to create and implement solutions.

The best way of observing these characteristics is to analyze the organization of the University, its administrative expertise, and the capabilities of its staff.

A. Organization

For the purposes of this analysis, we will concentrate on the following aspects:

1. Financial Control System

PUCMM's accounting system is known as "Accounting of funds for non- profit organizations," and the main responsibility in this system rests with the Rector, by way of the Administrative and Financial Vice-Rector in Santiago, and the Executive Vice-Rector of the Santo Domingo campus.

Basically, under these two officers, a Comptrolling Office and an Accounting Office report to them and carry out the operations. There is also an Internal Audit Office, and the services of an outside firm have been hired to perform the external audit. At present, the external audit firm of PUCMM is Fernández, Pellerano & Asociados, a firm associated with Coopers & Lybrand (International).

Depending on complexity and volume, in the past, two techniques have been used to manage specific projects: establishing desks at the Accounting Department, or creating a special unit for the management of a specific program. These special units have the authority to earmark or use funds according to guidelines provided for a specific project. The latter has been the case of the USAID-PUCMM programs, mentioned hereafter.

The fund accounting system allows for considerable versatility and independence in the management of special programs, which is one of the characteristics required by the Project under consideration.

2. Financial Accountability System

PUCMM's administrative experience with international programs, its relationship with different State projects, and its contacts with the private sector, are all aspects of the work of the University that have an impact on its financial accountability.

As an institution of higher education, the annual financial statements show a constant need for funds, but at the same time, they indicate a great capacity to survive in difficult times and to administer the resources they have received with utmost honesty.

Since 1966, PUCMM has been receiving funds from the Dominican Government without any questioning, and the same could be said about its international programs that involve the use of funds, some of them covered by written guarantee from the Dominican State.

There is no doubt whatsoever in the mind of this consultant that PUCMM is capable of managing this Project in observance of all the rules of financial accountability, as it has done in the past.

3. Administrative Capability to Manage the Project

The expertise of upper and middle administrators, their academic training and reputation, the availability of staff, as well as the degree of delegation of authority, are elements to be taken into account when evaluating the administrative capability of the organization that will implement this Project and that will have to comply with its obligations as the responsible party for the basic work of the Project.

a. Availability of Staff

As far as staff is concerned, PUCMM seems to be well equipped to manage this kind of Project in particular.

At present, PUCMM has more than 500 faculty members and an equal number of administrative and support staff on the Main Campus of Santiago. The Recinto Santo Tomás de Aquino, by itself, has 165 professors, 31 directors of academic and administrative units, and 192 employees dedicated to administrative and support tasks.

Several members of the academic staff are currently studying abroad, in fields related to this particular Project. Upon their return to the country, they will constitute an important additional asset for this program.

Thanks to the health of PUCMM's training programs, as described above, and to its reputation in the country, the University has been able to recruit talented Dominican professionals from other local universities, as well as from abroad.

Experience with other programs, including the USAID-PUCMM programs, permits the conclusion that staff availability is not a critical area for this Project.

b. Degree of Independence of the Unit that Will Administer the Project

It is recommended that a Unit of the Project be established at the Recinto Santo Tomás de Aquino, the PUCMM campus in Santo Domingo.

This Unit will need the same degree of independence as the previous A.I.D.-PUCMM Program Unit enjoyed, as mentioned subsequently.

Moreover, due to the nature of this Project, the Operational Unit will have to work in close relationship with the Consultative Council, and it will need an easily accessible location that facilitates contact with the public in general and with PVOs.

On the basis of previous experience, this consultant does not expect any future problems with the degree of independence that this Project will need for its decision-making and implementing structures.

B. Experience in Project Management

Since its foundation, PUCMM has been linked to different programs financed by international organizations. We have selected the most important of these programs to analyze PUCMM's institutional experience as far as the implementation of projects is concerned -- one of the aspects that reflect best PUCMM's capacity to administer this Project.

The selected programs range from 1966 to date, and involve organizations such as the United Nations Development Programme (UNDP), the Inter-American Development Bank (IDB), and the Agency for International Development (A.I.D.).

1. UNDP-PUCMM Program

The intention of this project was to establish an Electrical and Mechanical Engineering Program at PUCMM. It was initiated on July 1, 1968 and terminated on June 30, 1975.

Originally, this project was meant to create programs in Engineering Technology, in a country without any tradition in this kind of activity. The effort included technical assistance, a local mission to manage the Project, and the assignment of funds to train Dominican citizens already active in these fields, in order to have them ensure follow-up throughout the program.

Initially, the Project was conceived for a duration of five years (1968-1973), but its success led to the signature of a Supplementary Agreement that extended the program for two more years and allowed it to open up other areas of engineering. The program helped to establish a Civil Engineering program, and to plan a Chemical Engineering program. Likewise, it assisted in the expansion of the Department of Technology, with new laboratory facilities and equipment.

The total cost of the program was in excess of 3.5 million dollars.

The program was so successful that its laboratories are still in use, and less than a year ago, it was quoted in a United Nations manual as an example of cooperation and efficiency.

Another project with UNDP funds in which PUCMM participated, was the Program for Training of Secondary School Teachers, jointly with the Universidad Autónoma de Santo Domingo (UASD) and the Universidad Nacional Pedro Henríquez Ureña (UNPHU) in the mid-seventies.

2. IDB-PUCMM Programs

PUCMM has signed two programs with the Inter-American Development Bank.

The first was signed on August 4, 1971, and its implementation was completed by 1976, with a total of US$5.2 million. The IDB lent US$3.4 million, and PUCMM contributed with $1.8 million.

The main purpose of the program was to consolidate the physical and academic infrastructure of PUCMM. To achieve this goal, the program included the construction of 7 new

buildings for classrooms, laboratories and other facilities; the remodeling of three other buildings; and the acquisition of equipment, bibliographical material and expendables.

In addition, funds were allotted to train faculty and to facilitate technical assistance.

In 1977, a second loan was guaranteed, for a total amount of US$3.9 million, as part of a US$6.68 million program.

The purpose of this new program was to strengthen the Health Sciences and Engineering Technology Programs. Six new buildings were constructed and equipped, and expendables and supplies were acquired. Monies were also allotted for scholarships, faculty training and technical assistance.

These two programs consolidated the physical infrastructure of the Santiago Campus and strengthened the existing programs initiated by the UNDP-PUCMM Program and the A.I.D.-PUCMM Program, administered by the University of Saint Louis.

3. A.I.D.-PUCMM Programs

The relationship between PUCMM and A.I.D. goes back many years and, according to an official of the University, has been "beneficial for both institutions and for the country as a whole, with a profound impact on the development of a new Dominican Republic."

Both institutions have been linked through several programs throughout the years. In 1966, the relationship started with the program administered by the University of Saint Louis, up to the special program to promote the Civil Service Law. We will now give some details of these programs.

a. The 1966 Program

In 1966, a program was designed to strengthen the teaching and fund-raising capacities of PUCMM.

The program was started up with the help of A.I.D. and was administered by the University of Saint Louis. The program lasted for six years (1966-1972) and cost US$1,650,262.

The A.I.D. Program at PUCMM had six main objectives:

- To establish a Department of Social Sciences, including sociology, political sciences, anthropology, history, and economics.

- To help in the establishment and operation of a library.

- To assist in the establishment and operation of a program to teach English, including funds for a language laboratory.
- To help develop a Department of Education, and to improve faculty training programs.

- To assist in the development of a fund-raising office.

- To facilitate diverse assistance necessary for the achiement of the above objectives.

One of the most important aspects of this program was that 36 faculty members were sent to study abroad. This was the cornerstone of PUCMM's faculty development. All the objectives were achieved and this program helped to set the basis for the development of the social sciences area at the University, as well as the need for a well-equipped and updated library as the real heart of the University.

b. The 1983 Program

This new program contributed to the development process of the Recinto Santo Tomás de Aquino, the PUCMM facility in the capital city of Santo Domingo. It was initiated on June 23, 1983, and its goal was to improve human resources as the necessary basis for the national development of the Dominican Republic, as well as the physical and human infrastructure needed for the success of these specific programs.

The purpose of the Project was to establish a quality graduate program of education in administration, and of training and research at the Pontificia Universidad Católica Madre y Maestra. The program was specifically oriented towards the preparation of managers and administrators with broad knowledge, and with theoretical and practical training from both the public and private sectors of the Dominican Republic. The immediate objective was to fill the obvious need for management skills in business and government.

The Project helped PUCMM to establish and conduct graduate academic programs leading to Master's Degrees in Business Administration and Public Administration, as well as a new Institute of Executive Development, and an Administrative and Economic Research Center, within the School of Administration of PUCMM. This combined the University's existing Unit of Applied Economic Research with a new research program applied to business, as well as research in public administration.

In October 1985, the program was revised to include a program in Hotel Administration. A.I.D. allotted $6,212,807 to both programs (this amount includes both U.S. Dollars and Dominican pesos), and PUCMM contributed with a counterpart of RD$23,951,632.52 between June 1983 and June 1991 for both components of the program.

A series of buildings were constructed, and 12 scholarships were guaranteed for Business Administration, as well as 6 for Hotel Administration, besides thousands of short training courses.

Since completing the program, the Recinto Santo Tomás de Aquino has become the most important center of academic and civic activities in Santo Domingo.

c. Special Programs

PUCMM and A.I.D. have worked together on many other special short- term projects with specific goals, such as training for Dominican legislators, and the design and implementation of a strategy for the enactment of the Civil Service Law and the Administrative Career.

The Legislative Training programs were held shortly after the national elections of 1982, 1986 and 1990.

In all cases, A.I.D. facilitated the necessary funds so that PUCMM could offer technical assistance and cover the cost of the program. The first two courses took place in Santiago, and the 1990 version was celebrated in Puerto Plata.

These programs were carried out with the participation of professors of UNPHU, INTEC, UASD and PUCMM, and has proven to be very successful.

The Project designed for the enactment of the Civil Service Law reached its goal several months ago. A new program to design a strategy for implementation of the objectives of this law is now being prepared.

PUCMM has also worked on programs sponsored by public foundations and organizations from the United States, Canada and Europe.

On the basis of this and other programs, PUCMM is a well-prepared institution for handling the responsibilities involved in this kind of project.

IV. CONCLUSION

According to the analysis of the administrative capabilities of the implementing organization, the PUCMM is capable of and appropriate for managing a Project with the characteristics herein proposed.

PUCMM possesses a financial control system that is adequate for the purposes of this Project, as well as the appropriate financial accountability and administrative capability to manage it.

PUCMM's experience with programs that involve the participation of international organizations extends from 1966 to the present. Its 25 years of experience, and its staff availability today and throughout the life of the Project, are guarantees for the success of the administrative aspect of this particular effort.

Moreover, the existence of special units within PUCMM, with specific approaches to political, social and women's issues, such as the Center for Political and Social Studies and the Center for Women's Studies, is an additional guarantee of success in the management of the Project.

This consultant has no doubts that PUCMM possesses the administrative capabilities, the respect for and the contacts with the political environment and NGOs, the open spirit and the institutional charisma that are required to convert this Project into a success.

ANALYSIS OF THE ORGANIZATION IN CHARGE OF IMPLEMENTING The Project

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II. LEGAL STATUS

PUCMM was recognized as an institution of higher education by Law 6150 of the Council of State on December 31, 1962. This law conferred legal status on the University, which means that it became a subject of rights and duties.

The PUCMM and the Universidad Autónoma de Santo Domingo, the State University, are the only academic institutions established by law. The remaining universities of the country have been established by Presidential Decree, which gives them a weaker legal status than the above mentioned institutions.

Likewise, PUCMM is registered as a PVO/NGO with the local USAID Mission.

According to its Statutes, all contracts entered into by PUCMM have to be signed by its Rector and approved by the Board of Directors. This approval may be issued after the signature of a specific contract, but for a contract to be legally valid as far as PUCMM is concerned, the University needs formal approval by its Board of Directors.

For the administration and other procedural matters of a specific program, unless there are special provisions to the contrary, there is no need for subsequent approval by the Rector nor by the Board of Directors.

III. ADMINISTRATIVE CAPABILITIES

In conformity with its Statutes, PUCMM is an institution whose authority is delegated through several bodies, ranging from the Board of Directors to the different departments in charge of implementing their respective academic or administrative programs or special projects. The organizational structure of the University enables it to systematically carry out the necessary controls, while at the same time ensuring the independence that the different units need to create and implement solutions.

The best way of observing these characteristics is to analyze the organization of the University, its administrative expertise, and the capabilities of its staff.

A. Organization

For the purposes of this analysis, we will concentrate on the following aspects:

1. Financial Control System

PUCMM's accounting system is known as "Accounting of funds for non- profit organizations," and the main responsibility in this system rests with the Rector, by way of the Administrative and Financial Vice-Rector in Santiago, and the Executive Vice-Rector of the Santo Domingo campus.

Basically, under these two officers, a Comptrolling Office and an Accounting Office report to them and carry out the operations. There is also an Internal Audit Office, and the services of an outside firm have been hired to perform the external audit. At present, the external audit firm of PUCMM is Fernández, Pellerano & Asociados, a firm associated with Coopers & Lybrand (International).

Depending on complexity and volume, in the past, two techniques have been used to manage specific projects: establishing desks at the Accounting Department, or creating a special unit for the management of a specific program. These special units have the authority to earmark or use funds according to guidelines provided for a specific project. The latter has been the case of the USAID-PUCMM programs, mentioned hereafter.

The fund accounting system allows for considerable versatility and independence in the management of special programs, which is one of the characteristics required by the Project under consideration.

2. Financial Accountability System

PUCMM's administrative experience with international programs, its relationship with different State projects, and its contacts with the private sector, are all aspects of the work of the University that have an impact on its financial accountability.

As an institution of higher education, the annual financial statements show a constant need for funds, but at the same time, they indicate a great capacity to survive in difficult times and to administer the resources they have received with utmost honesty.

Since 1966, PUCMM has been receiving funds from the Dominican Government without any questioning, and the same could be said about its international programs that involve the use of funds, some of them covered by written guarantee from the Dominican State.

There is no doubt whatsoever in the mind of this consultant that PUCMM is capable of managing this Project in observance of all the rules of financial accountability, as it has done in the past.

3. Administrative Capability to Manage the Project

The expertise of upper and middle administrators, their academic training and reputation, the availability of staff, as well as the degree of delegation of authority, are elements to be taken into account when evaluating the administrative capability of the organization that will implement this Project and that will have to comply with its obligations as the responsible party for the basic work of the Project.

a. Availability of Staff

As far as staff is concerned, PUCMM seems to be well equipped to manage this kind of Project in particular.

At present, PUCMM has more than 500 faculty members and an equal number of administrative and support staff on the Main Campus of Santiago. The Recinto Santo Tomás de Aquino, by itself, has 165 professors, 31 directors of academic and administrative units, and 192 employees dedicated to administrative and support tasks.

Several members of the academic staff are currently studying abroad, in fields related to this particular Project. Upon their return to the country, they will constitute an important additional asset for this program.

Thanks to the health of PUCMM's training programs, as described above, and to its reputation in the country, the University has been able to recruit talented Dominican professionals from other local universities, as well as from abroad.

Experience with other programs, including the USAID-PUCMM programs, permits the conclusion that staff availability is not a critical area for this Project.

b. Degree of Independence of the Unit that Will Administer the Project

It is recommended that a Unit of the Project be established at the Recinto Santo Tomás de Aquino, the PUCMM campus in Santo Domingo.

This Unit will need the same degree of independence as the previous A.I.D.-PUCMM Program Unit enjoyed, as mentioned subsequently.

Moreover, due to the nature of this Project, the Operational Unit will have to work in close relationship with the Consultative Council, and it will need an easily accessible location that facilitates contact with the public in general and with PVOs.

On the basis of previous experience, this consultant does not expect any future problems with the degree of independence that this Project will need for its decision-making and implementing structures.

B. Experience in Project Management

Since its foundation, PUCMM has been linked to different programs financed by international organizations. We have selected the most important of these programs to analyze PUCMM's institutional experience as far as the implementation of projects is concerned -- one of the aspects that reflect best PUCMM's capacity to administer this Project.

The selected programs range from 1966 to date, and involve organizations such as the United Nations Development Programme (UNDP), the Inter-American Development Bank (IDB), and the Agency for International Development (A.I.D.).

1. UNDP-PUCMM Program

The intention of this project was to establish an Electrical and Mechanical Engineering Program at PUCMM. It was initiated on July 1, 1968 and terminated on June 30, 1975.

Originally, this project was meant to create programs in Engineering Technology, in a country without any tradition in this kind of activity. The effort included technical assistance, a local mission to manage the Project, and the assignment of funds to train Dominican citizens already active in these fields, in order to have them ensure follow-up throughout the program.

Initially, the Project was conceived for a duration of five years (1968-1973), but its success led to the signature of a Supplementary Agreement that extended the program for two more years and allowed it to open up other areas of engineering. The program helped to establish a Civil Engineering program, and to plan a Chemical Engineering program. Likewise, it assisted in the expansion of the Department of Technology, with new laboratory facilities and equipment.

The total cost of the program was in excess of 3.5 million dollars.

The program was so successful that its laboratories are still in use, and less than a year ago, it was quoted in a United Nations manual as an example of cooperation and efficiency.

Another project with UNDP funds in which PUCMM participated, was the Program for Training of Secondary School Teachers, jointly with the Universidad Autónoma de Santo Domingo (UASD) and the Universidad Nacional Pedro Henríquez Ureña (UNPHU) in the mid-seventies.

2. IDB-PUCMM Programs

PUCMM has signed two programs with the Inter-American Development Bank.

The first was signed on August 4, 1971, and its implementation was completed by 1976, with a total of US$5.2 million. The IDB lent US$3.4 million, and PUCMM contributed with $1.8 million.

The main purpose of the program was to consolidate the physical and academic infrastructure of PUCMM. To achieve this goal, the program included the construction of 7 new

buildings for classrooms, laboratories and other facilities; the remodeling of three other buildings; and the acquisition of equipment, bibliographical material and expendables.

In addition, funds were allotted to train faculty and to facilitate technical assistance.

In 1977, a second loan was guaranteed, for a total amount of US$3.9 million, as part of a US$6.68 million program.

The purpose of this new program was to strengthen the Health Sciences and Engineering Technology Programs. Six new buildings were constructed and equipped, and expendables and supplies were acquired. Monies were also allotted for scholarships, faculty training and technical assistance.

These two programs consolidated the physical infrastructure of the Santiago Campus and strengthened the existing programs initiated by the UNDP-PUCMM Program and the A.I.D.-PUCMM Program, administered by the University of Saint Louis.

3. A.I.D.-PUCMM Programs

The relationship between PUCMM and A.I.D. goes back many years and, according to an official of the University, has been "beneficial for both institutions and for the country as a whole, with a profound impact on the development of a new Dominican Republic."

Both institutions have been linked through several programs throughout the years. In 1966, the relationship started with the program administered by the University of Saint Louis, up to the special program to promote the Civil Service Law. We will now give some details of these programs.

a. The 1966 Program

In 1966, a program was designed to strengthen the teaching and fund-raising capacities of PUCMM.

The program was started up with the help of A.I.D. and was administered by the University of Saint Louis. The program lasted for six years (1966-1972) and cost US$1,650,262.

The A.I.D. Program at PUCMM had six main objectives:

- To establish a Department of Social Sciences, including sociology, political sciences, anthropology, history, and economics.

- To help in the establishment and operation of a library.

- To assist in the establishment and operation of a program to teach English, including funds for a language laboratory.
- To help develop a Department of Education, and to improve faculty training programs.

- To assist in the development of a fund-raising office.

- To facilitate diverse assistance necessary for the achievement of the above objectives.

One of the most important aspects of this program was that 36 faculty members were sent to study abroad. This was the cornerstone of PUCMM's faculty development. All the objectives were achieved and this program helped to set the basis for the development of the social sciences area at the University, as well as the need for a well-equipped and updated library as the real heart of the University.

b. The 1983 Program

This new program contributed to the development process of the Recinto Santo Tomás de Aquino, the PUCMM facility in the capital city of Santo Domingo. It was initiated on June 23, 1983, and its goal was to improve human resources as the necessary basis for the national development of the Dominican Republic, as well as the physical and human infrastructure needed for the success of these specific programs.

The purpose of the Project was to establish a quality graduate program of education in administration, and of training and research at the Pontificia Universidad Católica Madre y Maestra. The program was specifically oriented towards the preparation of managers and administrators with broad knowledge, and with theoretical and practical training from both the public and private sectors of the Dominican Republic. The immediate objective was to fill the obvious need for management skills in business and government.

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The Project helped PUCMM to establish and conduct graduate academic programs leading to Master's Degrees in Business Administration and Public Administration, as well as a new Institute of Executive Development, and an Administrative and Economic Research Center, within the School of Administration of PUCMM. This combined the University's existing Unit of Applied Economic Research with a new research program applied to business, as well as research in public administration.

In October 1985, the program was revised to include a program in Hotel Administration. A.I.D. allotted $6,212,807 to both programs (this amount includes both U.S. Dollars and Dominican pesos), and PUCMM contributed with a counterpart of RD$23,951,632.52 between June 1983 and June 1991 for both components of the program.

A series of buildings were constructed, and 12 scholarships were guaranteed for Business Administration, as well as 6 for Hotel Administration, besides thousands of short training courses.

Since completing the program, the Recinto Santo Tomás de Aquino has become the most important center of academic and civic activities in Santo Domingo.

c. Special Programs

PUCMM and A.I.D. have worked together on many other special short- term projects with specific goals, such as training for Dominican legislators, and the design and implementation of a strategy for the enactment of the Civil Service Law and the Administrative Career.

The Legislative Training programs were held shortly after the national elections of 1982, 1986 and 1990.

In all cases, A.I.D. facilitated the necessary funds so that PUCMM could offer technical assistance and cover the cost of the program. The first two courses took place in Santiago, and the 1990 version was celebrated in Puerto Plata.

These programs were carried out with the participation of professors of UNPHU, INTEC, UASD and PUCMM, and has proven to be very successful.

The Project designed for the enactment of the Civil Service Law reached its goal several months ago. A new program to design a strategy for implementation of the objectives of this law is now being prepared.

PUCMM has also worked on programs sponsored by public foundations and organizations from the United States, Canada and Europe.

On the basis of this and other programs, PUCMM is a well-prepared institution for handling the responsibilities involved in this kind of project.

IV. CONCLUSION

According to the analysis of the administrative capabilities of the implementing organization, the PUCMM is capable of and appropriate for managing a Project with the characteristics herein proposed.

PUCMM possesses a financial control system that is adequate for the purposes of this Project, as well as the appropriate financial accountability and administrative capability to manage it.

PUCMM's experience with programs that involve the participation of international organizations extends from 1966 to the present. Its 25 years of experience, and its staff availability today and throughout the life of the Project, are guarantees for the success of the administrative aspect of this particular effort.

Moreover, the existence of special units within PUCMM, with specific approaches to political, social and women's issues, such as the Center for Political and Social Studies and the Center for Women's Studies, is an additional guarantee of success in the management of the Project.

This consultant has no doubts that PUCMM possesses the administrative capabilities, the respect for and the contacts with the political environment and NGOs, the open spirit and the institutional charisma that are required to convert this Project into a success.

ANNEX F

MONITORING AND EVALUATION DESIGN OF PROJECT IMPACT

(Taken from the Analysis titled "Criteria for Evaluation and Design of Baseline Surveys" by Lic.Rafael Acevedo)

I. INTRODUCTION

This paper will develop a series of indicators that will serve to evaluate the impact of the Democratic Initiatives Support Project in the Dominican Republic.

In addition, it will design the fundamentals of a program of evaluative surveys of basic aspects, to be conducted during the ten years of the life of the Project.

Analyzing the recommendations of the Consultative Group in charge of the design of the Project, Lic. José del Castillo, in his "Analysis of Technical Feasibility," has identified a series of priority activities towards which the efforts of the Project should be aimed. Although Lic. del Castillo utilizes the term and concept "activities," in this paper the term "objective" will be used instead, as the equivalent of a desired order of things and for which specific criteria and observable indicators can be set, in order to establish achievements and progress in the direction that is implicit or explicit in the statement.

Hereafter follows a list of proposed objectives and activities suggested for reaching these objectives. It is with direct reference to these that the indicators have been prepared which are offered further in this paper. They constitute the main purpose of this part of the work.

OBJECTIVE NO. 1 ELECTORAL REFORM
SUGGESTED ACTIVITIES:

a) Updating of legislation and electoral regulations;
b) Institutional modernization of the JCE and the municipal electoral councils;
c) Definition of the administrative and arbitrative functions of the JCE;
d) Screening of the Electoral Registry;
e) Training of staff.

OBJECTIVE NO. 2 DEMOCRATIZATION OF POLITICAL PARTIES
SUGGESTED ACTIVITIES:

a) Specialized legislation on the formation of parties;
b) Renovation of leadership bodies;

c) Election of candidates to public office;
d) Financial management.

OBJECTIVE NO. 3 STRENGTHENING OF JUDICIARY POWER
SUGGESTED ACTIVITIES:

a) Establishment of the judicial career;
b) Modification of the Judicial Organization Law;
c) Giving the Judiciary Power the necessary autonomy and budget to strengthen and modernize its function.

OBJECTIVE NO. 4 MODERNIZATION OF PUBLIC ADMINISTRATION
SUGGESTED ACTIVITIES:

Implementation of the Civil Service Law and the Administrative Career in the different agencies of Public Administration.

OBJECTIVE NO. 5 CIVIC-DEMOCRATIC EDUCATION PROGRAM
SUGGESTED ACTIVITIES:

a) Preparation and dissemination of material on education for democracy;
b) Promotion of educational and training activities on the values, attitudes and behavior that belong and relate to a democratic society.

OBJECTIVE NO. 6 DEMOCRATIC CONSENSUS-BUILDING
SUGGESTED ACTIVITIES:

Creation of opportunities for multi-sectorial representation for consensus-building in view of the implementation of a political reform.

OBJECTIVE NO. 7 STRENGTHENING OF MUNICIPAL POWER THROUGH PARTICIPATION IN GRASSROOTS ORGANIZATIONS
SUGGESTED ACTIVITIES:

a) Development of mechanisms linking the municipal governments to the neighborhood councils and organizations;
b) Training and strengthening of neighborhood organizations in view of linking them productively with municipal governments, and to serve as intermediaries between them and the community.

OBJECTIVE NO. 8 MODERNIZATION OF CONGRESS
SUGGESTED ACTIVITIES:

a) Development of a Documentation Center for legislators, consultants and researchers;

b) Establishment of specialized research and consultant services;
c) Giving Congress adequate staff and equipment for the processing of information.

OBJECTIVE NO. 9 INCREASE IN PARTICIPATION AND LEADERSHIP OF WOMEN

SUGGESTED ACTIVITIES:

a) Courses on women's issues aimed at the women's branches of political parties, in view of promoting their participation and leadership in government and politics, in the economy, and in professional and grassroots organizations.
b) Counseling to Congresswomen and women members of municipal councils on the production of laws promoting the development and participation of women in the direction of State and society.
c) Support for research programs on women's issues, in view of developing public opinion campaigns to increase the acceptance of women's presence in public affairs.

II. INDICATORS TO MEASURE THE IMPACT OF The Project

The majority of indicators proposed in this paper have been prepared to measure the impact of the suggested activities, which are directed towards the proposed objectives. Some of these indicators were suggested by Management Systems International, in its study entitled "Democratic Initiatives Performance Monitoring Study". However, they have been adapted to the activities and objectives proposed for the Dominican Republic. A few other indicators are the product of the common effort of public opinion researchers.

For each objective, to the extent possible, two types of indicators have been prepared:

a) Those whose evaluation depends on documents and on the observation of objective structures and processes by specialists;

b) Indicators based on opinions, perceptions and attitudes shown by leaders and ordinary citizens interviewed during surveys and in focus group studies.

This dual source makes it possible to perform validation tests through concomitance (and, possibly, prediction).

It should also be noted that some indicators exceed the level of impact of proposed activities and are meant to measure a more general level of achievement of the objective. This is justified by the likelihood that the effects of several activities may accumulate, interact and reinforce each other, so that the objective may be reached to an extent and in a way that cannot be attributed directly to any specific activity, or at least in part.

For a critical analysis, sources and operational recommendations concerning each of the indicators proposed below, the complete text of Lic. Acevedo's analysis should be consulted.

OBJECTIVE NO. 1
ELECTORAL REFORM

INDICATORS

1.1 Existence and use of information recording and processing mechanisms.

1.2 Extent to which officials, technicians and auxiliary personnel are selected with adequate criteria and autonomy.

1.3 Availability of sufficient budget funds, and autonomous management of these funds.

1.4 Compliance with a program of activities before, during and after the elections.

1.5 Degree of access of information media and civic organizations to relevant information.

1.6 Number of voters and non-voters, whether registered or not who express distrust in the electoral system and its authorities.

OBJECTIVE NO. 2
DEMOCRATIZATION OF POLITICAL PARTIES

INDICATORS

2.1 Existence and use of procedures and norms that ensure a periodic renovation of leadership, and selection of candidates to public positions, with the participation of members at the rank and file level.

2.2 Holding a regular calendar of assemblies and conventions to renew leadership and to select candidates for public positions.

2.3 Extent to which party finances are known to the members and to the public.

2.4 Extent to which decisions on collecting of funds and on expenditures are made with participation of the members.

2.5 Percentage of followers and members who participate in internal electoral assemblies and conventions.

OBJECTIVE NO. 3
STRENGTHENING OF THE JUDICIARY

INDICATORS

3.1 Extent to which a selection and compensation system exists for judges and employees that is based on apolitical criteria, and on qualifications and merit.

3.2 Extent to which salaries and other benefits of judges and employees are assigned with reference to the private sector.

3.3 Extent to which Justice possesses sufficient budget funds and autonomous management of the same.

3.4 Existence and level of use of a statistical data system.

3.5 Increase in number (%) of cases tried and solved by the courts.

3.6 Number of cases of contempt by the National Police for court orders of imprisonment or release.

3.7 Opinion of the citizens regarding the efficiency, impartiality and honesty of Justice.

OBJECTIVE NO. 4
MODERNIZATION OF PUBLIC ADMINISTRATION

INDICATORS

4.1 Existence and compliance of personnel administration norms and procedures (recruitment and selection; promotion; renewal; salaries, pensions, leaves, etc.).

4.2 Existence and effective use of manuals of organization, procedures and jobs.

4.3 Annual turnover rate of technical and highly qualified personnel in State entities.

4.4 Opinion of the citizens regarding:

a) the qualifications of government employees
b) the desirability of government jobs (and why)
c) the efficiency and organization that exist in government offices.

OBJECTIVE NO. 5
PROGRAM OF EDUCATION FOR DEMOCRACY

INDICATORS

5.1 Percentage of leaders, groups and sectors reached by the activities of the program.

5.2 Impact of the program on leaders and communities (according to the opinion of the leaders).

5.3 Percentage of citizens who are familiar with the program and its activities, and of those who are either in favor or against it.

OBJECTIVE NO. 6
DEMOCRATIC CONSENSUS-BUILDING

INDICATORS

6.1 % of leaders, groups and sectors participating in consensus activities.

6.2 Degree of activism and enthusiasm of participants.

6.3 Opinion of neighborhood and grassroots organization leaders:
a) regarding what they expect from the program, and
b) regarding its effectiveness at the present moment.

6.4 Opinion of citizens on the importance of consensus and its impact on national life.

OBJECTIVE NO. 7
STRENGTHENING OF MUNICIPAL POWER THROUGH PARTICIPATION OF GRASSROOTS ORGANIZATIONS

INDICATORS

7.1 Extent to which citizens participate in community decisions and tasks through neighborhood organizations.

7.2 Opinion of citizens on the importance and impact of neighborhood organizations on the life of the community.

7.3 Degree of interest of citizens in participating, and their effective participation, in activities of neighborhood groups in their area.

OBJECTIVE NO. 8
MODERNIZATION OF CONGRESS

INDICATORS

8.1 Existence and use of an adequate Documentation Center at the National Congress. Use of the same by members of Congress and their advisers.

8.2 Existence of services, and types of services, offered by research units or teams, and consultant services for members of Congress.

8.3 Frequency and volume of utilization of research and consultant services in the production of laws, resolutions, reports and other tasks of the Congress.

8.4 Perception by the citizens of improvements or lack thereof in the effectiveness, the independent attitude and the honorability of Congress and the Houses.

OBJECTIVE NO. 9
INCREASE IN THE LEADERSHIP AND PARTICIPATION OF WOMEN

INDICATORS

9.1 (%) Number of women in elected and non-elected public office.

9.2 (%) Number of women in executive positions (in parties, business associations, grassroots organizations, and in the private sector).

9.3 % of men and women who accept the presence of women as an asset in executive positions.

III. BASELINE AND PERIODIC SURVEY PROGRAM

A program is proposed of five surveys, to be conducted over a period of nine years, starting in 1992.

A survey every two years is recommended to facilitate the evaluation of the impact of the Prcject. The first survey will be as broad and inclusive as possible, and will serve as a basis for successive evaluations. Moreover, it will allow for testing and selecting the definitive indicators for the entire life of the Project.

Separate measurements are also recommended to evaluate the effects of the election processes that will occur in the nineties, in order to avoid confusing the effects of this type of event with those of the Project.

The processing and analysis of data produced by the above mentioned surveys will have to ensure an evaluation of the knowledge, opinions, attitudes and behaviors of the different social sectors and demographic categories, with particular attention to women and sociological minorities. Likewise, the attitude of the rest of the population will have to be evaluated regarding these particular categories of population.

Finally, a rigorous record should be kept of social, economic, and political events, in order to determine their positive or negative effects, or their interaction with the possible results of the activities programmed for the Project.

ANNEX G

SYNOPSIS OF THE EXPERIENCE OF THE CIVIL SERVICE IN THE DOMINICAN REPUBLIC

The Dominican Republic has played with the concept of a career civil service on several occasions ever since the beginning of this century. At one time, mainly due to the insistence of the United States, the country adopted a formal legal framework for merit-based career employment. Afterwards, however, it went back to its traditional practice of granting sinecures, a system that still persists.

The history of this struggle for a career civil service is divided into two periods: 1913-1964 and 1965-1991. The first period saw eleven laws, amendments and executive orders regarding the civil service. However, the recruitment, selection, promotion and other personnel decisions continued to be conducted on a patronage basis from the President's office. During the forties, nevertheless, a series of laws dictated by Trujillo revoked the previous orders and statutes, and restricted the powers of the Civil Service Commission, limiting them essentially to training, test development, and programming. Finally, in 1951, all intentions of establishing a merit-based system were abandoned by a law that put an end to merit-based civil service.

1965 marked the beginning of the second stage in the struggle for the civil service for two reasons: a) it was the last year of political and administrative chaos that prevailed after the assassination of Trujillo in 1961; and b) 1965 also was the year of the creation of a Technical Secretariat of the Presidency to promote administrative efficiency and to integrate the functions of budgeting, planning, statistics and personnel. Even more important was the creation of the National Office of Personnel Administration (ONAP) as a body within the Technical Secretariat, responsible for the development and establishment of a modern personnel system based on merit, including a national civil service.

ONAP developed a proposal of a Civil Service Draft Bill 1966, but it received little attention from the President and the National Congress. A revised draft project was submitted by President Balaguer in 1971, but it did not even get discussed in Congress in spite of the President's apparent support. Ten years later, in 1981, under President Antonio Guzmán, the Dominican Republic came very close to promulgating a civil service law. The legislation proposed by President Guzmán was basically the same as in previous draft projects. It established a complete civil service system based on merit and directed by ONAP as central personnel office.

The bill was approved in May 1982 by the House of Representatives, controlled by the party in power, the PRD, without significant modifications. The Senate, controlled by the Partido Reformista, the opposition, approved almost simultaneously a similar version and sent it to the House of Representatives with a slight substantive modification. The Congressional period, however, expired before the Lower House could act on the Senate's version. Although the bill was introduced again on three occasions, it was not discussed seriously by any of the Houses between 1982 and 1990.

The new Civil Service Law No. 14-91, finally approved and promulgated in May 1991, is a delayed answer to the above described struggle of more than a century ago for the establishment in the Dominican Republic of a modern and professional civil service based on merit.

The process that led to the adoption of this new law, with the support of all political parties and of President Balaguer, is an example of the type of strong consensus that will support the proposed Democratic Initiatives Support Project.

The process was initiated when PUCMM intervened, through its Recinto Santo Tomás de Aquino campus in Santo Domingo. PUCMM, with its Program in Public Administration (funded by A.I.D.), developed a series of analyses of the problems and needs in the area of civil service reform. These analyses were used as basis for a broad public revision and debate of the issue. Several interest groups, such as business associations, trade unions and political parties, also lobbied in favor of the law. When the legislation was submitted to the National Congress, all these groups were already committed to its approval.

The next steps towards the enactment of the new Civil Service Law will have to follow a similar process of analysis, recommendations, revision and renewal of consensus. The end product would be a complete, practical, viable and broadly supported plan of implementation.

A. I. D. ANNEXES

ANNEX H

PONTIFICIA UNIVERSIDAD CATOLICA MADRE Y MAESTRA
Santo Domingo, República Dominicana

RECINTO SANTO TOMAS DE AQUINO

Oficina del Rector

26 de diciembre 1991

Señor
Raymond F. Rifenburg
Director
Agencia para el Desarrollo Internacional (AID)
Su Despacho
Santo Domingo, D.N.

Estimado señor Rifenburg:

Tomando en consideración las recomendaciones hechas por el Grupo Consultivo para el Proyecto de Apoyo a Iniciativas Democráticas en la carta dirigida a usted el día 29 de julio de 1991 y basados en las comunicaciones y conversaciones posteriores que hemos sostenido al respecto, sometemos a su consideración una propuesta para apoyar iniciativas democráticas en la República Dominicana.

Esta propuesta, que hemos denominado Proyecto para Apoyar Iniciativas Democráticas, tendrá una duración de diez años y un costo mínimo aproximado de US$12,000,000.00 (Doce Millones de Dólares).

La importancia del proyecto y su justificación están ampliamente documentadas en la propuesta que le anexamos a esta carta.

Conocedores del interés que tiene la A.I.D. en apoyar la institucionalización democrática de nuestro país, estamos seguros que le ofrecerá todo su respaldo a esta propuesta que en esta oportunidad nos complacemos en presentarle.

Aprovecho la ocasión para saludarle y desearle una Feliz Navidad y un 1992 pleno de logros.

Mons. Agripino Núñez C.
Rector

ANC:sv

Av. Abraham Lincoln esq. Rómulo Betancourt, Apartado Postal 2748
Tele-Fax (809) 535-0053 - Teléfono (809) 535-0111

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ANNEX I

ACTION: AID-0
INFO: CPO-1 ACO-1 DCMO-1 AMBO-1 AC-1 DCM-1 AMB-1

DISTRIBUTION: AID
CHARGE: AID

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AIDAC

E.O. 12356: N/A
TAGS:
SUBJECT: AID/W REVIEW OF DEMOCRATIC INITIATIVES PID (517-0265)

1. THE SUBJECT PID REVIEW MEETING WAS HELD IN AID/W JUNE 27 WITH DEPUTY DIRECTOR FRANCIS CONWAY AND ECONOMIST KEN BEASLEY REPRESENTING THE MISSION. AID/W PARTICIPATION INCLUDED LAC/DI, LAC/CAR, LAC/DR/C, LAC/DR/HPN, AND LAC/DPP. PROJECT DEFINITION, BENCHMARKS MEASUREMENT, AND THE FEASIBILITY OF WORKING THROUGH NGOS TO REALIZE CHANGES WITHIN GOVERNMENT WERE DISCUSSED IN DEPTH WITH MODIFICATIONS/ADDITIONS DISCUSSED TO BE INCLUDED IN THE PROJECT PAPER. THE PID DID NOT REQUIRE DAEC REVIEW, BUT A BRIEFING WAS HELD WITH AA/LAC JIM MICHEL. SPECIFIC GUIDANCE AND SUGGESTIONS RAISED AT THE REVIEW ARE NOTED BELOW.

2. THE USE OF A ROLLING DESIGN OVER THE LIFE OF THE PROJECT APPEARS REASONABLE, GIVEN THE SENSITIVE NATURE OF PROJECT ACTIVITIES, THE NEED TO REMAIN RESPONSIVE TO EVOLVING NEEDS, AND THE SPECIFIC CONTEXT OF DOMINICAN SOCIETY. USE OF SUCH A PROCESS REQUIRES THE PROJECT TO BE CLEARLY ORGANIZED AT THE PURPOSE LEVEL, PROVIDED WITH A TRANSPARENT SCREENING PROCESS WHICH ALIGNS FUNDING WITH PRIORITY ACTIVITIES, AND EQUIPPED WITH EVALUATORY MECHANISMS WHICH PERMIT MEASUREMENT OF PERFORMANCE ACHIEVEMENT.

A. PURPOSE LEVEL DEFINITION: THE EOPS NOTED IN THE PID TEXT AND LOGFRAME ARE ONLY PRELIMINARY INDICATORS OF THE PROJECT'S ACHIEVEMENT EXPECTATIONS AND NEED TO BE FURTHER CLARIFIED IN THE PP. IN REVIEW DISCUSSION IT BECAME VERY CLEAR THAT ONE OF THE KEY OBJECTIVES OF THE PROJECT WAS TO

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PROVIDE A FORUM FOR CONCENSUS-BUILDING AROUND PRIORITY DEMOCRACY THEMES AND THE SEQUENCE IN WHICH THEY SHOULD BE ADDRESSED. THIS MAY FIT WELL AT THE PURPOSE LEVEL AS AN EXPLICIT OBJECTIVE.

B. ACTIVITY SCREENING: WHILE NOT DEVELOPED IN THE CURRENT PID DOCUMENT, GENERAL CRITERIA AND METHOD FOR THE SCREENING OF ACTIVITY PROPOSALS WERE ARTICULATED AT THE REVIEW. AN ORGANIZED SCREENING PROCESS NEEDS TO BE BUILT INTO THE PP ALONG THE LINES DISCUSSED IN THE REVIEW.

C. MEASUREMENT OF ACHIEVEMENT: THE MISSION WAS PROVIDED A COPY OF LATEST AID/W METHODOLOGICAL THINKING ON ACHIEVEMENT MEASUREMENT OF DI PROJECTS. IT WAS NOTED THAT PROPER MEASUREMENT AT THE PROJECT LEVEL SHOULD SIMULTANEOUSLY PROVIDE CORE INFORMATION TOWARD MISSION REPORTING ON DEMOCRATIC INITIATIVES AS ONE OF THE MISSION'S TWO KEY STRATEGIC THEMES. POSSIBLE MEASUREMENT TOOLS INCLUDE MONITORING OF THE SIZE AND COMPOSITION OF PUBLIC OPINION GROUPS AND THE USE/FINANCING OF WELL TARGETED OPINION POLLS.

3. ROLE OF NGO: THE MISSION CLARIFIED THAT THE PROJECT WILL DEAL WITH REFORMS IN GOVERNMENT EXCLUSIVELY THROUGH NGO GROUPS, ALTHOUGH DIRECT ASSISTANCE TO GODR INSTITUTIONS IN FUTURE PROJECTS COULD BE POSSIBLE. IT WAS REQUESTED THAT THE FEASIBILITY OF, AND THE EXPERIENCE WITH THE USE OF NGOS TO ATTAIN CHANGES IN GOVERNMENT BE MORE THOROUGHLY EXAMINED AT THE PP LEVEL TO ENSURE REASONABLENESS. USE OF A DOMINICAN INSTITUTION TO PROVIDE A BROADER INSTITUTIONAL FORUM AND ACCOMPANYING ADVISORY BOARD MAY BE ONE OPTION TO INSTILL GREATER EFFICIENCY IN CONCENSUS FORMATION AND IN PROMOTING GOVERNMENT CHANGE. MISSION MAY WANT TO CONSIDER ENTERING INTO A GRANT AGREEMENT WITH SUCH AN INSTITUTION.

4. USE OF SUB-CONTRACTING: AS CURRENTLY ENVISAGED THE PROJECT MAY USE EXTENSIVE SUB-CONTRACTING OF SERVICES THROUGH INDIVIDUAL NGO GRANTS. MS/OP/O/LAC NOTED THE POSSIBLE LEGAL DIFFICULTIES OF SUCH SUB-CONTRACTING. THE

MISSION IS URGED TO CONFER CLOSELY WITH LEGAL AND CONTRACTING OFFICES IN DEVELOPMENT OF FINAL DESIGN IN THIS AREA.

5. BUDGET: FINAL BUDGET TABLES SHOULD MORE CLEARLY DIFFERENTIATE BETWEEN TECHNICAL ASSISTANCE AND ACTIVITIES FUND LINE ITEMS. FURTHER DOLS 150,000 FOR EVALUATION LINE ITEM, AS WELL AS THAT OF CONTINGENCIES IS NOT EXPECTED TO COVER LOP REQUIREMENTS.

6. OTHER:

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A. NATIONAL ELECTIONS - THE PP MAY WISH TO MORE EXPLICITLY CONSIDER SUPPORT TO THE 1994 NATIONAL ELECTIONS, PARTICULARLY GIVEN THE EXPECTATION THAT IT MAY BECOME A FORUM FOR THE DEVELOPMENT OF A NEW GENERATION OF NATIONAL POLITICAL LEADERSHIPS.
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E.O. 12356: N/A
TAGS:
SUBJECT: AID/W REVIEW OF DEMOCRATIC INITIATIVES PID (517-0265)

B. ECONOMIC AND FINANCIAL ANALYSIS
POLITICAL/ORGANIZATION REFORM MAY BE CLOSELY LINKED WITH ECONOMIC DEVELOPMENT, PARTICULARLY WITH RESPECT TO FOREIGN INVESTMENT. PP DESIGN MAY WISH TO UNDERTAKE SOME FORM OF ECONOMIC OR FINANCIAL ANALYSIS WHICH WOULD MORE CLEARLY ADDRESS MISSION INTEREST IN LINKING ITS DI STRATEGIC OBJECTIVE WITH THAT OF NATIONAL COMMERCIAL AND ECONOMIC DEVELOPMENT.

7. AID/W SUPPORT: GIVEN THE NOVEL DESIGN OF THE PROJECT AND THE MISSION DESIRE TO USE AID/W EXPERTISE IN THIS AREA, LAC/DI PLANS TO WORK CLOSELY WITH USAID ON PROJECT DEVELOPMENT, ON AN AS NEEDED BASIS. IT WAS NOTED THAT THE SEPTEMBER, 1991 DEMOCRATIC INITIATIVES CONFERENCE IN SANTO DOMINGO COULD BE AN OPPORTUNE TIME FOR BUREAU PARTICIPATION.

8. AID/W APPROVES PID AND AUTHORIZES MISSION TO USE ITS DELEGATED AUTHORITY TO APPROVE THE PP AND AUTHORIZE THE PROJECT AT DOLS 9 MILLION. MISSION IS CONGRATULATED FOR THIS EFFORT TO FURTHER OVERALL BUREAU OBJECTIVES IN THIS AREA.
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ANNEX J

U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

LAC-IEE-92-12

ENVIRONMENTAL THRESHOLD DECISION

Project Location	:	Dominican Republic
Project Title	:	Democratic Initiatives
Project Number	:	517-0265
Funding	:	$9 Million (grant)
Life of Project	:	10 Years (FY 1992-2002)
IEE Prepared by	:	Larry K. Laird USAID/DR/ANR
Recommended Threshold Decision	:	Categorical Exclusion
Bureau Threshold Decision	:	Concur with Recommendation
Comments	:	The action will not have a direct effect on the physical environment.
Copy to	:	Raymond Rifenburg, Director USAID/Dominican Republic
Copy to	:	Larry Laird, USAID/Dominican Republic
Copy to	:	Gene Wilken, REA/CAR RDO/C, USAID/Barbados
Copy to	:	James Hradsky, LAC/DR/CAR
Copy to	:	Gussie Daniels, LAC/CAR
Copy to	:	William Schoux, LAC/DI
Copy to	:	IEE File

John O Wilson Date FEB - 5 1992

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

320 TWENTY-FIRST STREET, N.W., WASHINGTON, D.C. 20523

APPENDIX 5C - A.I.D. PROJECT STATUTORY CHECKLIST

Introduction

The statutory checklist is divided into two parts: 5C(1) - Country Checklist; and 5C(2) - Assistance Checklist.

The Country Checklist, composed of items affecting the eligibility for foreign assistance of a country as a whole, is to be reviewed and completed by AID/W at the beginning of each fiscal year. In most cases responsibility for preparation of responses to the Country Checklist is assigned to the desk officers, who would work with the Assistant General Counsel for their region. The responsible officer should ensure that this part of the Checklist is updated periodically. The Checklist should be attached to the first PP of the fiscal year and then referenced in subsequent PPs.

The Assistance Checklist focuses on statutory items that directly concern assistance resources. The Assistance Checklist for FY 1991 includes items previously included under separate "project assistance," "nonproject assistance," and "standard item" checklists. The Assistance Checklist should be reviewed and completed in the field, but information should be requested from Washington whenever necessary. A completed Assistance Checklist should be included with each PP; however, the list should also be reviewed at the time a PID is prepared so that legal issues that bear on project design are identified early.

The Country and Assistance Checklists are organized according to categories of items relating to Development Assistance, the Economic Support Fund, or both.

These Checklists include the applicable statutory criteria from the Foreign Assistance Act of 1961 ("FAA"); various foreign assistance, foreign relations, anti-narcotics and international trade authorization enactments; and the FY 1991 Foreign Assistance Appropriations Act ("FY 1991 Appropriations Act").

These Checklists do not list every statutory provision that might be relevant. For example, they do not include country-specific limitations enacted, usually for a single year, in a foreign assistance appropriations act. Instead, the Checklists are intended to provide a convenient reference for provisions of relatively great importance and general applicability.

Prior to an actual obligation of funds, Missions are encouraged to review any Checklist completed at an earlier phase in a project or program cycle to determine whether more recently enacted provisions of law included on the most recent Checklist may now apply. Because of the reorganization and consolidation of checklists reflected here, such review may be particularly important this year. Space has been provided at the right of the Checklist questions for responses and notes.

source of illicit drugs significantly 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? — Yes

(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? — a) Yes b) Yes

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

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5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria
licable to the eligibility of countries to
ive the following categories of assistance:
both Development Assistance and Economic
ort Funds; (B) Development Assistance
s only; or (C) Economic Support Funds
y.

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 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? No

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

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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? N/A

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? no

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

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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 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? — a) no; b) N.A.

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? — a) No; b) yes. But the GODR has been making payments since the end of June, 1991, and is not under Brook-Alexander sanctions at this time.

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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? (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.)

Yes, taken into account by the Administrator at time of approval of Agency OYB.

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.)

The Dominican Republic is not in arrears on payment of its U.N. obligations.

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?

a) no
b) 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

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.) — Yes, they attended and did not disassociate themselves from the communique. However, they did submit specific reservations. These were taken into account by the Administrator at the time of approval of the Agency's OYB.

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16. Military Coup (FY 1991 opriations Act Sec. 513): Has the elected Head of Government of the try been deposed by military coup or ee? If assistance has been inated, has the President notified ress that a democratically elected rnment has taken office prior to the mption of assistance? — no

17. Refugee Cooperation (FY 1991 opriations Act Sec. 539): Does the pient country fully cooperate with the rnational refugee assistance nizations, the United States, and governments in facilitating lasting tions to refugee situations, including ttlement without respect to race, sex, gion, or national origin? — yes

18. Exploitation of Children (FY Appropriations Act Sec. 599D, ding FAA Sec. 116): Does the pient government fail to take opriate and adequate measures, within means, to protect children from oitation, abuse or forced conscription military or paramilitary services? — no

TRY ELIGIBILITY CRITERIA APPLICABLE TO DEVELOPMENT ASSISTANCE ("DA")

1. Human Rights Violations (FAA Sec. Has the Department of State rmined that this government has ged in a consistent pattern of gross ations of internationally recognized rights? If so, can it be nstrated that contemplated assistance directly benefit the needy? — no

2. Abortions (FY 1991 Appropriations Sec. 535): Has the President ified that use of DA funds by this try would violate any of the ibitions against use of funds to pay the performance of abortions as a od of family planning, to motivate or ce any person to practice abortions, pay for the performance of involuntary — no

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.	The Democratic Initiatives Project will support NGOs and PVOs in facilitating democratic programs which in turn will improve stability in the country and increase the effectiveness of the decision-making process within government and by the elected legislative bodies. These initiatives will indirectl enhance private sector trade and investment, discourage monopolistic practices by supporting free and open market activities, and strengthen the foundation of 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).	In a similar way as stated above, the project will help stabilize the investment and trade environment in the D.R. and thus encourage the potenti for U.S. investment.

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 poolicy reforms to be promoted? — Yes

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? — N.A.

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 — N.A.

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will be completed in time to permit orderly accomplishment of the purpose of the assistance?

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 the 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.

Through Democratic Initiati established as the grass ro as well as at higher governm levels, the program will indirectly assist in helpin sustain implementation of t GODR's economic reform prog which is already embodied i stand-by Agreement signed w the International Monetary Fund (IMF) on August 2, 199 It will result in substanti increases in trade, investm technology transfer as wel create new opportunities f cooperatives and labor uni to participate in the econ

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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).

The project will indirectly help encourage U.S. Private trade and investment by clarifying the rules of the game for investors, and fostering a stable political and economic environment in the country.

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.

N.A.

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:

(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?

N.A.

(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? N.A.

(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? N.A.

(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? N.A.

12. Trade Restrictions N.A.

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?

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 No

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xtiles, apparel, footwear, handbags, at goods (such as wallets or coin purses rn on the person), work gloves or ather wearing apparel?

13. Tropical Forests (FY 1991 propriations Act Sec. 533(c)(3)): Will nds be used for any program, project or tivity which would (a) result in any ignificant loss of tropical forests, or) involve industrial timber extraction primary tropical forest areas? — No

14. PVO Assistance

a. Auditing and registration FY 1991 Appropriations Act Sec. 537): If ssistance is being made available to a VO, has that organization provided upon imely request any document, file, or ecord necessary to the auditing equirements of A.I.D., and is the PVO egistered with A.I.D.? — N.A.

b. Funding sources (FY 1991 appropriations Act, Title II, under heading "Private and Voluntary rganizations"): If assistance is to be ade to a United States PVO (other than a ooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government? — N.A.

15. 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.

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16. 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 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? N.A.

17. Women in Development (FY 199[illegible] 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

18. 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

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19. Abortions (FY 1991 Appropriations Act, Title II, under heading "Population, DA," and Sec. 525):	No
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
20. 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?	No, not directly
21. 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.	Will purchase from USDO
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?	No
22. 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?	Yes
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? — Yes

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 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.) — N.A.

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? — No

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 — Yes

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?

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

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)? — N.A.

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 — N.A.

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documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

1. 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

23. 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.

24. 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.

25. 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? — Yes

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26. 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

27. 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

28. 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

29. CIA Activities (FAA Sec. 662): Will assistance preclude use of financing for CIA activities? Yes

30. 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

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31. **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

32. **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

33. **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

34. **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

35. **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

36. **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

37. 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

38. 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

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?

N.A.

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 was designed by a widely representative group of Dominicans, and involved the participation of prospective NGOs and PVOs working in the area of democratic reform and education.

Most project technical assistance will be contracted from Dominican sources.

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

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

(b) The project purpose is to strengthen the democratic process by promoting a more dynamic democratic culture, facilitating participation and encouraging involvement by citizens in the political process, and enhancing governmental efficiency and impartiality.

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and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries.

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, by means of sub-grants to local PVOs and NGOs.

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

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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)? N.A.

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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

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 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?

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

N.A.

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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?

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 N.A.

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private sector development, promote individual initiatives, and help to reduce the role of central governments in areas more appropriate for the private sector; (c) to be provided in a manner that takes into account, during the planning process, the local-level perspectives of the rural and urban poor, including women, through 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; (d) to be implemented in a manner that requires local people, including women, to be closely consulted and involved, if the assistance has a local focus; (e) being used primarily to promote reform of critical sectoral economic policies, or to support the critical sector priorities of agricultural production and natural resources, health, voluntary family planning services, education, and income generating opportunities; and (f) to be provided in a manner that, if policy reforms are to be effected, contains provisions to protect vulnerable groups and the environment from possible negative consequences of the reforms?

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 N.A.

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.

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?

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

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.

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.

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

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. N.A.

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: N.A.

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;

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

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

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

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

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.

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C. CRITERIA APPLICABLE TO ECONOMIC SUPPORT FUNDS ONLY

N.A.

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

2. Military Purposes (FAA Sec. 531(e)): Will this assistance be used for military or paramilitary purposes?

3. Commodity Grants/Separate Accounts (FAA Sec. 609): If commodities are to be granted so that sale proceeds will accrue to the recipient country, have Special Account (counterpart) arrangements been made? (For FY 1991, this provision is superseded by the separate account requirements of FY 1991 Appropriations Act Sec. 575(a), see Sec. 575(a)(5).)

4. Generation and Use of Local Currencies (FAA Sec. 531(d)): Will ESF funds made available for commodity import programs or other program assistance be used to generate local currencies? If so, will at least 50 percent of such local currencies be available to support activities consistent with the objectives of FAA sections 103 through 106? (For FY 1991, this provision is superseded by the separate account requirements of FY 1991 Appropriations Act Sec. 575(a), see Sec. 575(a)(5).)

5. Cash Transfer Requirements (FY 1991 Appropriations Act, Title II, under heading "Economic Support Fund," and Sec. 575(b)). If assistance is in the form of a cash transfer:

a. Separate account: Are all such cash payments to be maintained by the country in a separate account and not to be commingled with any other funds?

b. Local currencies: Will all local currencies that may be generated with funds provided as a cash transfer to such a country also be deposited in a special account, and has A.I.D. entered into an agreement with that government setting forth the amount of the local currencies to be generated, the terms and conditions under which they are to be used, and the responsibilities of A.I.D. and that government to monitor and account for deposits and disbursements?

c. U.S. Government use of local currencies: Will all such local currencies also be used in accordance with FAA Section 609, which requires such local currencies to be made available to the U.S. government as the U.S. determines necessary for the requirements of the U.S. Government, and which requires the remainder to be used for programs agreed to by the U.S. Government to carry out the purposes for which new funds authorized by the FAA would themselves be available?

d. Congressional notice: Has Congress received prior notification providing in detail how the funds will be used, including the U.S. interests that will be served by the assistance, and, as appropriate, the economic policy reforms that will be promoted by the cash transfer assistance?

Drafted by:PWAmato:PDO:2/12/92

Clearances:
PDO:DChiriboga _____ Date 2/18/92
PDI:RSevern _____ Date _____
LA:EDragon (by phone) Date (2/11/92)

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