

PD-ARG-726
84290

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE

A = Add
 C = Change
 D = Delete

Amendment Number

DOCUMENT CODE

3

COUNTRY/ENTITY
Dominican Republic

3. PROJECT NUMBER
517-0269

4. BUREAU/OFFICE
LAC 05

5. PROJECT TITLE (maximum 40 characters)
Electoral Reform

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)
MM DD YY
013 | 311 | 9 | 5

7. ESTIMATED DATE OF OBLIGATION
(Under "B:" below, enter 1, 2, 3, or 4)
A. Initial FY 9 | 3 B. Quarter 3 C. Final FY 9 | 3

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

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant) ESF	(1,639)	(58)	(1,697)	(1,639)	(58)	(1,697)
(Loan)	()	()	()	()	()	()
Other						
U.S.						
Host Country		16,000	16,000		16,000	16,000
Other Donor(s)						
TOTALS	1,639	16,058	17,697	1,639	16,058	17,697

9. SCHEDULE OF AID FUNDING (\$000)

A. APPRO- PRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ESF						1,697		1,697	
(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 increase the effectiveness and integrity of the Dominican electoral process by strengthening the Central Electoral Board's institutional structure and management, and establishing an accurate and efficient fraud-resistant identification/electoral registration system.

14. SCHEDULED EVALUATIONS

Interim MM YY MM YY Final MM YY
0 | 2 | 9 | 5

15. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 Local Other (Specify) 935

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 and that adequate provisions for audit are included.

J. Wayne Butler
Controller

17. APPROVED BY
Signature: Raymond F. Rifenburg
Title: Mission Director
Date Signed: MM DD YY
0 | 1 | 6 | 2 | 1 | 2 | 9 | 1 | 3 |

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

PROJECT AUTHORIZATION

Name of Country: Dominican Republic

Name of Project: Electoral Reform

Number of Project: 517-0269

1. Pursuant to Section 531, Chapter 4 of Part II of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Electoral Reform project for the Dominican Republic, involving planned obligations of not to exceed \$1,697,000 in grant funds over a two year period from 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 for the project. The planned life of the project runs through March 1995.

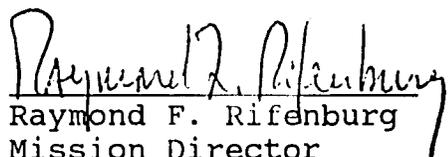
2. The purpose of the project is to increase the effectiveness and integrity of the Dominican electoral process. The project will provide technical assistance to strengthening JCE institutional structure and management, and will establish an accurate and efficient fraudulent resistant identification/electoral registration system. To achieve the project purposes, the project will provide financing for technical assistance, training, commodities if necessary, and other costs.

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

4. Source and Origin of Commodities, Nationality of Services

Commodities financed by A.I.D. under the project shall have their source and origin in the United States or in the Cooperating Country, except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have the Cooperating Country or the United States as their place of nationality, except as A.I.D. may otherwise agree in writing. Financing of commodities or services from the Cooperating Country are subject to the limitations set forth in Handbook 1B, Chapter 18.

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


Raymond F. Rifenburg
Mission Director
USAID/Dominican Republic

Date: 6/22/93

Clearances:

PDI: MOrtega	<u>1/10/93</u>	Date:	<u>5/28/93</u>
PDO: DChiriboga	<u>[Signature]</u>	Date:	<u>6/19/93</u>
PDO: RGarland	<u>[Signature]</u>	Date:	<u>6/17/93</u>
CON: WButler	<u>[Signature]</u>	Date:	<u>6/2/93</u>
RLA: EDragon	<u>EAD</u>	Date:	<u>5/19/93</u>
DD: FJConway	<u>[Signature]</u>	Date:	<u>6/18/93</u>

Drafted: PDO:REllert-Beck/PDI:MOrtega:5/7/93:ms:5/20/93:5/21/93
5/26/93

DOC:P:\PUBLIC\DOCS\AUTH.269

DICTIONARY OF ACRONYMS

<u>Acronym</u>	<u>Agency/Concept</u>
AID	U.S. Agency for International Development
AID/LAC	A.I.D. Bureau for Latin America and the Caribbean
AID/W	A.I.D. Washington Headquarters
CAPEL	Centro de Asesoría y Promoción Electoral or Center for Electoral Advising and Promotion
CDSS	Country Development Strategy Statement
DGE	Dirección General de Elecciones or General Directorate for Elections
DR	Dominican Republic
GODR	Government of the Dominican Republic
IFES	International Foundation for Electoral Systems
JCE	Junta Central Electoral or Central Electoral Board
LAC/DI	Office of Democratic Initiatives in A.I.D. Bureau for Latin America and the Caribbean
OEA or OAS	Organización de Estados Americanos or Organization of American States
OMB	U.S. Office of Management and Project
ONU or UN	United Nations
PACD	Project Activity Completion Date
PAT	Programa de Asistencia Técnica or Technical Assistance Program
PIO/T	Project Implementation Order for Technician(s)
PLAGOE	Plan General de Organización de Elecciones or General Election Organization Plan
PUCMM	Pontificia Universidad Católica Madre y Maestra or Pontifical Catholic University Mother and Teacher

PUDE	Plan de Unificacion del Documento Electoral or Electoral Document Unification Plan
PVO or NGO	Private Voluntary Organization or Nongovernmental Organization
USAID/DR	U.S.A.I.D. Mission to Dominican Republic
USG	United States Government

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- F. PROGRAM/COUNTRY CHECKLIST
- G. AID AUDIT REQUIREMENTS
- H. JCE LETTER OF REQUEST

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I. SUMMARY AND RECOMMENDATION

SUMMARY

Background

Since the end of the Trujillo era in 1961 the Dominican Republic has made substantial progress toward a more democratic society. While the political system is still not as representative and broadly participatory as might be desired, competitive political parties have developed. The government is still highly centralized, but there has been recent movement toward decentralization of power, authority and initiative to local governments and communities. PVOs have become increasingly important in the extent and nature of their community development and public service activities.

One of the more significant lingering problems, however, has been lack of confidence in the electoral process. Elections have been held at regular intervals during the post-Trujillo era, and in some of them the party in power not only has been defeated, but also has passed power peacefully to the opposition. Nevertheless there is still widespread skepticism induced by continuing charges of electoral fraud and mismanagement. This includes voting by the absent or ineligible, multiple voting by the living, mishandling of ballot boxes, manipulation of vote counts, and delayed reporting of results. Also there have occurred frequent instances of inadequate planning, such as insufficient voting booths, shortage of ballots, and other more mechanical obstructions to participation in the electoral process.

Such weaknesses in the electoral process have tended to diminish confidence of the people in their government and its legal system, in political parties and political activities in general. Therefore reform of the electoral system is an important step toward strengthening not only the democratic institutions themselves, but also public faith in those institutions.

Project Description

The immediate task in electoral reform is to build credibility of the 1994 elections and the electoral process leading up thereto, and in the course thereof to build a foundation for continuing credibility of the electoral process in the future.

This task will be accomplished by strengthening the Central Electoral Board's (JCE) institutional structure and management and by helping the JCE to establish an accurate and efficient fraud-resistant, personal identification/electoral registration system. Strengthening the JCE institutional structure and management will include establishing a training program for polling site personnel, modernizing the electoral

procurement and logistics system, establishing a system for prompt computation of election results, establishing a system for coordination of PVO/NGOs whose activities include informing the general public about the electoral process, establishing a plan and system for coordination of election monitoring by Dominican and foreign observers, and improving the civil registry for more efficient and effective service.

Summary Budget

IFES technical assistance

Phase I

Short term advisors	137,310	
Computer equipment	3,400	
Observational travel	9,290	
		150,000

Phase II

Long term advisor	358,800	
Short term advisors	362,300	
Computer equipment	17,000	
		738,100

Phase III

Long term advisor	152,100	
Short term advisors	370,900	
		523,000

PUCMM consultant services

Phases II and III	50,000	
Audit	8,000	
Evaluation	75,000	
<u>Contingency</u>	<u>152,900</u>	
Total	\$1,697,000	

RECOMMENDATION

The project design committee recommends approval of a grant of \$1.697 million to finance technical assistance for electoral reform activities in the Dominican Republic. \$1,411,100 thereof will be provided through a Cooperative Agreement between A.I.D. and IFES for technical assistance to the JCE. Of that amount, \$150,000 would finance Phase I activities already underway. An additional \$50,000 would fund contracts between A.I.D. and the Pontifical Catholic University Mother and Teacher (PUCMM) for the latter to provide consultant services for the JCE from Dominican sources. All technical assistance activities would be completed by March 31, 1995.

II. PROGRAM FACTORS

A. Country Setting

1. The Democratic Process in the Dominican Republic

Over the last thirty-one years following the authoritarian Trujillo regime, the Dominican Republic has held eight general elections and one municipal election, and is preparing for its ninth experience with this fundamental process of the democratic system on May 16, 1994. During this period, the implantation of democracy and the acceptance of the elections as a legitimate way to select leaders have suffered serious interruptions (coup d'etat in 1963, civil war and foreign intervention in 1965, attempted coups by the military and guerrillas, opposition abstention in 1974 and post-electoral crisis in 1978, 1986 and 1990.)

In the last fifteen years, after the first peaceful transfer of power from one party to another in 1978, the legislative chambers - with multi-party representation - have assumed an active function, the military has stopped playing an aggressive role in politics, the civil rights situation has significantly improved, and a broad plurality of civic organizations has developed. Notwithstanding the notable progress in these matters, Dominican democratic institutions still show serious weaknesses. The political parties in particular are perceived as not very representative, excessively centralized, devoid of citizen participation mechanisms, and but marginally accountable and effective.

One constant of the Dominican elections has been the presumption of fraud on the part of the different political actors, denouncing, since 1962, different methods of electoral transgression: purchase of votes, double voting, usurping the right to vote (prohibited for military, police, foreigners, judiciary), falsification and purchase of electoral identification cards, voter dislocation, supplantation of ballot boxes, alteration of voting certificates and manipulation of the vote count, among others. At this rate, a true "fraud syndrome" has developed in the political culture.

The practical result of this syndrome has been numerous pre-and post-electoral crises that have generated a growing loss of credibility in the electoral process and in the legitimacy of its results. In the last elections, this effect translated into an abstention rate of 40%, as compared with the average rate of 27% in the three previous elections and a drastic reduction in the growth rate of the Electoral Registry between 1986 and 1990. From the 15% average quadrennial increment since its creation, it

dropped to 7.7%, sending a troublesome signal of political apathy among youth who register upon reaching legal voting age.

The tight margins by which the last two elections have been decided have contributed to reinforcing the "fraud syndrome," with the consequential aggravation of the post-electoral crisis.

Within this political panorama, the institutional weaknesses that effect the JCE and its dependent agencies, particularly sensitive are the Electoral Registry system and the electoral process itself, in its legal, technical and organizational aspects.

2. The Electoral Registry

The Electoral Registry was created by Law 55 on November 17, 1970, and was declared "formed" by a resolution of the JCE on September 4, 1973, with 2,006,323 voters. In the latest national election (May 16, 1990), 3,275,570 voters were registered; 52% men and 48% women, divided almost equally between urban and rural areas.

The Certificate of Electoral Registration - known popularly as the "electoral identification card" or "registration" - is the document that identifies the voter status of the citizen. With this electoral identification document, combined with the presentation of the Personal Identity Card, the country has carried out five general elections: in 1974, 1978, 1982, 1986 and 1990. Of these, four were multi-party and competitive. Three were won by the Christian Social Reform Party (PRSC) and two by the Dominican Revolutionary Party (PRD). On two occasions, the main opposition party has triumphed, and in three others, the incumbent party won.

However, the close margins by which the last two general elections were decided have contributed to the planting of doubts among the politicians and the people concerning the trustworthiness of the electoral identification system, magnifying its deficiencies.

The 1990 elections - decided by 1% in favor of the party in power - reiterated the weaknesses of the Dominican electoral organization, provoking the questioning of its results by both the main opposition parties as well as, appreciably, by the public opinion. Two years after these elections - in May of 1992 - a public opinion poll (Penn and Schoen) registered that 68% of those polled believed that there had been fraud.

In this context, during the first six months of 1992, the four major parties represented in Congress met, with mediation of PUCMM, in order to negotiate and agree upon each one of the legislative bills directed towards reform of the electoral system, approved in April and May by the Congress and promulgated by the Executive Branch as Laws 8-92 and 12-92. The first bill transfers the agencies of the Civil Registry and the Personal Identification System to the control of the JCE, and adapts the personal and electoral identification documents into one, a mandate which implies the complete renewal of the electoral registration system. The second concerns the updating and improvement of the Electoral Law.

3. Dominican Government Programs Already Underway

By means of Resolution 9/92, from October 19, 1992, the JCE adopted an Implementation Plan from the mandate of Law 8-92, prepared by consultants of the PUCMM and endorsed by the main political parties, for the execution of which it applied for and obtained the budgetary resources of the Executive Branch. The first phase of this plan, identified after the fact as PUDE (Electoral Document Unification Plan), consisted of a National Registration Operative, carried out between the 18th and 21st of February, 1993, in which 6,935 registration sites brought in 3,372,770 citizens.

Of said plan, additional registration operations, data entry, verification and validation of registrations remain pending execution, as well as a series of successive documentation operations that must be completed by January 15, 1994.

As for Law 12-92, the JCE has initiated its implementation, creating the General Directorate for Elections and the Administrative Directorate, designating functions to each of them. It has requested that the political parties designate delegates before the Directorate for Elections and technical observers before the Computer Center, having developed a project of Regulations for this last function. It has called upon the political parties to discuss a new system of ballots and ballot boxes, in order to differentiate among the national, congressional and municipal elections. Other regulatory and procedural aspects contained in the previously mentioned law remain pending. The JCE is to dedicate itself to them in the short, medium and long term.

To comply with the mandate of the recent electoral reform laws, and with the double purpose of strengthening the JCE's capacity to organize adequately for the 1994 election process and building a firm foundation for institutional strengthening of the JCE over the longer term, the JCE has

designed a Technical Assistance Program (PAT) to be executed with the collaboration of national and international institutions.

B. U.S. Foreign Policy Objectives

The proposed project's response to Dominican initiatives for electoral reform accords fully with USG foreign policy and A.I.D. foreign assistance strategy.

Secretary of State stated that "[o]f 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 objectives of A.I.D. economic assistance.

Pursuant to these policies and objectives established by Washington, USAID/DR in its FYs 92-96 Country Development Strategy Statement (CDSS), 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 concern electoral reform: 1."Support Dominican initiatives to facilitate participation and encourage involvement by citizens in the process of government," and 2."Promote improved efficiency and impartiality of government institutions."

More specifically in defining USAID strategy, the CDSS states that "the USAID will...assist broadly based efforts to develop and implement measures to improve the efficiency and timeliness of the conduct of the next general elections in 1994..." and will "support efforts to improve public sector performance... in narrowly focussed areas which are closely related to other objectives..."

This project will directly support the Mission's strategic objective No. 4: "Participatory Democratic Reform" as identified in the current USAID/DR Action Plan for FYs 94-95. The implementation of the 1992 electoral reform legislation, which includes a new personal identification/electoral registration system currently being established by the GODR, is important to the consolidation of democracy in the Dominican Republic. By providing the JCE with the technical assistance necessary to ensure timely implementation of the electoral reform, including the completion of the new electoral registration system in preparation for the forthcoming 1994 elections, the project will strengthen both the electoral process and its most important institution.

III. PROJECT RATIONALE AND DESCRIPTION

A. Problem Statement

Of all elements of a democratic system of government, none is more basic to the responsiveness of government to the needs of the people than is the electoral process. Lack of credibility of elections impairs credibility of government as a whole, with citizens' lack of confidence in their purported representatives in the legislative branch as well as the person who assumes to be their president in leading the executive branch.

Such attitude of mistrust in turn tends to discourage activity at the grassroots level to educate voters, and to build consensus behind citizen initiatives. Of what use are such activities, the people reason, if their votes don't count, if there is no real accountability of their government to the people through the ballot box.

Further, if there is no true accountability, the government is less motivated to act responsibly and responsively to the needs of the people. The people's disrespect for their government leads to disrespect for the law. This can contribute to a vicious downward spiral for the society as a whole.

As recounted above in Section II, the recent history of Dominican elections tends to induce mistrust of the electoral process on the part of the Dominican electorate. Repeated and widespread instances of voting by the absent, double voting by the living, and otherwise stuffed or lost ballot boxes, have contributed to a "fraud syndrome" in the political culture. Further contributing to the problem are purely logistical and procedural flaws such as insufficient number of ballots, inadequate voting facilities, and delays in counting votes and announcing voting results. Without correction of these defects in the fundamentally important electoral process, the overall effort to increase participation in a democratic process will be severely undermined.

B. Constraints

1. Flaws of the Electoral Registry

The Electoral Registry has been questioned, alleging the issuance of false birth certificates and identification papers in order to obtain the electoral identification card, denouncing its adulteration and the removal of blank identification cards and registration books, and issuance of electoral identification cards to Haitian nationals.

One of the Electoral Registry's weaknesses is its "dead wood". It is unquestioned that the registration system is "inflated" by a substantial proportion of irregular registrations and by the failure to eliminate the deceased and the members of the armed forces, among others ineligible to vote. The emigration of Dominicans to the United States, Puerto Rico and Venezuela - and more recently to Europe - during the last two decades, has represented an additional component of "dead weight" that is a burden to the Registry. In the past, officials and technicians of the JCE have contributed to diminished confidence in the Registry by making alarmist statements that over 50% of their registrations would be falsified.

As of February 1993, the Electoral Registry estimated 3,219,683 registrants. In its twenty years, it has cancelled only 139,367 registrations, of which 118,787 were attributed to death, or 3.7% of the present registration system. Some 682,000 adults are estimated to have died between 1975 and 1992. Assuming that 75% of those who died were found in the Registry, and subtracting those who were in fact cancelled, would leave some 392,713 cases pending elimination from the Registry because of death.

During the fourteen years between 1972 and 1986 many citizens who were legally disqualified for being part of the Armed Forces and National Police showed up on the Registry, with the possibility of exercising the right to vote in elections. Since 1986, 20,505 soldiers and police have been taken off the lists.

For the five national elections since 1974 with the Electoral Registry, not until 1990 was even one duplicate identification card cancelled. In 1991 and 1992, fifty-eight more cards were cancelled. Furthermore, in spite of voluminous press reports of fraudulent registration of Haitian nationals, only three registrations have been cancelled because they were foreign. There are thirteen cases of counterfeit data, and no registration has yet been cancelled because of this criminal act.

A conservative estimate of the minimum "dead weight" of the current Registry puts it between 10% and 15%. In elections decided by 1% and 2% of votes, this fact alone justifies the reform of the Electoral Registry.

Further complicating the situation, Dominicans who are legal residents overseas are provided with electoral documents, but only occasionally do they exercise their right to vote. The 1990 U.S. Population Census registered 518,000 Dominicans in the continental U.S. plus another 100,000 in Puerto Rico. As many as

40,000 more may reside in Venezuela. To that must be added the many uncounted illegal immigrants and the more recent unrecorded female migration to Europe. In total, between 800,000 and one million Dominicans live outside the country.

Finally, during the Electoral Registry's twenty years, according to estimates based on the 1981 National Population Census and the most recent national demographic poll, 25% of those registered have since changed their place of residence, thereby well justifying the recent update of the Electoral Registry.

In spite of its flaws, the Registry correctly reflects the data of a high percentage of the country's electoral population. It is the only registration system that has been submitted, since its beginnings, to processes of purging, supervision, public debate and, most importantly, it is the only one whose records have been completely computerized. The Personal Identity Card, the other citizen registration system, has lacked these relative advantages. By reasonable estimate, about 75% of the present Electoral Registry is valid.

2. Weakness of the JCE

In its recent history, the JCE has been perceived as a weak agency, vulnerable to Executive Branch manipulation and political party pressures. The frequent rotation of its members - designated every four years by the Senate - has prevented it from forming a body of experienced, expert electoral judges, dedicated professionally to the electoral career. This situation - albeit to a lesser degree - similarly affects the staff of the institution, devoid of any staff improvement or retention policy.

The current definition of the three functions that the JCE exercises - administrative, normative and the strictly jurisdictional - was but recently enacted, in Law 12-92. Previously, these functions were confused, the last two exercised by the collegiate body and the first, in practice, in a unilateral manner by the President of the institution.

Historically, the end result has been a low level of institutional memory and continuity of programs, the improvisation of ad-hoc solutions for different phases of organizing the electoral process, the confusion of norms and procedures, and weakness of control and supervisory mechanisms. To that, the absence of a policy of opportune communication with the parties and the citizenry has been added.

This institutional weaknesses have led to such basic failures of performance as late and inadequate deliveries of necessary equipment and materials to voting sites, and inability to provide timely and accurate preliminary and final vote counts.

Another consequence of the institutional weakness has been the need of the political system to complement the credibility of the JCE, reinforcing its technical capacity and its arbitration function. That happened in 1986 with the intervention of a Commission of Electoral Advisors, designated by the Executive Branch at the request of the main opposition candidate.

Similarly in 1990, the JCE had to avail itself of the credibility of U.S. ex-president Jimmy Carter and the Secretary General of the OAS, Joao Baena Soares, to convince the public that there had been no fraud, as alleged by the main opposition candidate.

3. Coordination with the Civic Organizations

During the past decade, Dominican society has experienced vigorous development of civic organizations of every type that promote job creation, community development, improved health, nutrition, education and housing conditions, environmental protection and women's rights, as well as appropriate techniques of organizational management. Also, numerous think tanks have formed, dedicated to studying matters of public interest in order to provide the basis for sound policy formation. This process has enjoyed the support of international organizations.

One of the weak points of the Dominican electoral organization has been the limited use of the human resources, facilities and cooperation that these voluntary associations can offer, particularly for voter education and training of polling site staff. During the past elections, significant last minute desertion of polling site personnel occurred, especially in the National District. This suggests the need to choose this staff more rigorously and to form a reserve of available and qualified people to cover such contingencies.

Today many civic voluntary organizations and higher education institutions are disposed to support and assist the electoral process. The Democratic Initiatives Project, administered by PUCMM under an agreement with USAID, offers an excellent opportunity to foster a program coordinating the education of voters in support of the work of the JCE.

C. Project Strategy

This project has developed within an overall USAID strategy to encourage and support Dominican efforts to strengthen democracy, democratic institutions and systems, in the Dominican Republic. The PVO Co-financing Project, authorized in 1989, is intended to support pluralism in the political system by fostering and strengthening private voluntary organizations at the grassroots level. The Democratic Initiatives Project, authorized in 1992, follows up with A.I.D. co-financing of private and public sector initiatives directed at enabling citizens to more efficiently communicate their needs to government and enable government to be more responsive to those needs within a democratic process. Among activities to be supported by that project are voter education; education, systems and mechanisms for consensus building; civil service reform; etc.

For the reasons stated at Section III.A above, electoral reform is of basic concern in making government more responsive to its citizens. The foreign technical assistance in support of the indigenous electoral reform initiative not only provides the benefit of necessary expertise and experience unavailable in the Dominican Republic, but also, in the eyes of many Dominicans, helps lend credibility to the 1994 election, and to the overall electoral reform effort.

Thorough evaluation of this project is of special importance to A.I.D., since this electoral reform project, along with other current projects in El Salvador and Panama using different approaches and technical assistance providers, should provide useful lessons and models for subsequent electoral reform efforts in other countries.

D. Goal and Purpose

The goal of the project is to achieve a more effective, representative and participatory democratic system of government in the Dominican Republic. The purpose of the project is to increase the effectiveness and integrity of the Dominican electoral process.

The project purpose will be achieved by strengthening JCE institutional structure and management and by helping the JCE to establish an accurate and efficient, fraud-resistant identification/electoral registration system. Strengthening the JCE's institutional structure and management will include establishing a training program for polling site personnel, modernizing the electoral logistics system, establishing a system for prompt computation of election results, establishing a system for coordination of PVO/NGOs whose activities include informing the general public concerning the electoral system, establishing

a plan and system for coordination of election monitoring by Dominican and foreign observers, and improving the civil registry toward a more efficient and effective service.

By the end of the two year project period, the Government of the Dominican Republic (GODR) will have completed the 1994 election process, in the results of which the Dominican general public and foreign nations should be confident; a fraud-resistant identification/electoral registration document will have been issued to all eligible voters; allegations of multiple voting will have been reduced to a negligible number; core staff from each polling site will have attended training programs; an adequate supply of ballots and equipment will have been provided to all polling sites; preliminary election results will have been announced within three days following election day; effective presence of monitors will have been established; public knowledge of the electoral process will have been substantially enhanced; and Electoral Registry entries will be made more timely and accurate.

E. Project Components

1. Institutional Restructuring of the JCE

- Objective: 1) Perform a diagnostic study of the administrative structure of the JCE and its dependent agencies (Municipal and National District Electoral Boards, the Civil Registry Office and its branches, and the General Directorate for the Personal Identification Card).
- 2) Prepare a plan of internal organization, functions and procedures to improve electoral administration in the Dominican Republic.

Steps: Provision of advisory services of two foreign experts in electoral administration, specialized in organization and management for four weeks, assisted by two Dominican counterpart technicians from the National Office of Administration and Personnel (ONAP).

Date: June/July 1993

Product: Diagnostic Report of the JCE.
Reorganization proposal and organization charts.
Draft of internal regulations.
Functions and procedures manual.

Development

The objective of this component is to evaluate, by means of a diagnostic study, the formal bureaucratic organization of the JCE, its different functional and hierarchic levels, its general and specialized departments, its mechanisms of coordination and assignment of functions, its internal procedures and regulations, as well as the definition of its principal positions (salary requirements, functions and tasks).

This study should include the JCE as a collegial entity, the Board Secretariat, the Office of the Inspector, the recently created General Directorate for Elections (DGE) and Administrative Directorate, the Legal Counsel, the Departments of Civil Registry, Electoral Registry, Political Parties, Public Affairs and Information and the Computer Center, among other units. Also, the Municipal and National District Electoral Boards should be included.

Likewise to be included are the central and the branch offices of the Civil Registry and the General Directorate for the Personal Identification Card, entities that Law 8-92 has made direct dependencies of the JCE.

Method of Operation

Two IFES experts in organization and management with specialized expertise and experience in electoral organization should lead a four-week mission, supported by a minimum of two Dominican consultants. These consultants could be provided by ONAP, at the request of the JCE or recruited from among national consultants.

In their work they should refer to Electoral Law 5884 of May 5, 1962 and its modifications, Law 12-92 of May 18, 1992, being the most recent; Law 659 of July 17, 1944 which creates the Civil Registry, complemented by Decree No. 1275 of July 10, 1971; Law 55 of November 17, 1970, regarding the Electoral Registry and Law 8-92. Also pertinent are the Organization Manual of the Dominican Government, prepared by ONAP; Law 14-91 of May 20, 1991, concerning the Civil Service and Administrative Career; as well as the current regulations and procedures of the JCE, the Civil Registry, and the General Directorate for the Personal Identification Card. In addition, the April 1993 Preliminary Report of the IFES Technical Assistance Mission, as well as any other existing evaluative documents should be taken into account.

2. Electoral Management and Planning Training

Objective: To support a process for learning modern techniques of electoral planning and management, using a multiplier effect among the JCE officials in increasing institutional management capacity.

To make the institution's decision-making process more efficient by incorporating the concept of programming by objectives, and to make operations more efficient by application of modern management methodologies.

Step 1: High level seminar on electoral administration offered by IFES to the members of the JCE and the top executives of the institution.

Coverage: 20 people
(5 JCE members and 15 top executives)

Duration: 2 days
Date: May 1993

Development

This seminar will be important to familiarize the members of the JCE and its staff with modern techniques of electoral planning and administration. This will support the practical use of these techniques in immediate and longer term tasks for which the institution is responsible in unifying the personal identity and electoral documents, organizing the 1994 elections, and strengthening its bureaucratic structures.

The seminar, employing group dynamics techniques, should help identify problems and solutions related to the more critical aspects of the institution and the electoral process, motivating the participants to take an active role in these exercises.

Finally, the seminar should help develop a greater esprit de corps among the principal officials of the institution, promoting common goals and criteria and more fluid communication among themselves.

Method of Operation

The seminar should employ the total immersion model in a hotel away from Santo Domingo, with expositive sessions lead by IFES experts, using group workshop techniques. Needed will be two IFES experts, including a training expert, and a complementary team of four facilitators for four working groups.

Step 2: Five short courses on electoral administration for Municipal Electoral Board Secretaries.

Coverage: 105 people
Duration: 1 day
Date: June/July 1993

Development

These short courses will expose the National District and Municipal Electoral Board Secretaries to modern electoral management techniques appropriate to the types of tasks performed by this level of electoral officials. As with the higher level seminar, the secretaries should participate in a workshop session to identify common problems and solutions, exchanging their experiences in electoral administration.

Method of Operation

Total immersion for one day, in groups of twenty people, using the facilities of different universities, located in five cities that serve as regional centers: San Pedro de Macoris, Santo Domingo, Barahona, San Francisco de Macoris or La Vega and Santiago. Two experts would be required to lead the series of short courses, assisted by five facilitators for the workshops. The short courses would be programmed sequentially from Monday to Saturday, leaving Thursday free, and using the instructors and facilities for a period of one week.

Step 3: Fifteen short courses on electoral administration for members of the Municipal and National District Boards.

Coverage: 320 people
Duration: 1 day
Date: August 1993

Development

This program of short courses would seek to cover the same objectives as for the higher level officials, adjusted to the specific functions that the members of the Municipal and National District Electoral Boards perform in their positions as administrators and judges, and promoting the exchange of experiences among themselves.

Method of Operation

Identical to the courses for Municipal Electoral Board Secretaries, in groups of twenty people, taking advantage of the facilities of universities.

- Step 4 : Project funds will be made available for further training of JCE management and staff in modern management methodologies should such training appear necessary and appropriate to the success of the electoral process.
- Product: Better qualified and skilled JCE staff.

3. Technical assistance in specific areas of organization of the 1994 elections

Objective: Strengthen specific areas of the process of organizing the 1994 elections in determined phases and stages.

Steps: Provision of IFES expert advisory services to the JCE.
Visits of JCE technicians to other countries to meet foreign counterparts and learn from their experience.

Product: Technical reports.
Trip reports and feedback.

3.1 Logistics and shipment of materials

Objective: To study the electoral logistics system employed in Costa Rica in order to adapt it to the Dominican Republic.

To study the electoral equipment and types of ballots used in that country before the modification of the ballots and ballot box system in the Dominican Republic.

Steps: Work visit by five JCE officials to the Supreme Court of Elections of Costa Rica and to CAPEL.

Duration: 1 week
Date: Early May 1993

Product: Trip report and feedback.
Technical proposal for design of electoral ballots.
Technical proposal for the packaging of electoral material.

Development

Law 12-92 establishes, in Article 13, "that the Central Electoral Board will arrange (. . .) for the ordinary and extraordinary elections to be held simultaneously using different ballots and ballot boxes for the national, provincial and municipal slates," thereby differentiating and duly considering the character of each level of representation decided in general elections.

At the same time, the law requires that the JCE decide on the types of ballots and ballot boxes at least one year before the elections, to allow the institution and the political parties adequate time for publicity and education regarding the new system. Therefore, the JCE will have to make the decision before May 16, 1993.

Costa Rica offers one of the most efficient models of electoral administration in Latin America. In many aspects, it has been serving as a reference for the Dominican Republic, with several visits of Dominican electoral officials to that country and of technical missions from the Costa Rican Supreme Court of Elections to Santo Domingo.

The ballot and ballot box systems and the logistics of packaging and distributing the electoral material for voting day will be the study priorities of this visit, in order to consider their adaptation to the needs of the JCE and the Dominican Republic.

Method of Operation

A group of five JCE officials will be selected, headed up by the General Director for Elections, and including members of other JCE units to participate in a one-week working visit. Responding to JCE needs and interests, IFES will program the visit in collaboration with the Costa Rican Supreme Court of Elections.

3.2 Electoral Data Systems

Objective: To examine the JCE data processing system to make recommendations for its improvement.

Steps: **First Stage**
Assistance of two foreign experts from IFES to the JCE.

Duration: 4 weeks
Date: March 1993

Steps: **Second Stage**
Assistance of two foreign experts from IFES to the JCE.

Duration: 4 weeks
Date: May/June 1993

Product: Technical reports with operational recommendations.
Advice on systems introduction.

Development

The National Registration operative, which took place between the 18th and 21st of February, 1993, as the first phase of the JCE's implementation of the Electoral Document Unification Plan (PUDE) registered 3,372,770 voters. Of them, 70% were re-registrations of people who were already listed in the Electoral Registry, 26% were new registrants, and the status of the remainder subject to further verification.

This mass of facts - which remains packed in 6,935 boxes corresponding to the registration sites in the different municipalities and the National District - is waiting to be processed by the JCE's Electoral Registry Department and the Computer Center, with the help of the Legal Counsel, and the Municipal and National District Boards, and the supervision of the political party delegates.

Method of Operation

The data processing advisers will work in the Computer Center and the Electoral Registry Department. There they will contribute to the design and establishment of the flowchart for the registration forms, the reception procedures, the collection and verification of data, the weeding out and the audit in order to process the registrations in the new system and produce the data cards that will be used in the personal identification process. They will also evaluate the electronic data processing programs and the management of the computer and physical files. In making timely recommendations, they will apply experience gained elsewhere in similar processes of massive registration.

3.3 Preliminary and Definitive Electoral Computation

Objective: Design rapid and efficient systems for the preliminary and definitive counting of the votes and for the dissemination of the 1994 election results.

Steps: Assistance of one IFES advisor for four weeks.

Date: September 1993.

Product: Diagnostic report.
Technical proposal.

Development

The delay in the provisional and definitive computation of the electoral results, as well as the dissemination bulletins reporting the preliminary partial returns, have been disturbing factors contributing to tension and conflict in past elections.

Law 12-92, in Article 144, establishes a term of three days following publication of the final provisional report, to produce the definitive official electoral vote counts. Similarly in Article 2.C it provides, within the administrative powers of the JCE, for putting the vote count program at the disposition of the political parties no later than five days after the close of registration in the Electoral Registry (set for January 16, 1994, pursuant to Law 8-92).

Method of Operation

The consultant will work in coordination with the DGE and technical and executive staff of the JCE's Computer Center, to prepare a diagnosis in light of past experience and to prepare a plan for an efficient system of processing and disclosing results, that complies with the statutory requirements.

3.4 Training of Polling Site Personnel

- Objective:** Design and develop a massive training program for polling site personnel.
- Steps:** Assistance of one expert in design of massive electoral training programs for four weeks. Training, employing a pyramidal structure, of 40,000 citizens at the national level, through 1,000 courses for groups of forty, offered by 100 instructors previously selected and trained in five intensive courses for twenty people.
- Date:** Arrival of training design expert
August August/September 1993
Training of instructors
January/February 1994
Training of polling site personnel
March/April 1994
- Product:** Design of a polling site personnel training program for 100 instructors and 40,000 polling site officers.

Development

All authorities on electoral organization seem to agree that the quality of elections is largely determined at the voting site. There is performed the voter's supreme act of decision making by exercising the right to vote. There, the entrusted vote is first counted, its quality is determined for the purpose of validation or invalidation, the local vote counts are determined and, with the signature of the polling site officials and the party delegates, are certified which local votes count. When totalled, they constitute the grand general results of elections. The voting site is where the people make their choice.

In Dominican elections, the qualification levels of staff selected to operate the polling sites, the training received and the degrees of commitment of said staff to the process itself, have been determined to be critical points, which have provided cause for subsequent challenges and traumatic post-electoral crises. The egregious errors in basic mathematical computations and in filling out the forms and certificates, the last minute desertion by unmotivated staff, as happened with significant effect in the National District during the last election, are typical of polling site problems which need to be addressed far in advance of election day.

Method of Operation

The JCE-IFES/AID agreement and the existence of a technical assistance program between the JCE and PUCMM, offer an appropriate framework for a massive training program for polling site personnel.

A pyramidal organization of the electoral personnel training process would be implemented by training a group of 100 trainers or facilitators in five courses for twenty people each. Their job in turn would be the training of 40,000 citizens, through conducting 1000 courses at the national level, with each trainer carrying out ten courses for groups of forty people each.

The educational resources and facilities of the main universities of the country would be used in a system of regional training nuclei, in coordination with the JCE, and the Municipal and National District Boards.

3.5 International Observers

Objective:	Organize a Foreign Observers Coordinating Center in order to facilitate their functions and tasks in the electoral process.
Steps:	Provision of advisory services by an IFES expert for two weeks.
Date:	November 1993
Product:	Proposal of plan for observation of the 1994 Dominican Election.

Development

International observation of elections can help assure their credibility nationally as well as internationally. Among the different groups of observers are such agencies as the

Organization of American States (OAS), the United Nations (UN), CAPEL, The Carter Center, the Christian Democratic Organization of America (CDOA), the Socialist International, and other similar entities that accredit observer missions. To help assure adequate international observation for the 1994 elections, an Election Observation Plan is needed, the design of which should include the working specifications of a Coordination Center.

Method of Operation

An IFES consultant would work in coordination with the DGE in order to prepare the plan, with the greatest level of operational details possible, so that it could be considered by the JCE for use in 1994.

4. Civil Registry

Objective: To obtain and analyze the documentation containing the international recommendations on the subject of civil registry as developed by the United Nations. To prepare a diagnosis of the Dominican Civil Registry and propose solutions for its deficiencies.

Steps: Assistance of three IFES consultants for a period of six weeks, divided into two stages of three weeks each.

Date: **First stage:** August 1993
Second stage: December 1993

Product: Diagnostic report of the Civil Registry.
Proposal for restructuring the system.

Development

The deficiencies of the Civil Registry system and vital statistics production have been evaluated by various international technical missions, among them the Latin American Demography Center (CELADE) and the OAS. The OAS mission lead by members of the Supreme Court of Elections and the Civil Registry of Costa Rica came in 1987, at the request of the JCE. These

deficiencies have caused most of the problems of the Electoral Registry, particularly those relative to registration of deaths and certification of births, which give rise to conflicts among the political parties and suspicions among the people.

Also, as part of the reorganization of the Civil Registry system, appropriate computerization is required in order to make access to information more efficient and to improve quality control.

Method of Operation

During the first stage, the consultants, using the JCE's facilities as a base, would establish contact with different government branches that are involved with the Civil Registry system (the Ministry of Public Health and the National Statistics Office among others), and after getting the necessary information, would produce a diagnostic report for the JCE's consideration. In the second stage, the consultants would help prepare a proposal for reorganization and modernization of the Civil Registry.

5. Electoral Law

Objective: To obtain suggestions and recommendations from experts in electoral law and political parties for the revision and improvement of the regulations that the JCE will produce to implement the recent modifications of the Electoral Law.

Steps: Assistance of one expert from IFES to the JCE for a period of four weeks.

Date: May/June 1993.

Product: Reports with recommendations for revision of regulations.

Development

With the entry in force of Laws 8-92 and 12-92, the JCE will have to pursue a strenuous agenda that includes the following tasks:

a. Updating the JCE's internal regulations, incorporating the functions of the recently created DGE and Administrative Directorate, as well as the other changes in the JCE organization since 1969, the year in which the current regulations were adopted.

- b. producing a series of regulations:
- 1) to regulate the presence of the technical observers of the political parties at the JCE's Computer Center;
 - 2) to establish the standards governing conduct of the electoral campaign;
 - 3) to provide for internal democracy of the political parties;
 - 4) to control the public financing of the parties;
 - 5) to regulate paid advertising in the communications media and the publication of political surveys during the campaign period;
 - 6) to regulate the use of the electronic mass media during the period from twenty-four hours before poll opening to twenty-four hours after poll closing;
 - 7) to define the procedure for mergers, alliances or coalitions among political parties.

Method of Operation

To help the JCE technical and executive personnel in review of said regulations and procedures, the consultant would work under the coordination of the DGE with the different departments of the institution pursuant to priorities set by a work plan, and contribute recommendations for new regulations.

6. Voter Education

Objective: To orient voters on the different aspects of the electoral process in order to promote more and better informed citizen participation in the same.

Steps: Assistance of one IFES expert for a period of four weeks.
Coordination with the Democratic

Initiatives Project, in order to involve the civic organizations in civic education.

Date: July/August 1993.

Product: A JCE multimedia Plan of Citizen Education, which supports the roles of the political parties and the civic voluntary organizations.

Development

The experience and expertise of an international consultant would assist in the design and execution of a massive citizen education plan to take full advantage of modern mass communication resources and other appropriate techniques of participatory education. Looking toward the 1994 election, the work of the JCE would be linked to that of a broad gamut of civic voluntary organizations, taking advantage of the resources available within the Democratic Initiatives Project.

Under this plan, the organizations would seek to inform the voters about the substantive aspects of the electoral reform underway and to motivate citizen participation in the electoral process, including their integration into party activities and political groupings, in order to promote a greater interest in the key processes of the democratic system.

Method of Operation

The consultant, in coordination with the DGE and the Executive Directorate of Democratic Initiatives Project, would help to develop the aforementioned plan and to establish within the JCE the mechanisms for its implementation.

7. Phase III

In July 1994, following completion of the entire 1994 electoral process and the furnishing of all short term technical assistance under Phases I and II of the Electoral Reform Project, an IFES team of experts will conduct a thorough assessment of the capability and performance of the JCE and its dependencies. Such assessment will include examination of performance during the 1994 election campaign and the preparations therefor, and the JCE's capability for improved performance of its continuing functions in civil registry, coordination of civic education, preparation for future elections, etc.

The assessment team will include expertise in electoral administration, organization and management, training, data processing, and civil registry. The team will be charged to make

recommendations for further technical assistance and other measures as considered necessary to address deficiencies revealed by the assessment.

Any follow on technical assistance for the Civil Registry would be focussed on those registry functions which bear most significantly on the electoral process.

\$0.523 million of project funds will be reserved to finance further technical assistance within Phase III in implementation of the recommendations of the assessment.

8. Resident Chief of Party

While furnishing technical assistance for the various project components as described above, IFES would provide the continuous service of one advisor as resident Chief of Party in the Dominican Republic from o/a July 1, 1993 to o/a September 30, 1994. Such Chief of Party would represent IFES and coordinate its technical assistance activities within the Dominican Republic. The Chief of Party would also have the professional expertise to serve as an IFES electoral system expert in fulfilling a portion of the specific technical assistance assignments among the project components described above.

9. Dominican Consultants

To the extent that technical assistance requirements include services within the experience and expertise of Dominican firms and individuals, such services will be provided by PUCMM under separate contracts with USAID.

F. Relationship to A.I.D. and Other Donor Activities

This Electoral Reform Project and the current Democratic Initiatives Project will be mutually supportive. For the Democratic Initiatives Project, electoral reform has already been identified as one of two principal areas of priority in support of political reform during the period 1992 - 1994. PVO activities supported by that project are expected to play a role in educating the public concerning the electoral process. Already six proposals for such activities have been received, and it is anticipated that others will get under way as the approaching election heightens public interest in the electoral process.

Also as noted at IV.E. below relative to evaluation, the Democratic Initiatives Project will finance research concerning public attitudes toward the electoral process among

other democratic institutions and systems. That research will provide the baseline data necessary for assessing the impact of the electoral reform.

A major factor in the prompt availability of appropriate technical assistance is the LAC/DI regional project for assistance to democratic electoral systems. Previous grants to IFES under that project have helped IFES develop a strong cadre of professionals with relevant experience and expertise for strengthening electoral systems.

In view of national sovereignty concerns, it is advantageous that assistance to the politically sensitive electoral reform process be furnished within a multilateral rather than bilateral context. In addition to external support for foreign observation of the elections, several foreign donors have expressed varying degrees of interest in providing assistance for electoral reform. PUCMM has undertaken to assist the JCE in coordination of external technical assistance for the electoral process. Such coordination services will be included in A.I.D.-financed contracts.

Among the various prospective donors, most advanced in its planning is the OAS, which has already reached agreement with the JCE on the types and sources of assistance it will provide. The OAS, working with PUCMM, will begin technical assistance activities in June 1993 with funding of over US\$25,000 assured through December 1993, and more planned for 1994.

IV. PROJECT IMPLEMENTATION PLAN

A. Instruments and Agencies

USAID/DR will execute a Handbook 3 bilateral project grant agreement with the JCE as the GODR representative. The JCE will implement the project with technical assistance provided by IFES and PUCMM. Upon execution of the grant agreement, USAID/DR will issue a Project Implementation Order, this PIO/T will provide for designated assistance from IFES through a Cooperative Agreement between A.I.D. and IFES. Services to the JCE from PUCMM will be provided under contracts between USAID and PUCMM to be financed by this grant.

B. Management and Coordination

For the JCE, day to day management of the project will be the responsibility of the JCE delegee(s) for project implementation with support from JCE staff as required and appropriate. Within USAID/DR, the furnishing of assistance will be managed by the Democratic Initiatives Coordinator within the Office of Policy and Democratic Initiatives under the supervision of the Office Director. Also serving on the Project Committee within USAID will be representatives of the Controller's office, the Project Development Office and the Embassy Political Section. Because of the special importance and political sensitivity of this project, the Ambassador and the Mission Director will assume especially active roles in project implementation, and Project Committee meetings will be chaired by the Mission Director or the Deputy.

Technical assistance will be coordinated principally at the level of the JCE delegee(s), the USAID Project Manager, the IFES resident Chief of Party, and the PUCMM Vicerector, as appropriate.

Each IFES advisor will have clear "management by objective" work plans developed prior to initiation of its technical assistance to the JCE.

USAID/DR and a member of the political section will receive weekly oral program reports from those IFES advisors present in the country. These briefings will take place at USAID/DR's main building.

All communications, oral or written, between IFES' home office and the JCE authorities, including its President and General Director for Elections, will be made through USAID/DR's Project Liaison Officials.

Besides the reports to be produced by each IFES advisor upon conclusion of his/her consultancies, IFES will present to USAID/DR monthly reports summarizing their activities, findings, and achievements, describing proposed activities for the next reporting period and problems and/or opportunities anticipated.

C. Procurement

1. Procurement Plan

Unless A.I.D. agrees otherwise in writing, it is planned that no commodities, as such, will be financed by A.I.D. under this project. The GODR has undertaken to finance all the commodities requirements of the electoral process reform. A.I.D. financing will focus on technical assistance requirements.

For Phase I of project implementation, IFES has already been used to obtain certain services of IFES technicians who were provided on site in the Dominican Republic by mid-March 1993, within two weeks of the request by USAID/DR, and less than a month from the request by the JCE.

The IFES technical assistance personnel on site will be required to be self-sufficient in all respects except office space, which is to be provided by the JCE. Therefore, to the extent the technicians need equipment, particularly computer equipment, in their work, IFES will purchase it. Such equipment will be left in the Dominican Republic with the JCE upon completion of the technical assistance services financed by A.I.D.

Such IFES purchases will be subject to A.I.D. procurement regulations as provided in the Cooperative Agreement. A.I.D. financed procurement of such data management equipment is estimated at \$20,400, far short of \$100,000 which would require AID/W/SER/IRM approval.

To the extent that technical assistance requirements include services within the experience and expertise of Dominican firms and individuals, USAID/DR will contract with PUCMM for such services under a separate agreement.

USAID/DR will contract directly with a U.S. consulting firm for performance of the final project evaluation as discussed below at IV.E.

For procurement of audit services refer to V.C below.

2. Source Selection Information

Of the \$1.54 million of the proposed A.I.D. grant allocated to costs other than contingency, an estimated \$1.41 million, or 91%, will finance assistance from IFES, a U.S. non-profit organization based in Washington, D.C. In providing technical assistance, however, IFES can be expected to draw heavily on its pool of Spanish-speaking consultants, many of whom are non-resident foreign nationals. Also the IFES technical assistance will include an estimated \$9,290 for observation visits in other countries.

An estimated \$50,000 or 3% of the grant will finance the cost of Dominican consultant services to be provided by PUCMM.

Of the remaining amount, about \$8,000, or 1/2%, will finance audit services of a U.S. firm (for IFES) and a Dominican firm (for PUCMM). About \$75,000 or 4% will finance evaluation services to be provided by a U.S. firm. The evaluation services, however, will be largely provided in the Dominican Republic, with about 1/5 of the total cost representing expenditures in that country.

3. Procurement Matters

Single source procurement of Dominican consultant services from PUCMM is justified on the basis of unique capability of an institution which has acquired highly specialized experience and expertise in the Dominican electoral process and the Dominican agencies involved therein.

A Justification for a Non-Competitive Award to IFES is based on its predominant capability due to its experience and its existing relationship with the JCE.

A procurement waiver of nationality for IFES consultants for up to \$800,000 from A.I.D. Geographic Code 935 countries is justified due to persuasive political considerations and other circumstances which are critical to the achievement of the Project objectives.

D. Implementation Schedule

March 15 to June 30, 1993	Phase I pre-grant agreement short term assistance
July 1, 1993 - August 31, 1994	IFES Chief of Party resident in Santo Domingo
July 1, 1993 - August 31, 1994	Phase II provision of pre-election technical assistance directed at preparations for election and reform of electoral process
January 1994	Baseline data published by the Democratic Initiatives Project contractor
January 1994 - June 1994	Electoral period during which no USG-financed short term assistance to be furnished (Chief of Party will continue in country)
July/August 1994	Post election IFES assessment of JCE performance and capability
October 1994 - March 1995	Phase III technical assistance, focussed on implementation of assessment and evaluation recommendations
September 1994	Issuance of RFP for final evaluation
January 1995	Final evaluation
March 1995	Final audit
March 31, 1995	PACD

E. Evaluation Plan

The project funds include financing a final evaluation to determine the effectiveness of technical assistance and the impact of the project upon the Dominican electoral process. The

evaluation of effectiveness of the technical assistance will include assessment of provider performance and the validity of the approach used by A.I.D. along with other donors in supporting the Dominican electoral reform effort.

The evaluation will be conducted by a team including expertise in evaluation methodology, electoral systems and data management technology and applications. To enhance the evaluation team's understanding of country context, the multidisciplinary evaluation team should include at least one Dominican.

There is no provision in this project for obtaining of baseline data because the concurrent Democratic Initiatives Project includes provision for obtaining baseline data relevant to this project. The publication of baseline data will take place in January 1994.

V. COST ESTIMATES AND FINANCIAL PLAN

A. Methods of Implementation and Financing

Method of Implementation	Method of Financing	Amount
GODR - JCE Handbook 3 Grant	--	--
IFES Handbook 13 Grant	Direct Payment /Reimbursement	1,411,100
PUCMM Direct Contract	Direct Payment /Reimbursement	50,000
Evaluation/Audit/Contingency	Direct Payment /Reimbursement	235,900

B. Budget

The total cost of the Electoral Reform Project from initiation through March 1995 will be \$17.7 million. Of this amount, the GODR will contribute \$16.0 million equivalent, of which \$8.0 million equivalent will cover equipment and supplies for the new unified personal identification/election registration card system, and \$8.0 million equivalent will cover other costs of establishing that new system. A.I.D. will contribute \$1.697 million dollars under the grant agreement to finance the cost of technical assistance plus attendant audit and evaluation services.

Table 1 presents the project budget by component showing A.I.D. and GODR contribution to each component. Table 2 presents in more detail the budget for the A.I.D. financed technical assistance. Table 3 presents project cash flow for A.I.D. and GODR by A.I.D. fiscal year. Annex B provides details of the project budget and cost estimates by component, source and fiscal year.

The budget contains a Contingency line item which is 9% of the A.I.D. budget total. The Contingency line item has been included for several reasons to assure that sufficient funds will be available when needed to respond quickly to critical implementation needs as they become known. The most important factor is the uncertain nature of the exact extent of the technical assistance that will be required during Phase II and Phase III. In addition, flexibility is needed to allow agile adjustment in the amount of resources that can be directed to

either IFES or PUCMM should the need arise. Finally, the affect of inflation on budgeted amounts is difficult to estimate. With the Contingency line item, Project resources will be able to quickly satisfy rapidly developing implementation requirements.

The GODR will provide all project counterpart from annual budget appropriations. Current law provides that up to 1.5 percent of the national budget shall be allocated to the JCE for its civil registry and election registration and supervision functions. Such amount is ample to cover anticipated project costs.

C. Audit

Annual financial reviews and audits of Project activities to ensure grant and contract compliance and sound financial management of IFES and PUCMM, will be conducted as prescribed by A.I.D. requirements (see Annex G). IFES and PUCMM will be required to furnish to A.I.D., in form and substance satisfactory to A.I.D., evidence that an adequate accounting and budgetary control system is established that will provide proper accountability of A.I.D. funds, in accordance with generally accepted accounting principles.

When cooperative agreement amendment and consulting services contracts are negotiated with IFES and PUCMM respectively, the contracting officer will assure that A.I.D. audit requirement are included therein. For PUCMM, an audit would be required only for a year in which payments exceeded \$25,000.

In order to minimize duplication of effort, Project related audit of both entities will be coordinated with audit of their other A.I.D. financed activities. In the case of IFES, annual audits of all cooperative grant activities are performed by one U.S. private accounting firm under a single contract, and the costs of such audits are included within the IFES overhead charge of 42% over direct costs. For PUCMM, an audit will be performed by a Dominican firm under contract with PUCMM financed with project funds.

Only technical assistance and consultant services would be contracted for by A.I.D. No funds or commodities, are provided to the JCE with A.I.D. project financing. Therefore, there is no need for audit of JCE/GODR use of A.I.D. funds or A.I.D.-financed commodities.

TABLE 1. PROJECT BUDGET

(AMOUNTS IN THOUSANDS OF DOLLARS).

COMPONENT	A. I. D.	GODR	TOTAL
TECHNICAL ASSISTANCE	1,440.7		1,440.7
TECHNICAL ASSISTANCE RELATED COMMODITIES	20.4		20.4
UNIFIED ID/REGISTRATION SYSTEM COMMODITIES		* 8,000.0	* 8,000.0
OTHER COSTS OF THAT SYSTEM AND 1994 ELECTIONS		* 8,000.0	* 8,000.0
EVALUATION	75.0		75.0
AUDIT	8.0		8.0
CONTINGENCY	152.9		152.9
TOTALS	1,697.0	16,000.0	17,697.0

*US DOLLAR EQUIVALENT IN DR PESOS

TABLE1JCE

TABLE 2. TECHNICAL ASSISTANCE BUDGET

DESCRIPTION	QUANTITY	\$	\$
IFES			
PHASE I			
SHORT TERM ADVISORS	32.0 PW	137,310	
OBSERVATIONAL TRAVEL	5.0 PW	9,290	
COMPUTERS	1.0	3,400	150,000
PHASE II			
CHIEF OF PARTY	15.0 PM	358,800	
SHORT TERM ADVISORS	66.0 PW	362,300	
COMPUTERS	5.0	17,000	738,100
PHASE III			
CHIEF OF PARTY	6.0 PM	152,100	
SHORT TERM ADVISORS	67.5 PW	370,900	523,000
SUB-TOTAL		1,411,100	1,411,100
=====			
PUCMM			
PHASES II AND III			
SHORT TERM CONSULTANTS	215 PD	50,000	50,000
SUB-TOTAL		1,461,100	1,461,100
TOTAL			
=====			

TABLE2JCE

TABLE 3. PROJECT CASH FLOW

SOURCE	FY 93	FY 94	FY 95	TOTAL
USAID	462,900	548,670	685,430	1,697,000
GODR	16,000,000			16,000,000
	16,462,900	548,670	685,430	17,697,000

TABLE3JCE

VI. ANALYSES

A. Institutional Analysis

Central Electoral Board (JCE)

1. Date of Establishment: March 8, 1923
2. Legal Foundation:

- a. Constitution of the Republic:

The Constitution of the Dominican Republic, by virtue of Article 92, establishes that "elections shall be administered by both a Central Electoral Board and by branch Boards which have the authority to judge and regulate pursuant to the law". By virtue of Article 23, the Senate is empowered to appoint the President and all other members of the JCE, as well as its alternate members. By virtue of Article 38 the JCE is empowered to take legislative initiatives on electoral matters. By virtue of Article 67 the members of the Central Electoral Board are granted an exclusive and privileged jurisdiction to be judged on criminal matters by the Supreme Court.

- b. Laws:

Electoral Law No. 5884, dated May 5, 1962 and its amendments; the most recent and important amendments are Law 8-92, promulgated on April 13, 1992, and Law No. 12-92, promulgated on May 18, 1992.

Law No. 659, dated July 17, 1944, which establishes the Registrar of Vital Statistics, complemented by Decree No. 1275 of July 16, 1971.

Law No. 55 dated November 17, 1970 which prescribes the Electoral Identification Document.

3. Composition:

The Central Electoral Board is composed by five regular members and their respective alternate members, who are appointed by the Senate every four years at the beginning of each constitutional period. The JCE is chaired by a President, who has his corresponding alternate and acts as the head of the professional body and as the administrative chief of the institution. The Municipal Electoral Boards as well as the National District Electoral Board depend on the Central Electoral Board, which also appoints their members. Likewise, the Central Office and the Registrar of Vital Statistics, the Office of the Personal Identification Card and the Office of the Electoral Identification Document depend on the Central Electoral Board.

4. Functions:

Pursuant to Law 12-92, the functions of the JCE have been determined as follows:

a. Regulatory functions: these provisions empower the JCE to establish its own internal organization and that of its branches, and to regulate its own operations and personnel system. In like manner, as provided by the Constitution and the Electoral Law, it has regulatory authority on electoral matters to adopt rules concerning the organization of the electoral process, including: the formation and screening of the census of voters; fixing of terms; application procedures for political parties recognition, registration of candidates, formation of alliances and party mergers, and regulation of the electoral campaign. Likewise, the JCE can take any action it deems necessary to assure the proper functioning of democracy within the parties.

b. Jurisdictional functions, such as: to take cognizance of the objections and challenges of the JCE's members and the members of the other Boards; to take cognizance of nullification of voting in one or more polling places; to take cognizance of any claim of irregularity in the electoral process; to settle internal conflicts within or among political parties concerning electoral matters and the interpretation of electoral rules.

c. Administrative functions: to appoint all officers and employees of the JCE and of its branch boards; to create polling places; to procure equipment and supplies; to establish its staff system; to decide on all matters related to the preparation and organization of elections, campaign and balloting, as well as computation and proclamation of results. In accordance with the innovations introduced by Law 12-92, two new positions aimed at strengthening these administrative functions of the JCE have been created: a Director General for Administration and a Director General for Elections.

4. Financial Resources:

Annual appropriations are contained in the Central Government Expenditure Law (Budget). The new Electoral Reform Law provides an annual budget of up to 1.5 percent of the national budget. For the present at least, there exists broad support for electoral reform by the largest Dominican political parties as well as the general population. Annual cost to maintain the new electoral registration system, after initial start-up, is well within the financial capabilities of the GODR.

B. Technical Analysis

The proposed project consists principally of institutional and functional strengthening of the JCE, with technical assistance provided by international experts, and the establishment of a new unified personal identification/electoral registration system, with equipment to be purchased by the GODR.

The aspects of such reform that require technical assistance are set forth in the "Technical Assistance Program" document known as the "PAT" (Spanish acronym for "Programa de Asistencia Tecnica"). That program document represents the work of the JCE staff and directorate, particularly the Director of Elections, Dr. Julio Brea Franco, with the assistance of a Dominican consultant team made available by PUCMM under an agreement financed by A.I.D. under the Democratic Initiatives Project. A summary of the elements of that Program is set forth above at Section III.E. The Program has been reviewed in detail by electoral system experts from IFES who have endorsed its relevancy and feasibility. A copy of the more detailed "PAT" program document is in the USAID/DR project file.

Of the proposed reforms, the most important in cost and function is the establishment of the unified personal identification/electoral registration system with new machinery and technology. The system was selected through in depth examination of four different alternatives by a Dominican consultant team, again provided by PUCMM with A.I.D. financing. This technical analysis, the executive summary of which is attached hereto at Annex C, recommended the so-called "Option B" offering adequate performance of function at least cost. Following adoption of that recommendation by the JCE the same Dominican consultant team prepared a detailed implementation plan therefor, a copy of which 14 page document is in the USAID/DR project file.

On the basis of these technical analyses, the Project Committee is satisfied of the technical feasibility of the project as proposed.

C. Economic Analysis

The project seeks to help bring about an orderly, fair, and tranquil electoral process leading to a new government or a renewed government with a high degree of legitimacy. This in turn promotes social stability, which is key to attracting foreign investment and mobilizing domestic savings for productive investments. Thus this project, at modest cost, has the potential to make a substantial contribution to the investment climate, and the prosperity and development of the Dominican Republic.

VII. CONDITIONS AND/OR COVENANTS

As noted among the assumptions of the Logical Framework at Annex I, success of electoral reform depends on numerous factors beyond the control of the parties to this grant.

It is significant, however, that the GODR has already satisfied several substantial requirements precedent to A.I.D. consideration of this grant, namely:

5. Enactment of necessary electoral reform legislation, based on broad political consensus, Laws 8-92 and 12-92 in April and May of 1992 respectively.
6. Establishment and appointment in June 1992 of a new five member JCE acceptable to all major political parties.
7. Selection by the JCE of a method for implementing the new electoral registration system as mandated by Law 8-92, and setting implementation procedures and schedule toward issuance of a unified personal identification/electoral registration document to all eligible voters by January 16, 1994.
8. GODR approval of a global operations budget for the JCE including adequate funds for its regular expenses, implementation of the new registration system and preparations for the 1994 election.
9. JCE appointment of staff necessary to carry out the electoral reform activities including a Director General for Administration, a Director General for Elections, a Director of the Computer Center, and support staff essential for execution of the program.

Further, coincident with execution of this grant agreement, the GODR will furnish in form and substance satisfactory to A.I.D., the following:

- (1) The JCE will provide adequate working space for technical advisers from IFES.
- (2) The JCE will assign a technical staff team of appropriate rank with adequate time to serve as counterparts for the IFES technical assistance team.
- (3) The GODR will provide adequate funds for operations of the JCE, to include adequate financing for staff, equipment, and materials required by the electoral reform process.

ANNEX A

ELECTORAL REFORM PROJECT -- LOGICAL FRAMEWORK

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS														
<p>GOAL: To achieve a more effective, representative and participatory democratic system of government.</p>	<ul style="list-style-type: none"> - Increased public confidence in system of government. - Enhanced understanding of and participation in the democratic system by the citizenry. - Open and fair elections. 	<ul style="list-style-type: none"> - Public opinion surveys. - Focus groups research. - Interviews of knowledgeable sources. 	<ul style="list-style-type: none"> - Political stability. - No major economic crises or decline. - Steady general improvement in social and economic welfare. - Well informed public opinion. 														
<p>PURPOSE: To increase the effectiveness and integrity of the Dominican electoral process.</p>	<ul style="list-style-type: none"> - Number of allegations against the electoral process. - Public opinion of electoral system. - Percentage of eligible citizens who are registered . - Percentage of registered voters who vote. 	<ul style="list-style-type: none"> - Electoral court records. - Media reporting. - Public opinion surveys. - JCE electoral reports. 	<ul style="list-style-type: none"> - Support for improved electoral process by general population and largest Dominican political parties. - GODR commitment to electoral reform in actions, including adequate financing therefore, as well as words. 														
<p>OUTPUTS:</p> <ul style="list-style-type: none"> - Accurate, efficient, identification/electoral registration system. - Stronger JCE institutional structure and management. - Improved training program for polling site personnel. - Modernized electoral logistics and supplies system. - Established system for prompt computation of election results. - Established plan and system for coordination of election monitoring by Dominican and foreign observers. - Public more confident in electoral results. - More efficient and effective civil registry. 	<ul style="list-style-type: none"> - Issuance of new identification/election documents to all eligible voters. - Core staff from each polling site attend training program. - Adequate supply of ballots and equipment at polling sites. - Preliminary election results announced within 3 days following election day. - Effective presence of monitors established. - Public knowledge of electoral process enhanced. - Timeliness and accuracy of electoral Registry entries improved. 	<ul style="list-style-type: none"> - Questionnaires and interviews of representative samples. - JCE electoral reports. - Comparison of organization rosters with training attendance records. - Media monitoring and polling site observation. - Media monitoring. - Questionnaires and interviews of monitors. - Questionnaires and interviews of representative samples. - Comparison of sample church and hospital records with public registry. 	<ul style="list-style-type: none"> - Motivation of JCE to improve electoral system. - Receptivity of JCE to change. - Receptivity of JCE to technical advisors. - Competence and sensitivity of technical advisors. - Interest of international community in monitoring Dominican elections. - Interest and capacity of Dominican PVOs in electoral education. 														
<p>INPUTS:</p> <ul style="list-style-type: none"> - Technical assistance - Commodities - Evaluation - Audit - Contingency 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: right;">AID</td> <td></td> </tr> <tr> <td style="text-align: right;">1,440,700</td> <td></td> </tr> <tr> <td style="text-align: right;">20,400</td> <td></td> </tr> <tr> <td style="text-align: right;">75,000</td> <td></td> </tr> <tr> <td style="text-align: right;">8,000</td> <td></td> </tr> <tr> <td style="text-align: right;"><u>152,900</u></td> <td></td> </tr> <tr> <td style="text-align: right;"><u>1,697,000</u></td> <td></td> </tr> </table>	AID		1,440,700		20,400		75,000		8,000		<u>152,900</u>		<u>1,697,000</u>		<ul style="list-style-type: none"> Contractor billings. Controller reports. Audit reports. Evaluation reports. 	<ul style="list-style-type: none"> AID fund availability. GODR fund availability.
AID																	
1,440,700																	
20,400																	
75,000																	
8,000																	
<u>152,900</u>																	
<u>1,697,000</u>																	

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ANNEX B

DETAILED BUDGET AND COST ESTIMATES

DESCRIPTION	FY 93				FY94				F95				TOTAL
	UNIT COST	UNIT	NUMBER	COST	UNIT COST	UNIT	NUMBER	COST	UNIT COST	UNIT	NUMBER	COST	COST
ITEMS													
Chief of Party	23,000	pm	3	69,000	24,150	pm	12	289,800	25,350	pm	6	152,100	510,900
Short term advisors	5,000	pw	62	310,310 *	5,250	pw	36	189,000	5,500	pw	67.5	371,200	870,510
Observation Visits	1,858	pw	5	9,290									9,290
Computers	3,400	set	6	20,400									20,400
PUCMM													
Short Term Consultants	220	pd	60	13,200	231	pd	70	16,170	243	pd	84.9	20,630	50,000
AUDIT													
Audit team								3,800			1	4,200	8,000
EVALUATION													
Evaluation Team									75,000	team	1	75,000	75,000
CONTINGENCY				40,700				49,900				62,300	152,900
TOTALS				462,900				548,670				685,430	1,697,000

*Numbers do not add exactly because of rounding.

ANNEXB.WK1

(5)

ANNEX C: EXECUTIVE SUMMARY OF OPTIONS MENU

Menú de Opciones para la Renovación del Registro Electoral y la Cedulación Ciudadana

Resumen Ejecutivo

Informe preparado por un equipo de consultores a solicitud de la Pontificia Universidad Católica Madre y Maestra (PUCMM), dirigido por José del Castillo y Adriano Miguel Tejada. Julio de 1992.

El informe tiene como propósito identificar y evaluar en forma preliminar un conjunto de alternativas posibles para la ejecución, por parte de la Junta Central Electoral, del mandado de la Ley 8-92, que ordena dotar a la ciudadanía de una nueva "Cédula de Identidad Personal y Electoral", para el 16 de enero de 1994, con vistas a su utilización en los comicios del 16 de mayo de ese año.

De acuerdo a la ley, todos los ciudadanos dominicanos deben estar inscritos en el Registro Electoral, creado por la Ley 55 de 1970, y completado en 1973. A partir de las elecciones de 1974, un total de 5 elecciones han sido celebradas con este empadronamiento. Sin embargo, el Registro ha sido objeto de todo tipo de cuestionamientos, desde irregularidades en los documentos base del mismo, hasta su abultamiento por la falta de procesamiento de los electores fallecidos, y su expedición a extranjeros. Estas deficiencias, sin duda, han contribuido a lo que se ha llamado el "síndrome del fraude" en las elecciones dominicanas.

No obstante, se considera que el Registro, que es el único padrón sometido a depuración, supervisión, debate público y el único cuyo archivo ha sido plenamente computarizado, es válido o validable en un 60 a 75 por ciento, por lo que esa base de datos debe ser aprovechada para los fines de dotar a los dominicanos del nuevo documento.

Partiendo de esa base, se establecieron como premisas específicas para la realización del proyecto las siguientes:

1. La alternativa a escoger debe apoyarse en una base de datos computarizada;
- 2.- El sistema debe ofrecer niveles de seguridad aceptables para los fines civiles y políticos;
- 3.- El proyecto debe tener un costo razonable; y
- 4.- Debe poder hacerse en el tiempo disponible, factor crítico en estos momentos.

En el documento se analizan tres modelos principales de solución a los problemas que plantea la expedición de la nueva cédula, con diferentes variantes.

La gran objeción a esta opción, aparte de las mencionadas en lo referente a las opciones tecnológicas, es el alto costo inicial de la misma, pues la compra de equipos sofisticados implica una erogación superior a las disponibilidades de la JCE durante los meses de la ejecución del proyecto, lo cual la hace inviable. El costo total de esta opción es de 228 millones de pesos.

Una conclusión general con relación a todas las alternativas tecnológicas es su elevado costo que desborda las capacidades económicas de la JCE. Algunas no resuelven, a pesar de la gran inversión, algunas de las tareas básicas que tiene ante sí la JCE y todas dejan, como secuela negativa, altos costos de mantenimiento y soporte de los equipos adquiridos.

ALTERNATIVA B: OPERATIVO NACIONAL DE INSCRIPCION CON CENTRO NACIONAL DE DIGITACION Y CEDULACION CON FOTOGRAFIA INSTANTANEA.

Esta alternativa plantea la celebración de un operativo nacional de inscripción, similar a unas elecciones, en el se inscribirían los electores potenciales del Registro, las informaciones así recogidas serían procesadas en el Centro Nacional de Digitación de la JCE y, posteriormente, se procedería a una jornada secuencial y sucesiva de cédulación en todo el país.

Este modelo, de baja inversión en tecnología, (costo total: 97 millones de pesos), que opera como se han realizado las elecciones en el país en toda su historia, ofrece altos niveles de seguridad y eficiencia y se caracteriza además, por una alta participación ciudadana.

ALTERNATIVA C: NUEVA CEDULA SIN RENOVAR EL REGISTRO ACTUAL

Se presenta como el peor escenario, una posibilidad remota aunque real dada la historia política del país.

En esta alternativa, la JCE, por una variedad de razones, incluyendo la presión del tiempo, se vería en la necesidad de expedir los nuevos carnets para cumplir con la ley manteniendo el actual Registro Electoral.

Esta opción tiene todas las desventajas del actual registro y sería inaceptable para la generalidad de las fuerzas políticas del país.

La Junta Central Electoral, con este menú de opciones está preparada para tomar las decisiones pertinentes con relación al sistema adecuado para dotar a la ciudadanía de la nueva Cédula de Identidad y Electoral.

Estos modelos tienen en común que:

- a) Parten de la idea de que una considerable proporción del actual Registro Electoral es válido y utilizable;
- b) Parten de la existencia de una base de datos computarizada y de su máximo aprovechamiento;
- c) Todos cumplen con el mandato de la ley;
- d) Buscan solucionar uno de los problemas más sensitivos de la actual situación de los electores, como es el de las elevadas tasas de migración interna (32% en 1991) e internacional (de 800 mil a 1 millón de dominicanos residiendo en el exterior);
- e) Otorgan un alto nivel de participación a los partidos políticos.

ALTERNATIVA A: PROYECTO DEL CENTRO DE COMPUTOS DE LA JCE

Esta propuesta plantea la creación de una red nacional computarizada de 220 centros, conectada al nuevo centro de cómputos de la JCE y la existencia de 400 centros semipermanentes para la inscripción de los votantes actuales.

A pesar de ser una alternativa altamente computarizada y futurista, con elementos interesantes desde el punto de vista de la seguridad del documento, la complejidad de su ejecución, su altísimo costo (más de 500 millones de pesos), y la rigidez de su esquema de ejecución, junto a la ausencia de condiciones ambientales y de "cultura tecnológica" en el país, la descartan para los fines de cumplir con el voto de la Ley 8-92.

ALTERNATIVA A1: CENTROS REGIONALES

Esta es una variante menos tecnologizada de la opción A y en resumen, busca crear una red de diez centros regionales conectados al Centro de Cómputos de la JCE, para facilitar el procesamiento de los datos electorales.

No obstante ser una opción menos compleja y de menor costo (unos 200 millones de pesos), su modo de operación plantea dificultades que afectan el procesamiento de los datos y de facilidad para los electores, así como aumenta los riesgos de seguridad al dispersar el procesamiento de los datos.

ALTERNATIVA A2: CENTROS TECNOLOGICOS

Esta alternativa es una variante reducida de la propuesta original del Centro de Cómputos de la JCE, en la que operarían unos 160 centros tecnológicos que irían alimentando al nuevo computador central de la JCE y expidiendo tarjetas, tipo tarjetas de crédito con la fotografía y las huellas del elector.

DIRECCION GENERAL DE ELECCIONES
PLAN GENERAL DE ORGANIZACION ELECTORAL 1994
Version preliminar y esquemática

1. Premisa

El diseño de la estructura básica del Plan General de Organización Electoral 1994 (PLAGOE) se inició con una tarea relativamente fácil. La legislación dominicana, como cualquier otra legislación electoral, tiende a reglamentar con bastante detalle todas y cada una de las etapas del proceso electoral. Ahora bien, este es tan solo el principio. El montaje del plan es un esfuerzo sumamente complejo.

2. Los pasos previos

Para el diseño del PLAGOE 94 se agotaron los siguientes pasos previos: recolección de información, sistematización de la información y, por último, definición de las actividades.

A. Recolección de información

En primer lugar, se procedió a analizar atentamente la legislación electoral vigente. Con ello se ha procurado extraer la secuencia del proceso electoral, es decir, sus fases, los procedimientos y los plazos en que deben de realizarse las actividades previstas en cada etapa del mismo.

En segundo lugar, como no todos los detalles se encuentran definidos en la ley electoral se recopiló información acerca de cómo se han llevado a cabo, en la práctica, esas actividades en anteriores elecciones. Lamentablemente, por la pobre experiencia disponible en la Junta Central Electoral (JCE), el único referente fueron los trabajos realizados en 1986 por la Oficina Técnica de Planeamiento y Organización Electoral (OTPOE). Esta información resultó de vital importancia para determinar cómo se desarrollaron en el pasado las distintas actividades organizativas, quiénes las realizaron, y cuáles dificultades se presentaron. Esta recolección de información permitió completar de manera más exhaustiva el inventario de actividades, tareas y acciones que han de incluirse en el planeamiento y que no están determinadas en la normativa electoral. Este esfuerzo, además permitió plantear ideas para operacionalizar en detalle disposiciones contenidas en la normativa electoral.

B. Sistematización de la información

Compilada la información se procedió luego a organizarla y sistematizarla. Esto se realizó en base a dos criterios: partiendo de lo general a lo particular, por una parte y, por la otra, de acuerdo a la secuencia cronológica en que deberán llevarse a cabo las actividades.

Ya se dijo que la legislación electoral determina las fases del proceso electoral. Estas fases constituyen lo general. A partir de ellas se procedió entonces a su desglose en conjuntos de actividades. Dado que la presente es una versión del PLAGOE global, preliminar y esquemática, sólo se indican los principales núcleos de actividades. En el desarrollo del proceso de planeamiento, para cada núcleo de actividades se determinarán las tareas y acciones específicas que conllevará su ejecución. Pero aún sin arribar a este nivel de detalle, se procedió a reagrupar las actividades en conjuntos. Si bien las etapas del proceso electoral tienen una lógica secuencial, desde el punto de vista administrativo algunas actividades del PLAGOE deberán realizarse de manera secuencial, otras de modo simultáneo o paralelo.

Del análisis de la legislación electoral dominicana se pueden identificar 7 fases en el proceso electoral. Ellas concuerdan con lo establecido en la teoría electoral y las legislaciones electorales analizadas en clave comparada; las fases son:

- Convocatoria de las elecciones
- Nominación de candidatos
- Campaña electoral
- Votación
- Escrutinio de los votos
- Resolución de las controversias
- Proclamación de los elegidos

El inventario de actividades que deben realizarse antes, durante y después de las elecciones se presenta estructurado en un conjunto de actividades, acciones y tareas específicas. El PLAGOE 94 se ha organizado en 6 partes:

- | | | |
|---------------|---|--|
| Primera parte | - | Planeamiento y Organización |
| Segunda parte | - | Preparación del proceso electoral |
| Tercera parte | - | Apertura del proceso electoral |
| Cuarta parte | - | Votación y escrutinio |
| Quinta parte | - | Conclusión del proceso electoral |
| Sexta parte | - | Actividades posteriores al proceso electoral |

El PLAGOE es un plan general. Es, en otras palabras, un plan de planes. Por ello, de primera intención se pueden identificar 10 planes específicos:

- Plan de Unificación del Documento Electoral (PUDE)
- Programa de Asistencia Técnica (PAT)
- Plan para el reconocimiento de organizaciones políticas
- Plan para la Apertura del Proceso Electoral
- Plan para la recepción y verificación de las propuestas de candidatos
- Plan de diseño e impresión de formularios y boletas electorales
- Plan de adquisición, empaquetamiento y distribución del material y útiles electorales
- Plan de selección y entrenamiento del personal de las mesas electorales
- Plan para el cómputo electoral preliminar, provisional y definitivo
- Plan de comunicación y relaciones públicas
- Plan para la proclamación de los candidatos elegidos

C. Definición de las actividades

Si bien la identificación de lo que tendrá que realizarse puede resultar una tarea relativamente fácil, el montaje del plan, su estructuración detallada, como ya se destacó, es bastante compleja. En efecto, para cada actividad, tarea y acción se deben formular una serie de preguntas que requieren de respuestas claras y precisas:

- por qué debe hacerse
- qué se persigue
- qué se necesita para llevarla a cabo
- donde tendrá lugar
- cuándo deberá realizarse
- quién lo hará

Lo que se pretende con esto es determinar los cinco aspectos cuya definición es necesaria para el ensamblaje del plan de organización, a saber: determinación de los objetivos, descripción de las tareas a realizar, estimación del tiempo de realización, asignación de la ejecución y supervisión de los trabajos, presupuestación de gastos. Para la definición de cada uno de estos elementos se ha diseñado un formulario contentivo de los siguientes items:

Items para formulario de planificación

1. Encabezado: Junta Central Electoral
Dirección General de Elecciones
Plan General de Organización Electoral (PLAGOE)
2. Código:
3. Título:
4. Objetivos:
5. Descripción de la tarea:
6. Tiempo de realización: Inicio Fin
7. Responsables de la ejecución
8. Participantes
9. Supervisión y coordinación
10. Presupuesto
11. Descripción del procedimiento

a. Determinación y definición de los objetivos

En primer lugar, está la determinación de los objetivos, es decir, definir el resultado que se persigue, las metas que se desean alcanzar. A simple vista esto podría parecer muy sencillo, sin embargo el esfuerzo puede resultar arduo y difícil. Los objetivos deben ser definidos a distintos niveles: general, intermedio y específico. Los objetivos principales son sustentados por lo regular por los objetivos institucionales. El conjunto de objetivos forma una jerarquía y también una red. Esta jerarquización e interrelación de los objetivos corresponde a la jerarquización en los niveles de dirección en la organización.

Los objetivos deben ser concebidos con un gran sentido práctico y de ser posible expresados en términos mensurables de manera de facilitar su verificabilidad. Definir y hacer conocer los objetivos es un verdadero desafío. En su formulación deben participar tanto los directivos de alto nivel como los de nivel medio. Todos deben conocer cuáles son las metas y debe motivarse y estimular al personal a trabajar unido para alcanzarlas. Los objetivos forman un tejido de resultados y acontecimientos

deseados. Si no están debidamente interconectados y no se sustentan entre sí, los miembros de la organización seguirán rutas que les parecerán buenas en lo personal o para su propio departamento pero que podrían resultar desastrosas para la institución como un todo. De ahí la enorme importancia de disponer de un equipo de trabajo acoplado y coordinado. En la actualidad se hacen esfuerzos para configurarlo.

b. Descripción de las actividades

En segundo lugar, se debe proceder a describir y detallar lo más posible cada una de las actividades, tareas y acciones. A mayor detalle y precisión, mayor seguridad y posibilidad de control podrá alcanzarse durante la ejecución y gerencia del PLAGOE. Aquí lo que importa es determinar qué se debe hacer y cómo. Resulta imprescindible para quienes tendrán la responsabilidad de llevar a cabo el trabajo saber esto con suficiente antelación. De esta manera el que asigna el trabajo podrá verificar su cumplimiento y evaluar el incumplimiento.

c. Estimación del tiempo de realización

En tercer lugar, está la necesidad de calcular el tiempo de realización que requerirán las distintas actividades, acciones y tareas. Con tal fin no sólo se deberá precisar la fecha de inicio y de culminación de cada una de ellas sino también un margen posible de rejuego, así como el límite crítico, es decir, la fecha en que tiene que ser concluida inevitablemente.

Estimar debidamente el factor tiempo, es vital en el planeamiento como en la fase de control en el proceso de administración electoral. La votación se lleva a cabo en la generalidad de los casos en un día determinado. Todo tiene que estar listo para esa fecha. La posibilidad de una postergación de las elecciones por dos o tres días es impensable y puede ocasionar graves dificultades políticas. Aunque los funcionarios electorales fallen, las elecciones se tienen que celebrar. Precisamente por eso las labores de administración electoral son de mucha responsabilidad y crean mucha tensión.

Calcular el tiempo implica también determinar el "tiempo optimista" (el estimado con un buen margen de holgura si todo sucediera como se ha previsto), el "tiempo probable" (aquel que se considera necesario para realizar el trabajo) y el "tiempo pesimista" (una estimación basada en el supuesto de que se enfrentarán condiciones adversas). Otro aspecto importante a determinar es la "ruta o camino crítico", esto es, la secuencia de tareas que requiere de mayor tiempo y que, por lo tanto, implica el menor tiempo de holgura.

La calendarización de las elecciones de 1994 debe partir del análisis de los plazos que establece la legislación electoral. A

continuación se indican los principales plazos:

Plazos principales para las elecciones de 1994

- 20 mayo 1993 - Decisión sobre la boleta electoral y el sistema de votación (un año antes de las próximas elecciones)
- 19 septiembre 1993 - Plazo para la solicitud de reconocimiento de partidos y autorización de agrupaciones (240 días)
- 16 enero 1994 - Declaratoria a la JCE de las agrupaciones que se proponen presentar candidaturas independientes (120 días)
- 21 enero 1994 - Entrega a los partidos de las bases de datos del registro electoral contentivas de las listas actualizadas de los inscritos en el registro electoral
- 16 febrero 1994 - Plazo final para la presentación de solicitud de fusión, alianza o coalición (90 días)
- 18 marzo 1994 - Presentación a la JCE de parte de los partidos de una relación de ingresos y gastos desde las últimas elecciones (60 días)
- 18 marzo 1994 - Presentación de propuestas de candidatos (60 días)
- 18 marzo 1994 - Proclama electoral (a más tardar dos meses)
- 16 abril 1994 - Fin de plazo para fusión, creación, traslados o supresión de mesas electorales
- 1 mayo 1994 - Plazo último para el nombramiento del personal que laborará en las Mesas (por lo menos 15 días)
- 1 mayo 1994 - Las Juntas Electorales deben escoger los locales donde funcionarán las Mesas Electorales
- 10 mayo 1994 - Publicación de la lista de todos

los candidatos con indicación de los cargos y partidos en un periódico de circulación nacional (5 días)

d. Asignación de la ejecución y supervisión de las labores

En cuarto lugar, se debe proceder a la asignación de los trabajos a realizar tanto al personal que será encargado de su ejecución directa como de la coordinación y supervisión de los mismos. De tal manera que se pueda en todo momento determinar quién deberá hacer qué y quién tendrá la responsabilidad de controlar o supervisar dichas labores.

e. Presupuestación de gastos

Un plan de organización electoral estaría incompleto si no incluye un presupuesto de gastos detallado. Por ello, para cada actividad, tarea o acción, se debe estimar el costo en que se incurrirá para llevarla a cabo. Aquí se parte de lo particular a lo general.

La Junta Central Electoral, dado que el proceso electoral de 1994 se singulariza por la realización de un reempadronamiento electoral, además de las actividades que deben llevarse a cabo para organizar las elecciones, cuenta con un presupuesto que incluye ambas situaciones. Este es el referente concreto para establecer el costo de cada conjunto de actividad del PLAGOE.

3. Ensamblaje final y manejo del plan

Con estos elementos determinados, definidos y desarrollados en la manera explicada se procede al ensamblaje final del plan. A estructurarlo y presentarlo de una manera sistemática, debidamente calendarizado en sus diferentes etapas y conjuntos de actividades, tareas y acciones.

Es importante advertir que ningún plan general de organización electoral logra preverlo todo; que no es ni puede ser perfecto. El intento de manejar racionalmente, en términos administrativos, un proceso electoral es un gran reto. Se requiere de mucho pensamiento, de un gran sentido práctico y de un conocimiento particular del medio en el que se opera. Una tarea de este género no debe ser obra de una sola persona sino más bien de un equipo de trabajo. Si administrar es coordinar eficazmente un esfuerzo colectivo, entonces la planificación debe ser el resultado de un trabajo en equipo.

En las primeras versiones de un plan de organización electoral siempre se olvidan detalles. Por eso debe procurarse que exista una retroalimentación continua durante su ejecución.

Por eso los planificadores y analistas deben asumir una actitud presta a aceptar la existencia de errores y de reajustar algunos de sus aspectos si se demuestra que es necesario y conveniente.

Como se aprecia en el diseño del PLAGOE 94, es mucho el esfuerzo que debe realizarse para pensar y escribir, para llevar a cabo los trabajos de organización. Pero toda esta labor previa de planificación produce incalculables beneficios. De los 10 planes arriba mencionados varios están ya en la fase de desglose y se encuentran bastante definidos. Tal es el caso del Plan de Unificación del Documento Electoral (PUDE).

Es de esperar que una vez ensamblado el PLAGOE 94, éste se convierta en una especie de manual de administración electoral, que evaluado y revisado periódicamente pueda servir para futuras elecciones. Su confección es, entonces, una inversión rentable y un medio de institucionalización electoral.

Se anexa la versión esquemática y preliminar del PLAGOE 94. Como se apreciará, no se incluye referencia al Programa de Asistencia Técnica (PAT). Precisamente este programa ha sido concebido como una asistencia a distintos troncales de actividad, en particular, el proceso de unificación del documento electoral, sobre el cual no existe experiencia nacional. El PAT suministrará asesoría en distintos aspectos del PLAGOE.

Cabe advertir finalmente que el presente documento debe ser considerado aún como un estudio de planeamiento. Se convertirá en planificación cuando la Junta Central Electoral lo asuma como tal. Es decir, que tome las decisiones pertinentes.

PLAN GENERAL DE ORGANIZACION ELECTORAL 1994 (PLAGOE)

Versión Esquemática y Preliminar

I. Estructura del Plan

PRIMERA PARTE - PLANEAMIENTO Y ORGANIZACION

[6 etapas - 21 fases]

Inicio: Diciembre 1992
Culminación: Julio 1993

- ETAPA I - Diseño preliminar y esquemático del PLAGOE 94**
- Fase 01 - Elaboración del estudio de planeamiento general
 - Fase 02 - Determinación de los plazos legales y operativos
 - Fase 03 - Estudio de calendarización operativa de actividades
- ETAPA II - Elaboración del presupuesto y administración financiera**
- Fase 01 - Elaboración del presupuesto de la organización de las elecciones
 - Fase 02 - Diseño y ejecución de un sistema de administración y control presupuestario
- ETAPA III - Restructuración institucional del organismo electoral**
- Fase 01 - Diagnóstico institucional
 - Fase 02 - Diseño de reorganización y elaboración de proyecto de reglamento interno
- ETAPA IV - Coordinación del equipo de dirección, ejecución y supervisión de la organización de las elecciones**
- Fase 01 - Estructuración y adiestramiento del equipo de dirección, ejecución y supervisión de la organización de las elecciones
 - Fase 02 - Programación de actividades por División, Secciones y Unidades

- ETAPA V - Entrenamiento en planificación y gerencia electoral**
- Fase 01 - Diseño de un programa de entrenamiento
 - Fase 02 - Seminario para el equipo directivo de la JCE
 - Fase 03 - Cursos para Secretarios de las Juntas Electorales
 - Fase 04 - Cursos para miembros de las Juntas Electorales
- ETAPA VI - Elaboración de anteproyectos de reglamentos**
- Fase 01 - Reglamento para los observadores técnicos en el Centro de Cómputos
 - Fase 02 - Resolución sobre boletas electorales y votación en urnas distintas para las candidaturas nacionales, provinciales y municipales
 - Fase 03 - Reglamento relativo a la campaña electoral
 - Fase 04 - Reglamento relativo al financiamiento público de los partidos
 - Fase 05 - Reglamento relativo a la propaganda pagada en los medios de comunicación
 - Fase 06 - Reglamento relativo a la publicación de los resultados sobre las encuestas políticas
 - Fase 07 - Reglamento relativo a la propaganda mural
 - Fase 08 - Reglamento para el uso de los medios de comunicación de masa electrónicos (radio y televisión) tanto oficiales como privados

SEGUNDA PARTE - PREPARACION DEL PROCESO ELECTORAL

[10 etapas - 4 subetapas - 21 fases]

Inicio: Diciembre 1992

Culminación: Abril 1994

- ETAPA I - Registro e identificación de electores**
- Sub-etapa 1 - Operativo de reinscripción e inscripción
 - Fase 01 - Preparativo del Operativo de Reinscripción e

bb

- Inscripción
- Fase 02 - Ejecución del Operativo de Reinscripción e Inscripción [18, 19, 20 y 21 febrero 1993]
 - Fase 03 - Inscripciones y cambios para los no asistentes al operativo nacional
 - Fase 04 - Operativos de inscripción especiales
 - Sub-etapa 2 - Operativo de procesamiento y validación
 - Fase 01 - Procesamiento
 - Fase 02 - Validación
 - Sub-etapa 3 - Operativo de cedulación
 - Fase 01 - Preparativos de los Operativos Provinciales de Cedulación
 - Fase 02 - Ejecución del Operativo Cedulación
 - Fase 03 - Operativos de Cedulación Especiales
 - Fase 04 - Organización del nuevo Archivo Nacional de Cedulados
 - Fase 05 - Finalización de la Unificación del documento electoral [16 enero 1994]
 - Sub-etapa 4 - Determinación del censo electoral
 - Fase 01 - Elaboración de estadísticas del registro electoral
 - Fase 02 - Impresión y entrega de inscritos en el registro electoral a los partidos políticos
 - ETAPA II - Reestructuración de las Juntas Municipales Electorales y de la Junta Electoral del Distrito Nacional
 - ETAPA III - Creación de Mesas electorales y delimitación de su jurisdicción
 - ETAPA IV - Reconocimiento de partidos políticos y agrupaciones políticos y agrupaciones políticas
 - Fase 01 - Revisión de procedimiento de verificación de las solicitudes de reconocimiento

- Fase 02 - Inscripción y registro de partidos y agrupaciones políticas

- ETAPA V - Recepción y verificación de las propuestas de candidatos**

 - Fase 01 - Revisión del procedimiento de recepción de propuestas de candidatos de partidos, alianzas electorales y de candidaturas independientes
 - Fase 02 - Recepción de propuestas
 - Fase 03 - Verificación de propuestas
 - Fase 04 - Conocimiento y decisión
 - Fase 05 - Registro de datos, divulgación y archivo

- ETAPA VI - Formularios y boletas electorales**

 - Fase 01 - Diseño, impresión y distribución de las boletas electorales
 - Fase 02 - Diseño, impresión y distribución de los formularios electorales oficiales para recoger los resultados electorales

- ETAPA VII - Equipo y materiales electorales**

 - Fase 01 - Determinación del equipo y material electoral
 - Fase 02 - Compra del material y equipo electoral
 - Fase 03 - Empaquetamiento y control
 - Fase 04 - Distribución

- ETAPA VIII- Selección y entrenamiento del personal de las Mesas Electorales**

 - Fase 01 - Diseño de programa de entrenamiento del personal de las Mesas Electorales
 - Fase 02 - Elaboración de instructivos para el entrenamiento piramidal
 - Fase 03 - Nombramiento del personal de las Mesas Electorales

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- Fase 04 - Entrenamiento del personal de las Mesas Electorales
- ETAPA IX - Cómputo electoral preliminar**
- Fase 01 - Diseño del procedimiento operativo para el conteo electoral preliminar
- Fase 02 - Diseño del procedimiento operativo para el cómputo provisional y el cómputo definitivo
- ETAPA X - Educación y comunicación pública**
- Fase 01 - Cursos para los representantes de los medios de comunicación
- Fase 02 - Diseño y ejecución de la campaña de educación y motivación cívica electoral
- Fase 03 - Diseño y ejecución de un Plan de Relaciones Públicas en general y con los medios de comunicación en especial
- Fase 04 - Diseño de un Programa de Informaciones Electorales

TERCERA PARTE - APERTURA DEL PROCESO ELECTORAL

[1 etapa - 2 fases]

Inicio: Enero 1994
 Culminación: Marzo 18, 1994

- ETAPA I - Apertura del proceso electoral y determinación de los cargos electivos**
- Fase 01 - Determinación de la población en base al último Censo Nacional por provincias y municipios certificada por la Oficina Nacional de Estadística
- Fase 02 - Determinación del número de cargos electivos en los niveles nacional, provincial y municipal

CUARTA PARTE - VOTACION Y ESCRUTINIO

[4 etapas - 10 fases - 2 subfases]

Inicio: Mayo 16, 1994
 Culminación: Mayo 20, 1994

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ETAPA I - Votación

- Fase 01 - Constitución de la mesa electoral
- Fase 02 - Inicio de la votación
- Fase 03 - Cierre de la votación

ETAPA II - Escrutinio

- Fase 01 - Escrutinio de los votos
 - Subfase 01 - Escrutinio en la Mesa Electoral
 - Subfase 02 - Escrutinio agregado en las Juntas Electorales u órganos electorales intermedios

ETAPA III - Cómputo electoral preliminar

- Fase 01 - Ejecución del conteo electoral preliminar
- Fase 02 - Comunicación pública de los resultados electorales
- Fase 03 - Diseño y ejecución de un plan de información y divulgación de los resultados electorales preliminares
- Fase 04 - Creación de un centro de prensa para periodistas nacionales y extranjeros
- Fase 05 - Programación de las transmisiones de radio y televisión oficiales bajo responsabilidad de la JCE

ETAPA IV - Observadores extranjeros

- Fase 01 - Diseño y ejecución del programa de actividades para los observadores extranjeros invitados a presenciar las elecciones

QUINTA PARTE - CONCLUSION DEL PROCESO ELECTORAL

[6 etapas - 10 fases]

Inicio: Mayo 17, 1994
Culminación: Agosto 15, 1994

- ETAPA I - Cómputo electoral provisional**
- Fase 01 - Ejecución del cómputo provisional en los órganos electorales locales
 - Fase 02 - Determinación preliminar de los candidatos elegidos
- ETAPA II - Reclamaciones e impugnaciones de los resultados electorales**
- Fase 01 - Conocimiento y decisión de los recursos de reclamación de los resultados electorales en los órganos electorales locales
 - Fase 02 - Conocimiento y decisión de los recursos de apelación en el organismo central electoral
- ETAPA III - Comunicación pública**
- Fase 01 - Relaciones con los medios de comunicación y flujo de informaciones sobre el conocimiento de las reclamaciones
- ETAPA IV - Publicación de los resultados electorales**
- ETAPA V - Proclamación de los elegidos**
- Fase 01 - Determinación de los candidatos elegidos mediante la aplicación de las fórmulas electorales
 - Fase 02 - Confección y entrega de los certificados y credenciales de elección
- ETAPA VI - Evaluación final**
- Fase 01 - Evaluación del Plan General de Organización Electoral 1994
 - Fase 02 - Aplicación de los reajustes del plan de organización
 - Fase 03 - Elaboración de la memoria general del proceso electoral

SEXTA PARTE - ACTIVIDADES POSTERIORES AL PROCESO ELECTORAL

[2 etapas]

Inicio: Diciembre 1992
Culminación: Julio 1993

- ETAPA I - Reestructuración institucional
- ETAPA II - Registro civil

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INITIAL ENVIRONMENTAL EXAMINATION

Project Location : Dominican Republic
Project Title : Electoral Reform Project
Project Number : 517-0269
Funding : \$1,547,000

Project Description: The Electoral Reform Project (517-0269) is fully consonant with the objectives of the Bureau for Latin America and the Caribbean (LAC) to strengthen democracy and with the Mission Strategic Objective of Participatory Democratic Reform. The goal of this Project is to achieve a more effective, representative and participatory democratic system of government in the Dominican Republic. The purpose of the Project is to strengthen the Central Electoral Board's institutional structure and management and establish a fraud-resistant identification/ electoral registration system.

The Electoral Reform Project is a \$1.547 million, two-year grant to the Central Electoral Board (JCE) as an agency of the Government of the Dominican Republic. Under the Grant, the JCE will receive technical assistance from the International Foundation for Electoral Systems (IFES) and the Catholic University (PUCMM). Total counterpart contributions are estimated at \$18.7 million, bringing the total Project amount to \$20.247 million.

To accomplish the purpose of strengthening the JCE's institutional structure and management, the Project will establish a training program for polling site personnel, modernize the electoral logistics system, establish a system for prompt computation of election results, establish a plan and system for coordination of election monitoring by Dominican and foreign observers, modernize the civil registry toward more efficient and effective service, and establish a system for coordination of private voluntary organizations whose activities include informing the general public concerning the electoral system.

Environmental Impact: The Project will not involve activities that have a harmful effect on the natural or physical environment. The Project will not include assistance for the procurement or use of pesticides. The activities which will be carried out under the Project qualify for Categorical Exclusion according to Section 216.2(c)-(2)(i and xiv) of 22 CFR as (1) "Education, technical assistance or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.)," and (2) "Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)"

Recommendation: Based on the above discussion, the Mission recommends that the Electoral Reform Project No. 517-0269 be given a Categorical Exclusion determination requiring no further environmental review

IEE Prepared by: Larry R. Laird
Larry R. Laird, TIO
Mission Environmental Officer

Concurrence: Francis J. Conway
Francis J. Conway
Acting Mission Director
USAID/Dominican Republic

Date: 4/30/93

Cleared by:
PDO: ASchoepfer AS Date: 4/28/93
A/DD: PStruharik ps Date: 4/28/93
Drafted:
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AIDAC SANTO DOMINGO FOR L.LAIRD, BRIDGETOWN FOR G.WILKEN
E.O. 12356: N/A

TAGS:
SUBJECT: ENVIRONMENTAL THRESHOLD DECISION FOR ELECTORAL
REFORM PROJECT (517-0269)

REF: FAX, LAIRD TO MENCZER, APRIL 30, 1993
1. LAC CHIEF ENVIRONMENTAL OFFICER, JAMES HESTER, HAS
REVIEWED AND HEREBY APPROVES MISSION REQUEST FOR A
CATEGORICAL EXCLUSION FOR SUBJECT PROJECT.
2. IEE NUMBER IS LAC-IEE-93-23. COPY OF ENVIRONMENTAL
THRESHOLD DECISION IS BEING SENT TO MISSION FOR INCLUSION
IN PROJECT FILES.

CHRISTOPHER
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U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

LAC-IEE-93-23

REQUEST FOR A CATEGORICAL EXCLUSION

Project Location : Dominican Republic
Project Title : Electoral Reform Project
Project Number : 517-0269
Funding : \$1,547,000
Life of Project : 2 years
Recommended Threshold Decision: Categorical Exclusion
Bureau Threshold Decision : Concur with Recommendation
Comments : None

James S. Hester Date 5/5/93
James S. Hester
Chief Environmental Officer
Bureau for Latin America
and the Caribbean

Copy to : Francis Conway, USAID/DR
Acting Mission Director
Copy to : Larry Laird, USAID/DR
Copy to : Gene Wilken, REA, RDO/C
Copy to : Joan Johnson, LAC/CAR
Copy to : James Hradsky, LAC/DR/CAR
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AID/LAC/DR/E:JHESTER

ROUTINE SANTO DOMINGO

ROUTINE BRIDGETOWN

AIDAC SANTO DOMINGO FOR L.LAIRD, BRIDGETOWN FOR G.WILKEN

E.O. 12356: N/A

TAGS:

SUBJECT: ENVIRONMENTAL THRESHOLD DECISION FOR ELECTORAL
REFORM PROJECT (517-0269)

REF: FAX, LAIRD TO MENCZER, APRIL 30, 1993

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2. IEE NUMBER IS LAC-IEE-93-23. COPY OF ENVIRONMENTAL THRESHOLD DECISION IS BEING SENT TO MISSION FOR INCLUSION IN PROJECT FILES. YY

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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 1993 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 1993 Foreign Assistance Appropriations Act ("FY 1993 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.

5C(1) - COUNTRY CHECKLIST

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

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

1. Narcotics Certification

(FAA Sec. 490): (This provision applies to assistance provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance relating to international narcotics control, disaster and refugee relief assistance, narcotics related assistance, or the provision of food (including the monetization of food) or medicine, and the provision of non-agricultural commodities under P.L. 430. This provision also does not apply to assistance for child survival and AIDS programs which can, under section 542 of the FY 1993 Appropriations Act, be made available notwithstanding any provision of law that restricts assistance to

foreign countries.) If the recipient is a "major illicit drug producing country" (defined as a country producing during a fiscal year at least five metric tons of opium or 500 metric tons of coca or marijuana) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly 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) has the President in the April 1 International Narcotics Control Strategy Report (INSCR) determined and certified to the Congress (without Congressional enactment, within 45 calendar days, of a resolution disapproving such a 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 and objectives established by the U.N. Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, or that (b) the vital national interests of the United States require the provision of such assistance?

Yes

(2) with regard to a major illicit drug producing or drug-transit country for which the President has not certified on April 1, has the President determined and certified to Congress on any other date (with enactment by Congress of a resolution approving such certification) that the vital national interests of the United States require the provision of assistance, and has also certified that (a) the country has undergone a fundamental change in government, or (b) there has been a fundamental change in the conditions that were the reason why the President had not made a "fully cooperating" certification.

N/A

2. **Indebtedness to U.S. citizens** No
(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?

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 1993 Appropriations Act Secs. 512, 543): Is recipient country a Communist country? If so, has the President: No

(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 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)): No
Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property?

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

7. **Seizure of U.S. Fishing Vessels** (FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5): No
(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?

8. **Loan Default** (FAA Sec. 620(q); FY 1993 Appropriations Act Sec. 518 (Brooke Amendment)): No
(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?

9. **Military Equipment** (FAA Sec. 620(s)): N/A
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.)

10. **Diplomatic Relations with U.S.** No
(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?

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.)

a. The Dominican Republic is in arrears in its U.N. obligations by \$857,780.

b. Yes

12. **International Terrorism**

a. **Sanctuary and support** (FY 1993 Appropriations Act Sec. 554; FAA Sec. 620A): Has the country been determined by the President to: (a) grant sanctuary from prosecution to any individual or group which has committed an act of international terrorism, or (b) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons?

No

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

No

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.)

No

16. **Military Coup** (FY 1993 Appropriations Act Sec. 513): Has the duly elected Head of Government of the country been deposed by military coup or decree? If assistance has been terminated, has the President notified Congress that a democratically elected government has taken office prior to the resumption of assistance?

No

17. **Refugee Cooperation** (FY 1993 Appropriations Act Sec. 538): Does the recipient country fully cooperate with the international refugee assistance organizations, the United States, and other governments in facilitating lasting solutions to refugee situations,

Yes

including resettlement without respect to race, sex, religion, or national origin?

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

No

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

N/A

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

2. **Abortions** (FY 1993 Appropriations Act Sec. 534): Has the President certified that use of DA funds by this country would violate any of the prohibitions against use of funds to pay for the performance of abortions as a method of family planning, to motivate or coerce any person to practice abortions, to pay for the performance of involuntary sterilization as a method of family planning, to coerce or provide any financial incentive to any person to undergo sterilizations, to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning?

No

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

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

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,

By promoting electoral reform and improving the electoral system, the project will enhance greater public confidence with the government, and thereby improve the political climate, thus encouraging an increased flow of international trade as well as fostering private initiative and competition.

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agriculture, and commerce; and (f) strengthen free labor unions.

2. U.S. Private Trade and Investment (FAA Sec. 601(b)): Information and conclusions on how assistance will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

The International Foundation for Electoral Systems a U.S. organization, will be the principal supplier of technical assistance under this project.

3. Congressional Notification

a. General requirement (FY 1993 Appropriations Act Sec. 522; 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 Appropriations Act notification requirement has been waived because of substantial risk to human health or welfare)?

Yes, CN expired April 15, 1993.

b. Notice of new account obligation (FY 1993 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 1993 Appropriations Act Sec. 571(b)(3)): If funds are to be made available in the form of cash transfer or nonproject sector assistance, has the Congressional notice included a detailed description of how the funds will be used, with a discussion of U.S. interests to be served and a description of any economic policy reforms to be promoted?

N/A

4. **Engineering and Financial Plans** (FAA Sec. 611(a)): Prior to an obligation in excess of \$500,000, will there be: (a) engineering, financial or other plans necessary to carry out the assistance; and (b) a reasonably firm estimate of the cost to the U.S. of the assistance? 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 will be completed in time to permit orderly accomplishment of the purpose of the assistance? N/A

6. **Water Resources** (FAA Sec. 611(b); FY 1993 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 1993 Appropriations Act Sec. 571(b)): Will cash transfer or nonproject sector assistance be maintained in a separate account and not commingled with other funds (unless such requirements are waived by Congressional notice for nonproject sector assistance)? N/A

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

9. Multiple Country Objectives
(FAA Sec. 601(a)): Information and conclusions on whether projects will encourage efforts of the country to:
(a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

See Section Sc(2) A.1

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).

See Section 5c(2) A.2

11. Local Currencies

a. Recipient Contributions
(FAA Secs. 612(b), 636(h)): Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars.

The Host Country contributes 90.4% of the total costs of this project.

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 1993 Appropriations Act Sec. 571). 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,

N/A

(b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of A.I.D. and that government to monitor and account for deposits into and disbursements from the separate account?

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

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

a. **Surplus Commodities** (FY 1993 Appropriations Act Sec. 520(a)): If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity?

N/A

b. **Textiles (Lautenberg Amendment)** (FY 1993 Appropriations Act Sec. 520(c)): Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff

No

Schedule "Section 807," which allows reduced tariffs on articles assembled abroad from U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel?

13. **Tropical Forests** (FY 1991 Appropriations Act Sec. 533(c)(3) (as referenced in section 532(d) of the FY 1993 Appropriations Act): Will funds be used for any program, project or activity which would (a) result in any significant loss of tropical forests, or (b) involve industrial timber extraction in primary tropical forest areas? No

14. **PVO Assistance**

a. **Auditing and registration** (FY 1993 Appropriations Act Sec. 536): If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of A.I.D., and is the PVO registered with A.I.D.? N/A

b. **Funding sources** (FY 1993 Appropriations Act, Title II, under heading "Private and Voluntary Organizations"): If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government? 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, N/A

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).

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 1993 Appropriations Act, Title II, under heading "Women in Development"): Will assistance be designed so that the percentage of women participants will be demonstrably increased?

The project will establish a fraud resistant personal identification/electoral registration system guaranteeing women equal rights and access to the electoral process.

18. **Regional and Multilateral Assistance** (FAA Sec. 209): Is assistance more efficiently and effectively provided through regional or multilateral organizations? If so, why

No

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is assistance not so provided?
Information and conclusions on whether
assistance will encourage developing
countries to cooperate in regional
development programs.

19. **Abortions** (FY 1993
Appropriations Act, Title II, under
heading "Population, DA," and Sec. 524):

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?

N/A

21. **U.S.-Owned Foreign Currencies**

a. **Use of currencies** (FAA
Secs. 612(b), 636(h); FY 1993
Appropriations Act Secs. 507, 509): Are
steps being 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.

N/A

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) as amended by section 597 of the FY 1993 Appropriations Act): Will all procurement be from the U.S., the recipient country, or developing countries except as otherwise determined in accordance with the criteria of this section?

Yes

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

N/A

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

N/A

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

No

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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?

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

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 1993 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 1993 Appropriations Act Sec. 523): If assistance is for consulting service through procurement contract pursuant to 5 U.S.C. 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)? Yes

k. Metric conversion (Omnibus Trade and Competitiveness Act of 1988, as interpreted by conference report, amending Metric Conversion Act of 1975) N/A

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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 - 11 - 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 N/A

the express approval of Congress?

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

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? Yes

forces, except for narcotics programs?

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

31. **Military Personnel** (FY 1993 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 1993 Appropriations Act Sec. 505): Will assistance preclude use of financing to pay U.N. assessments, arrearages or dues? Yes

33. **Multilateral Organization Lending** (FY 1993 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 1993 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 1993 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 Propaganda** (FY 1993 Appropriations Act Sec. 516): Will assistance be used for publicity or propaganda purposes designed to support or defeat legislation pending before No

Congress, to influence in any way the outcome of a political election in the United States, or for any publicity or propoganda purposes not authorized by Congress?

37. **Marine Insurance** (FY 1993 Appropriations Act Sec. 560): 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 1993 Appropriations Act Sec. 565): 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

39. **Commitment of Funds** (FAA Sec. 635(h)): Does a contract or agreement entail a commitment for the expenditure of funds during a period in excess of 5 years from the date of the contract or agreement? No

40. **Impact on U.S. Jobs** (FY 1993 Appropriations Act, Sec. 599):

(a) Will any financial incentive be provided to a business located in the U.S. for the purpose of inducing that business to relocate outside the U.S. in a manner that would likely reduce the number of U.S. employees of that business? No

(b) Will assistance be provided for the purpose of establishing or developing an export processing zone or designated area in which the country's tax, tariff, labor, environment, and safety laws do not apply? If so, has the President No

determined and certified that such assistance is not likely to cause a loss of jobs within the U.S.?

(c) Will assistance be provided for a project or activity that contributes to the violation of internationally recognized workers rights, as defined in section 502(a)(4) of the Trade Act of 1974, of workers in the recipient country? No

B. CRITERIA APPLICABLE TO DEVELOPMENT ASSISTANCE ONLY N/A

1. **Agricultural Exports (Bumpers Amendment)** (FY 1993 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?

2. **Tied Aid Credits** (FY 1993 Appropriations Act, Title II, under heading "Economic Support Fund"): Will DA funds be used for tied aid credits?

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)?

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.

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?

6. Special Development Emphases
(FAA Secs. 102(b), 113, 281(a)): Describe extent to which activity will:
(a) effectively involve the poor in development by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U.S. institutions; (b) encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries.

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)?

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?

9. **Abortions** (FAA Sec. 104(f); FY 1993 Appropriations Act, Title II, under heading "Population, DA," and Sec. 534):

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?

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?

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?

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?

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?

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?

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?

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?

11. **Disadvantaged Enterprises** (FY 1993 Appropriations Act Sec. 563): 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)?

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?

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13. **Tropical Forests** (FAA Sec. 118; FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act):

a. **A.I.D. Regulation 16:**

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

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

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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 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?

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?

14. **Energy** (FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act): 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?

15. **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.

16. **Deobligation/Reobligation** (FY 1993 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?

17. Loans

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

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?

18. 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?

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

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

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.

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.

20. 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.

21. 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.

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

- a. concerned with data

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

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.

23. **Capital Projects** (Jobs Through Export Act of 1992, Secs. 303 and 306(d)): If assistance is being provided for a capital project, is the project developmentally sound and will the project measurably alleviate the worst manifestations of poverty or directly promote environmental safety and sustainability at the community level?

C. CRITERIA APPLICABLE TO ECONOMIC SUPPORT FUNDS ONLY

1. **Economic and Political Stability** (FAA Sec. 531(a)): Will this assistance promote economic and political stability? Yes

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? No

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 1993, this provision is superseded by the separate account requirements of FY 1993 Appropriations Act Sec. 571(a), see Sec. 571(a)(5).) N/A

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 1993, this provision is superseded by the separate account requirements of FY 1993 Appropriations Act Sec. 571(a), see Sec. 571(a)(5).) No

5. **Cash Transfer Requirements** (FY 1993 Appropriations Act, Title II, under heading "Economic Support Fund," and Sec. 571(b)). If assistance is in the form of a cash transfer: N/A

a. **Separate account:** Are all such cash payments to be maintained by the country in a separate account and N/A

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?

N/A

c. **U.S. Government use of local currencies:** Will all such local currencies also be made available to the U.S. government as the U.S. determines necessary for the requirements of the U.S. Government, or to carry out development assistance (including DFA) or ESF purposes?

N/A

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?

N/A

6. **Capital Projects** (Jobs Through Exports Act of 1992, Sec. 306, FY 1993 Appropriations Act, Sec. 595): If assistance is being provided for a capital project, will the project be developmentally-sound and sustainable, i.e., one that is (a) environmentally sustainable, (b) within the financial capacity of the government or recipient to maintain from its own resources, and (c) responsive to a significant development priority initiated by the country to which assistance is being provided. (Please note the definition of "capital project" contained in section 595 of the FY 1993 Appropriations Act.)

N/A

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A.I.D. AUDIT REQUIREMENTS

EXTERNAL AUDIT REQUIREMENTS FOR ORGANIZATIONS RECEIVING FUNDS FROM A.I.D.

GRANTEES AND CONTRACTORS RECEIVING A.I.D. FUNDS	AUDIT REQUIREMENT BASIS	AUDITOR WHEN A.I.D. IS COGNIZANT	AUDIT MONITORING RESPONSIBILITIES
GRANTEES			
Foreign Governments	Agreement Provisions	Supreme Audit Institutions or both Agency and Recipient-Contracted Non-Federal Auditors	Mission or Bureau
International Organizations	Agreement Provisions <i>(when prescribed)</i>	Agency-Contracted Non-Federal Auditors or International Organization Auditors	Mission or Bureau <i>(when applicable)</i>
State and Local Governments - U.S.	A-128	Recipient-Contracted Non-Federal Auditors or State/Local Government Auditors	FA/OP
Foreign Companies	Agreement Provisions	Agency-Contracted Non-Federal Auditors	Mission
Foreign PVOs	Agreement Provisions; A-133	Both Agency and Recipient-Contracted Non-Federal Auditors	Mission or Bureau
U.S. Companies	Agreement Provisions	Agency-Contracted Non-Federal Auditors or DCAA	FA/OP
U.S. Institutions of Higher Education and other Nonprofit Organizations	A-110; A-133; Agreement Provisions	Recipient-Contracted Non-Federal Auditors	FA/OP
CONTRACTORS			
International Organizations	Agreement Provisions; FAR Title 48 <i>(when prescribed)</i>	Agency-Contracted Non-Federal Auditors or International Organization Auditors	Mission or Bureau <i>(when applicable)</i>
State and Local Governments - U.S.	A-128; FAR Title 48 and AIDAR; A-21	Recipient-Contracted Non-Federal Auditors or State/Local Government Auditors	FA/OP
Foreign PVOs	FAR Title 49 and AIDAR; A-122; Agreement Provisions	Both Agency and Recipient-Contracted Non-Federal Auditors	Mission, or Bureau
U.S. Institutions of Higher Education and other Nonprofit Organizations	A-133; FAR Title 48 and AIDAR; A-122; Agreement Provisions	Recipient-Contracted Non-Federal Auditors and/or DCAA	FA/OP
Foreign Companies	FAR Title 48 and AIDAR; A-122; Agreement Provisions	Agency-Contracted Non-Federal Auditors	Mission, Bureau or RHUDO
U.S. Companies	FAR Title 48 and AIDAR; A-122; Agreement Provisions	Agency-Contracted Non-Federal Auditors or DCAA	FA/OP



REPUBLICA DOMINICANA
JUNTA CENTRAL ELECTORAL

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RECEIVED
NUM. 1871

SANTO DOMINGO, D.N.-
16 de Febrero, 1993.-

Señor
RAYMOND RIFENBURG,
Director de la Agencia Internacional
para el Desarrollo (AID) en la
República Dominicana,
C I U D A D.-

Distinguido Señor RIFENBURG:

En nombre de la JUNTA CENTRAL ELECTORAL, la que me honra en presidir, tengo a bien remitirle anexo el documento "Proyecto de Programa de Asistencia Técnica (PAT), que identifica las áreas en que resultaría útil y valiosa para esta Institución la asistencia técnica de organismos internacionales, tanto para la organización del proceso electoral de 1994 como para el fortalecimiento institucional de este Organismo.

Este proyecto de programa fue conocido y aprobado por la JUNTA CENTRAL ELECTORAL en su Sesión de fecha de hoy.

Esperamos que esta solicitud formal de asistencia técnica sea atendida, dentro de las posibilidades de la Agencia - que Usted dirige.

Con sentimientos de consideración y estima, le saluda,

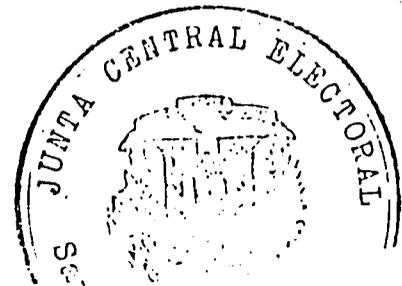
Atentamente,

DR. MANUEL R. GARCIA LIZARDO,
Presidente de la Junta Central Electoral.

MRGL
ADC/al.

Anexo : Citado.

ACTION	
PDI	
DATE DUE	
2-26-93	
DIR	_____
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REPÚBLICA DOMINICANA

JUNTA CENTRAL ELECTORAL

PROYECTO DE PROGRAMA DE ASISTENCIA TÉCNICA (PAT)

I. RECOMENDACIONES GENERALES

1. La asistencia técnica que requiere la Junta Central Electoral (JCE) debe ser concebida como un conjunto orgánico y coherente. Para ello es necesario diseñar un Programa de Asistencia Técnica (PAT) con el doble propósito de fortalecer la capacidad de la Junta Central Electoral (JCE) tanto para la organización del proceso electoral de 1994 así como desarrollar bases sólidas para un reforzamiento institucional del organismo electoral dominicano a mediano plazo.

El PAT se llevará a cabo en etapas. La primera se iniciará el 1ro de marzo de 1993 y culminará el 15 de enero de 1994.

2. Este programa se realizará mediante el establecimiento de un acuerdo de cooperación técnica entre la Junta Central Electoral (JCE) y la Agencia Internacional para el Desarrollo (AID) - International Foundation for Electoral Systems (IFES).
3. Los recursos necesarios para cubrir los costos de las actividades a que se refiere este programa serán sufragados por AID-IFES. A la Junta Central Electoral le corresponderá brindar las facilidades indispensables a fin de que dichas actividades se puedan realizar. Presentado teniendo el cuidado de que sus productos no deben ser presentados como algo que debe ser aprobado y adoptado por la JCE para evitar malas interpretaciones de que se quiere imponer decisiones.
4. Las áreas y las actividades de cooperación técnica a que se refiere este programa han sido determinadas por la Junta Central Electoral, a su entera discreción, conforme a las necesidades identificadas por la institución. AID-IFES, ofrecerá la asistencia requerida dentro de los términos de sus posibilidades.
5. El acuerdo de trabajo entre la JCE y AID-IFES debe ofrecer un marco general para cualesquiera otros convenios de asistencia técnica que la JCE desee establecer en el futuro con organismos internacionales y agencias especializadas en materia electoral. La JCE coordinará eficientemente dicha asistencia.

II. OBJETIVOS Y AREAS GENERALES DEL PAT

1. Reforzar y modernizar la estructura institucional de la JCE y sus organismos dependientes.
2. Mejorar las técnicas de gerencia electoral, en particular, la planificación electoral.
3. Ofrecer asistencia técnica en aspectos específicos del Plan General de Organización Electoral 1994 (PLAGOE).
 - Logística y envío de materiales
 - Informática electoral
 - Entrenamiento del personal de las Mesas Electorales
 - Observadores internacionales
 - Cómputo electoral preliminar
 - Educación de los electores
4. Modernización del Registro Civil
5. Asesoramiento en Derecho Electoral

III. MEDIOS OPERATIVOS

Para alcanzar los objetivos generales del PAT se requerirá de los siguientes medios:

1. Asistencia Técnica de expertos extranjeros a la JCE.
 - 1.1. Un experto residente del IFES, especialista en administración electoral, quien laborará en la JCE en conexión directa con el Director General de Elecciones.
 - 1.2. Expertos del IFES y de otros organismos internacionales, quienes realizarán asesorías de corto plazo a la JCE, en diferentes campos de su interés, mediante diagnósticos e informes técnicos, elaboración de propuestas de planes y reglamentos y la realización de seminarios y talleres.

Para facilitar la labor de los expertos extranjeros, la JCE habilitará un área de trabajo para los mismos. AID-IFES podrá contribuir en el equipamiento de lo requerido para el trabajo de los expertos extranjeros.
2. Visitas de observación para funcionarios dominicanos a países cuyo sistemas puedan ofrecer áreas de aprendizaje de interés para la JCE.
 - 2.1 Costa Rica (Logística electoral).
 - Tribunal Supremo Electoral
 - CAPEL

IV. ACTIVIDADES ESPECIFICAS

A continuación se enuncian las actividades específicas del PAT, con su correspondiente objetivo, el medio para lograrlo, y el producto esperado en cada área del programa.

1. Reestructuración institucional de la JCE

Objetivo: estudiar la estructura administrativa de la JCE y organismos dependientes con el propósito de elaborar un anteproyecto de organización interna, funciones y procedimientos para mejorar la administración electoral en la República Dominicana.

Medios: asesoría de expertos extranjeros en administración electoral (especializados en organización y método [O&M])

Producto: informe diagnóstico de la JCE.
Propuesta de reorganización y organigrama.
Ante-proyecto de reglamento interno.
Manual de funciones y procedimientos.

2. Calificación en Gerencia y Planificación Electoral

Objetivo: propiciar un proceso de aprendizaje de las técnicas modernas de gerencia y administración electoral para producir un efecto multiplicador en el funcionariado de la JCE mediante cursillos y adiestramientos especializados.

Medios: seminario de alto nivel sobre administración electoral ofrecido por el IFES.

Cursillos y talleres para mandos medios de la JCE y Secretarios de las Juntas Electorales del país.

Producto: mayor calificación y destreza del personal de la JCE.

3. Asistencia técnica en aspectos específicos del PLAGOE

Objetivo: enriquecer aspectos específicos del PLAGOE de 1994 en determinadas etapas y fases.

Medios: visitas expertos extranjeros a R. D.
visitas de técnicos dominicanos a otros países.

Producto: informes técnicos.
informe de viaje y retro-alimentación

3.1. Logística y envío de materiales

Objetivo: estudiar el sistema de logística electoral empleado en Costa Rica con la finalidad de adaptarlo a la R. D.. Estudiar la utilería electoral y tipos de boletas utilizada en ese país ante la modificación del sistema de boletas y de urnas en R. D.

Medios: visita de trabajo al Tribunal Supremo de Elecciones

Producto: informe de viaje y retro-alimentación.
Propuesta técnica para diseño de las boletas electorales.

Propuesta técnica para el empaquetamiento del material electoral.

3.2. Informática electoral

Objetivo: examinar la programación informática de la JCE para hacer recomendaciones para su mejoramiento en caso de ser necesario.

Medios: visita de expertos extranjeros a la JCE.

Productos: informes técnicos.

3.3. Entrenamiento del personal de las mesas

Objetivo: conocer las experiencias de adiestramiento masivo al personal de las mesas electorales en varios países latinoamericanos para el diseño y ejecución de un plan de entrenamiento para RD.

Medios: visita a CAPEL, Costa Rica.

Producto: informe de viaje y retro-alimentación.

Propuesta de plan de entrenamiento al personal de las mesas.

3.4. Observadores internacionales

Objetivo: organizar un Centro Coordinador de Observadores Extranjeros a fin de facilitar las funciones y tareas de estos en el proceso electoral.

Medios: asesoría del IFES y/o OEA, ONU, Centro Carter.

Producto: propuesta de Plan para la Observación de las Elecciones Dominicanas de 1994.

3.5. Cómputo Electoral Preliminar

Objetivo: diseñar un sistema rápido y eficiente para el cómputo preliminar electoral y la difusión de los resultados de las elecciones de 1994.

Medios: asistencia de expertos extranjeros a la JCE.

Producto: Informe diagnóstico.
Propuesta técnica.

4. Registro civil

Objetivo: obtener y analizar la documentación contentiva de las recomendaciones internacionales en materia de Registro Civil elaborada por la ONU. Elaborar un diagnóstico del Registro Civil Dominicano y proponer soluciones a sus deficiencias.

Medios: visita a la ONU y oficinas especializadas.
Visita de expertos extranjeros a RD.

Producto: Informe diagnóstico del Registro Civil de RD.
Propuesta de reestructuración del sistema.

5. Asesoramiento en Derecho Electoral

Objetivo: obtener sugerencias y recomendaciones de expertos en Derecho Electoral y de Partidos Políticos para la revisión y mejoramiento de los Reglamentos que elaborará la JCE de acuerdo a las modificaciones a la Ley Electoral.

Medios: asistencia de expertos extranjeros a la JCE.
Producto: informes de recomendación sobre Proyectos de Reglamentos.

6. Educación de los electores

Objetivo: orientar a los electores sobre los diferentes aspectos del proceso electoral a fin de promover una mayor y mas calificada participación ciudadana en el mismo.

Medios: asistencia de experto de IFES a la JCE.

Producto: Propuesta de Plan de Educación Ciudadana de caracter multimedia, que partiendo de la JCE, se auxilie en los partidos políticos y las organizaciones cívicas voluntarias.

V. ASISTENCIA TECNICA DEL IFES

Conforme a las conversaciones preliminares sostenidas con el IFES, las áreas específicas en que esa institución podría asistir a la JCE, serían las siguientes:

1. Asignación de un experto residente que asistiría a la JCE.

Este sería un experto en administración electoral. Trabajaría en la JCE. El mismo podría colaborar en las áreas de planificación y logística electoral, entrenamiento de personal, educación cívica, coordinación de los observadores internacionales, y diseño de un sistema de cómputo preliminar. Este experto realizaría sus labores en conexión directa con la Dirección General de Elecciones y en coordinación con los Asesores Técnicos de la Pontificia Universidad Católica Madre y Maestra (PUCMM). Sería bilingüe (español e inglés).

2. Envío de técnicos especializados para visita de corto plazo.

Estos técnicos incluirían especialistas en las áreas de informática electoral, sistemas de identidad y cedulação, cómputo de votos, registro civil, educación de votantes y logística.

3. Organización de seminarios y talleres sobre temas tales como el papel de la observación internacional, la administración electoral y el registro civil.
4. El IFES asistiría a la JCE en el desarrollo de la metodología y el diseño de un programa de entrenamiento para los funcionarios de las mesas electorales, así como de un programa de educación de votantes.
5. El IFES se ocuparía de proveer bibliografía (libros,

artículos, estudios) y documentación y cualquier otro material indispensable para la JCE. Esto incluiría información acerca de la organización y mantenimiento de sistema del registro civil elaborados por las Naciones Unidas, entre otros organismos internacionales. También se supliría información sobre diferentes aspectos del área de administración pública que estuviese disponible en el centro de documentación del IFES.

6. El IFES asistiría a la JCE para lograr la mas efectiva coordinación de la asistencia que podrían brindar otras agencias internacionales donantes interesadas en proveer asesoramiento técnico a la JCE. Por tanto, el IFES colaboraría con la JCE para identificar áreas y mecanismos para la producción de dicha cooperación.

VI. AREAS PRIORITARIAS

Teniendo en cuenta de que la instrumentación de un acuerdo de asistencia técnica entre la JCE y AID-IFES requiere cumplir con las normas y procedimientos de estas últimas instituciones, se señalan a continuación las áreas prioritarias que deberían ser atendidas a partir del 1 de marzo de 1993:

1. Asignación del experto residente con asiento en la JCE.
2. Envío de expertos en informática electoral durante la segunda parte del Plan de Unificación del Documento Electoral (PUDE): Operativo de Procesamiento y Validación.
3. Envío de un experto especializado en procesos de cedulación.
4. Viaje de trabajo de personal técnico de la JCE a Costa Rica.

AGENCY FOR INTERNATIONAL DEVELOPMENT
Santo Domingo, Dominican Republic

UNITED STATES GOVERNMENT
MEMORANDUM

ACTION MEMORANDUM

Date: June 17, 1993

From: Douglas Chiriboga, PDO 

To: Raymond F. Rifenburg, Director

Subject: Electoral Reform Project, including inter alia, a Cooperative Agreement with the International Foundation for Electoral Systems ("IFES")

ACTION:

You are requested to approve the Electoral Reform Project including total grant financing of US\$1.697 million, of which US\$1.411 million will be provided through IFES to cover costs of technical assistance to the Dominican Central Electoral Board or Junta Central Electoral (JCE), the balance of project funds are allocated for audit, evaluation, contingency and small contracts with the Pontificia Universidad Católica Madre y Maestra (PUCMM). Obligation of the total \$1.697 million is planned in FY 1993.

BACKGROUND/DISCUSSION:

Over the last year USAID/DR received frequent inquiries from GODR officials, the JCE, and representatives of the four largest political parties about the feasibility of obtaining USG financial assistance to support implementation of an electoral reform program. The Mission has received a formal request from the JCE for technical assistance.

Preconditions to Assistance

In consultations with Dominicans as well as donors, the Mission had set forth the following concerns to be addressed before assistance could be considered:

1. Need for electoral reform legislation based on broad political consensus. (This concern was addressed through enactment of Laws 8-92 and 12-92 in April and May 1992, respectively.)
2. Need to appoint a new five-member JCE acceptable to all major political parties. (This concern was addressed by such GODR appointments in late June 1992.)
3. Need for JCE decision on how to implement the new electoral registration system as mandated by Law 8-92, including the method by which the unified personal identification and electoral document will be issued to all eligible voters before the January 16, 1994, date after which electoral documentation may not be issued. (This concern was addressed by JCE selection of the method for providing the new personal identification and electoral document and initial action toward its issuance.)
4. Need for GODR approval of a global operations budget for the JCE, including expenses of its regular operations, as well as preparations for the 1994 election. (This concern was addressed by GODR approval of the JCE budget, including all above-mentioned expenses, on December 30, 1992. Also the JCE has provided USAID with its detailed 1993-1994 operational plan.)
5. Need for the JCE appointment of an Administrative Director, a Director of Elections, a Director of the Computer Center, as well as core staff to carry out program activities. (This concern was addressed by appointment of such staff).
6. Need for participation by other donors within multilateral rather than exclusively bilateral program. (The OAS has already made concrete plans for TA from July 1993 into 1994 and other donors, particularly Israel and European Community, are following up on expressions of interest).

Dominican and USG Priority

Although the JCE itself has suffered some loss of public confidence because of a controversial contract award for production of the new electoral/personal identification documents, there continues to exist broad support for electoral reform by the largest Dominican political parties as well as the general population. The new electoral reform law provides an annual budget of up to 1.5 percent of the national budget.

12/91

Annual costs to maintain the new electoral registration system, after initial start-up, is well within the financial capabilities of the GODR.

The Embassy and USAID/DR assign high priority to providing the JCE with technical assistance specifically aimed at facilitating timely implementation of the recently-initiated new electoral registration system as well as strengthening the institutional capability of the JCE to administer a non-controversial electoral process.

Project Purpose

The new electoral registration system requires the updating and verification of the electoral register as well as the issuance of a new unified personal identification and electoral document to about 3.5 million eligible voters. The JCE requires substantial technical assistance in order to successfully complete these tasks.

The purpose of this proposed project is to increase the effectiveness and integrity of the Dominican electoral process by strengthening the JCE's institutional structure and management and establishing an accurate and efficient fraud-resistant personal identification/electoral registration system. Technical assistance will be provided to: strengthen the institutional structure of the JCE, upgrade its managerial skills, modernize its electoral logistics and supplies systems as well as its electoral computer programming services, train the polling site personnel, design a plan for international observers, ensure timely computation of electoral results, design a voter education program, modernize the civil registry and provide advice on electoral law.

Phase I

Under a pre-existing AID/W-IFES Cooperative Agreement, four IFES experts have already initiated the most urgently needed technical assistance. That initial increment is included as "Phase I" of the project as described in the attached Project Paper, and, \$150,000 of project funds will be added to subject Cooperative Agreement grant to finance said services.

Phase III

The technical assistance requirements for Phases I and II are specified in detail in Section III.E of the attached project paper. At the conclusion of Phase II, IFES will conduct a detailed assessment of performance and capability of JCE and its

dependent agencies. The project financial plan includes \$0.523 million to finance such further technical assistance as may be required to implement recommendations of that IFES assessment.

Scope of A.I.D. Financing

A.I.D. financing would be limited exclusively to technical assistance (including \$20,400 for computers to be used by IFES technical assistance advisors during the course of their work). The technical assistance would be provided principally by IFES, but also includes Dominican consultant services (estimated at about \$50,000) to be furnished by PUCMM under contract with A.I.D. Apart from anticipated assistance from other donors, all other costs of electoral reform, including construction, commodities, contract services, and salaried personnel will be borne by the GODR.

GODR Counterpart Contribution

The project being electoral reform, the GODR contribution will be its investment in electoral process improvement, and not include the usual personnel and commodity costs of running elections and other JCE functions. Accordingly, the \$16 million figure for GODR counterpart contribution represents its investment in equipment, supplies and contract services to institute the new unified personal identification/electoral registration document.

Apart from reference to this investment, the project agreement will include the standard provisions concerning GODR agreement to provide all funds, counterpart staff, etc. necessary in addition to A.I.D.'s contribution, for implementation of the project.

Risk of Failure

Throughout the development of this project, the USAID and Embassy officers involved have recognized that the JCE is a weak institution with a demanding job to perform in a difficult Dominican political atmosphere. Therefore there is relatively high risk of project failure.

On the other hand, there appears to be strong public and private sector support for electoral reform, and the 1994 elections present the potential for particular significance during an important transition period in the short history of Dominican democracy. Thus there appear to be reasonably good prospects for major gains in Dominican political development to balance the recognized risk of project failure.

Source Competition Requirements

Cooperative Agreement - IFES

A Cooperative Agreement (administered by AID/W) is currently in effect with IFES, in which Missions may participate through the "add-on" procedures. IFES was established and developed with A.I.D. assistance for the specific purpose of establishing institutional capability for the provision of electoral technical services. Mission personnel explored a "add-on" arrangement but were advised that the ceiling level for the R&D Cooperative Agreement would not accommodate the amount proposed for IFES assistance under this project. A separate assistance award, on a non-competitive basis, is proposed for IFES under the authority contained in Handbook 13, Chapter 2. A Cooperative Agreement will be used. A separate justification for a non-competitive assistance award is set forth in an attachment to this Action Memorandum.

Contracts - PUCMM

Justifications for other than full and open competition may be required, for USAID/DR contracts with PUCMM without competition. Within the Dominican Republic, PUCMM has acquired unique capability, including relevant specialized experience, national stature and excellent working relationships with JCE. For these reasons contracts to PUCMM on a sole source basis are proposed.

Other Issues

Responding to other concerns expressed at the Mission review of the draft project documentation:

- Section III.F of the Project Paper has been updated to provide more detail on the current status of OAS technical assistance and the PUCMM coordinating role.
- The management training project component at III.E.2 has been expanded to provide specific flexibility for additional training in modern management technologies should it appear appropriate and necessary for the success of the electoral process.
- Similarly Section III.E.7 has been revised to provide for sharpened focus relative to the electoral process in any follow up technical assistance for the civil registry function.

- Section IV.B has been revised to emphasize the expanded roles of the Ambassador and the Mission Director in a project of special political significance and sensitivity.
- A nationality waiver for the services of various consultants who will serve under the IFES agreement is being proposed in an accompanying Action Memorandum to the Director.

Authority

The planned two-year life of project and total funding level of US\$1.697 million are within your authority under A.I.D. Delegation of Authority No.752, dated September 14, 1992. The Project does not contain any significant policy issues nor does it require the issuance of any waivers that may be signed only by the Administrator or an Assistant Administrator.

Per State 85820, dated March 23, 1993, AID/W reviewed the new project description and delegated to the Mission the authority to authorize the Project.

A Congressional Notification expired without objection on June 11, 1993.

RECOMMENDATION:

That you approve the Electoral Reform Project Paper and authorize the Project for \$1.697 million by signing the attached Project Data Sheet and Project Authorization.

Approved: Raymond R. Pfeiffer

Disapproved: _____
Mission Director

Date: 6/22/93

Clearances:

PDI:TMiller	<u>W. Miller</u>	Date:	<u>6/2/93</u>
RCO:MNapper	<u>MNapper</u>	Date:	<u>6/17/93</u>
CONT:WButler	<u>W. Butler</u>	Date:	<u>6/17/93</u>
RLA:EDragon	<u>EDragon</u>	Date:	<u>2/2/1993</u>
EMB/POL:FScanlan	<u>In Draft</u>	Date:	<u>6/8/93</u>
DD:FConway	<u>FConway</u>	Date:	<u>6/16/93</u>

Drafted:PDI:AMudge:ms:4/30/93:5/21/93:5/27/93
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Clearances:

PDI:TMiller _____	Date: _____
RCO:MNapper _____	Date: _____
CONT:WButler _____	Date: _____
RLA:EDragon <u>7/21/93</u>	Date: <u>7/21/93</u>
EMB/POL:FScanlan <u>7/21/93</u>	Date: <u>7/21/93</u>
DD:FConway _____	Date: _____

- all attached notes

Drafted:PDI:AMudge:ms:4/30/93:5/21/93:5/27/93
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UNCLASSIFIED

June 9, 1993

MEMORANDUM

TO: AID - Mr. Chiriboga
FROM: POL - Francis T. Scanlan
SUBJECT: Project Authorization

The following are some questions and comments on the project authorization and other attached documents.

-- Page 2, point 6 of the action memorandum. Is the part in parentheses true?

-- Page 6 top line: "roles of the Mission Director and Ambassador ..." This type of phrasing is a bad habit which should be broken. Ambassador goes before Mission Director. This is not a trivial point! If you need a further explanation as to why it is not, please phone me.

-- In the project authorization, it might have been a good idea to list the estimated cost of each project component. I realize another part of the document may have done this, but placing the estimates right there with the description of the components would be helpful.

-- Page 16 of the project authorization states that five JCE technicians to Costa Rica. Was this trip really cost effective? What did their trip report state? Has anyone spoken to them to find out how much they learned? Is this the trip which cost \$9,290 (p.30)?

-- Page 18 mentions the requirement that IFES write technical reports with operational recommendations. How many of these have been written? Is the report Brenes did after his last trip here and then faxed to us considered one of these reports? If so, I think we should better define what is required in these reports. I say this because I do not think the last Brenes' report I saw was very helpful.

-- On page 28, please change to "USAID/DR and a member of the political section will receive weekly oral program reports from those IFES advisors present in the country." This is just to formalize what we have been doing: keeping all interested parties in the loop.

-- The logical framework makes it clear that we are undertaking this project to try to prevent fraud. The narrative, however, describes the project as if it were aimed at efficiency. Should we be more specific about fraud, especially in defining IFES duties?

AGENCY FOR INTERNATIONAL DEVELOPMENT
Santo Domingo, Dominican Republic

UNITED STATES GOVERNMENT
MEMORANDUM

Date: May 28, 1993
From: Douglas Chiriboga, PDO
To: Raymond F. Rifenburg, DIR
Subject: Nationality Waiver for IFES Consultants under the Electoral Reform Project 517-0269

Problem: Your approval is requested to waive the nationality requirements and expand the eligible countries to include those in Geographic Code 935, Free World, in the procurement of technical services, both long- and short-term, under the Electoral Reform Project by the implementing institution IFES (the International Foundation for Electoral Systems) for the life of the project (LOP).

Description:

Cooperating Country : Dominican Republic
Project : Electoral Reform
Project No. : 517-0269
Authorizing Document : Cooperative Agreement
Nature of Funding : Grant
Approximate Value : US\$800,000
Proposed Geographic Code : Free World (935)

Discussion: Throughout the life of the Electoral Reform Project, IFES will call upon its pool of technical experts and consultants from Spanish-speaking countries of Latin America, and possibly from Spain, to undertake the various short-term assignments contemplated in the implementation of the project. The technical assistance to be provided will require the experts to have first-hand knowledge and experience in fields such as Latin American/Caribbean political history and culture, social structures, systems of government, reform of the state, political parties, NGOs, civic and public interest groups and community organizations.

According to the Implementation Plan of the Electoral Reform Project, the Chief of Party will be contracted for a period of 21 months, and a total of 166 person/weeks of short-term technical assistance will be provided, in a three phase schedule. It is anticipated that most of the experts, consultants, and the Chief of Party will be non-U.S. personnel. For instance, in the pre-election Phases I and II, IFES will provide expert advisory

services to study the electoral logistics system employed in Costa Rica. This will also involve the visit of Dominican JCE technicians to Costa Rica to learn from their experiences. Other experts will be called upon to devise training programs for polling site personnel, training an anticipated 40,000 citizens through 1000 courses for 40 people, provided by 100 previously trained trainees.

Other IFES consultants will analyze and correct the deficiencies of the Civil Registry system. The Electoral Reform Project will be also closely coordinated with the work carried out under the Democratic Initiatives Project, to involve civic organizations in civic education, and IFES consultants will be brought in for this activity

During the Post-Election Phase III, an IFES team of experts will conduct a thorough assessment of the JCE capability and performance. The assessment team will include expertise in electoral administration, organization and management, training, data processing, and civil registry.

For the above reasons, we believe that a waiver to permit Free World (Code 935) procurement of technical services could best contribute to the promotion of democracy in the Dominican Republic and would be a contributing factor to the achievement of project purpose and objectives.

The Detailed Budget and Cost Estimates of the Project provides \$1,390,700 for the Chief of Party and Short-term advisors. Of this amount, it is estimated that \$800,000 will be expended for salaries of Code 935 consultants during the life of the project.

A.I.D. Handbook 1, Supplement B, Chapter 5, Section D (10) 1 authorizes the waiver of nationality requirements in the following circumstances:

- "(b) No suppliers from countries or areas included in the authorized geographic code are able to provide the required services."
- "(c) Persuasive political considerations."
- "(e) Such other circumstances as are determined to be critical to the achievement of project objectives."

Justifications: (1) The politically highly sensitive nature of the project justifies calling for circumstances authorized under (c) above; and (2) the procurement of services of the types described in this memorandum, and obtained from the types of experts and consultants also described, are critical to the achievement of the project objectives.

Authority: Under Section III (B) of A.I.D. Delegation of Authority No. 752 for the LAC Region, dated September 14, 1992, the Mission Director has been delegated authority to waive the nationality requirements to permit A.I.D. financing of the procurement of services in any country included in A.I.D. Geographic Code 935.

Recommendation: That you (1) approve a waiver of nationality requirements from Code 000 (U.S. only) and the Dominican Republic to Code 935, Free World, to finance technical services of specialists and networking activities during the life of project; and (2) certify that the interests of the U.S. are best served by permitting the procurement of services from free world countries other than the cooperating country and countries included in Code 941.

APPROVED: Raymond F. Rifenburg
Raymond F. Rifenburg,
Director, USAID/DR

DISAPPROVED: _____

DATE: 6/22/93

CLEARANCES:

PDO:DChiriboga	<u>DC</u>	Date:	<u>6/16/93</u>
CON:JWButler	<u>JWB</u>	Date:	<u>6/17/93</u>
RLA:EDragon	<u>ED</u>	Date:	<u>28 MAY 93</u>
DD: FConway	<u>FC</u>	Date:	<u>6/16/93</u>

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AGENCY FOR INTERNATIONAL DEVELOPMENT
Santo Domingo, Dominican Republic

UNITED STATES GOVERNMENT
MEMORANDUM

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- "(e) Such other circumstances as are determined to be critical to the achievement of project objectives."

Justifications: (1) The politically highly sensitive nature of the project justifies calling for circumstances authorized under (c) above; and (2) the procurement of services of the types described in this memorandum, and obtained from the types of experts and consultants also described, are critical to the achievement of the project objectives.

Authority: Under Section III (B) of A.I.D. Delegation of Authority No. 752 for the LAC Region, dated September 14, 1992, the Mission Director has been delegated authority to waive the nationality requirements to permit A.I.D. financing of the procurement of services in any country included in A.I.D. Geographic Code 935.

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APPROVED: Raymond F. Rifenburg
Raymond F. Rifenburg,
Director, USAID/DR

DISAPPROVED: _____

DATE: 6/22/93

CLEARANCES:

PDO:DChiriboga	<u>[Signature]</u>	Date: <u>6/16/93</u>
CON:JWButler	<u>[Signature]</u>	Date: <u>6/17/93</u>
RLA:EDragon	<u>[Signature]</u>	Date: <u>28 July 93</u>
DD: FConway	<u>[Signature]</u>	Date: <u>6/16/93</u>

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PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES (PIO/T) *

1. Cooperating Country DOMINICAN REPUBLIC	2. PIO/T No. 517-0269-3-30049	3. PIO/T Amend No.
4. Project/Activity No. and Title 517.0269 ELECTORAL REFORM	5. Appropriation Symbol(s) 72-112/31037	
	6. Budget Plan Code(s) LES293-25517-KG13	
7. Pro Ag No. or Project Authorization Date	8. Obligation Status <input type="checkbox"/> Administrative Reservation <input checked="" type="checkbox"/> Implementing Document	
9. Project Assistance Completion Date (Month, Day, Year) 03/31/95	10. Authorized Agent RCO/USAID/DR	
11. Type of Action and Governing A.I.D. Handbook [B] A. A.I.D. Contract (HB14) C. PASA/RSSA (HB 12) B. A.I.D. Grant or Cooperative Agreement (HB 13) D. Other		12. Contract/Grant/Cooperative Agreement/ Reference Number (if this PIO/T is for an order or a modification to an award) N.A.

13. A.I.D. Funding (Attach a detailed budget in support of column (2) as Attachment A.

	(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
A. Dollars		738,100		738,100
B. U.S.-Owned Local Currency				

14. Mission References PROJECT AGREEMENT; PIO/T FOR PHASE I WHICH WAS EXECUTED FOR AID/W ACTION.

15. Instructions to Authorized Agent PLEASE PREPARE COOPERATIVE AGREEMENT WITH INTERNATIONAL FOUNDATION FOR ELECTORAL SYSTEMS (IFES): 1720 I ST NW; SUITE 611; WASHINGTON D.C. 20006; TO PERFORM ACTIVITIES DURING PHASE II OF THE ELECTORAL REFORM PROJECT, AS DESCRIBED IN ATTACHMENT D. PHASE I ACTIVITIES HAVE BEEN FUNDED THROUGH THE USE OF CORE FUNDS AVAILABLE UNDER THE AID/W-IFES COOPERATIVE AGREEMENT (NO. PDC-0023-A-00-1089-00). THE USE OF CORE FUNDS WILL BE REIMBURSED BY USAID/DR.

D300102

16. Address of Voucher Paying Office CONTROLLER'S OFFICE USAID/DOMINICAN REPUBLIC.

17. Clearances - Include typed name, office symbol, and date for all clearances

A. The Project Officer certifies (1) that the specifications in the statement of work or program description are technically adequate, and (2) that (for contract actions only) all program personnel who are defined as procurement officials under 41 U.S.C. 423 have signed the Procurement Integrity Certification (OF-333).

Signature MANUEL OPTEGA, PDI <i>Manuel Optega</i> Date: 6/12/93 Phone No:	
B. The statement of work or program description lies within the purview of the initiating office and approved agency programs. Signature: DOUGLAS CHIRIBOGA, PDO <i>Douglas Chiriboga</i> Date: 6/23/93	C. Signature: THOMAS MILLER, PDI <i>Thomas Miller</i> Date: 6/15/93
D. Funds for the services requested are available <i>Wayne Butler</i> Signature: WAYNE BUTLER, CON Date: 6/25/93	E. Signature: _____ Date: _____

18. For the Cooperating Country: The terms and conditions set forth herein are hereby agreed to:

Signature: ACTIVITY CONTAINED IN PROJECT AGREEMENT Title: _____ Date: _____

19. For the Agency for International Development:

Signature: RAYMOND F. RIFENBURG *Raymond F. Rifenburg* Title: MISSION DIRECTOR Date: 6/25/93

FOR CONTRACT ACTIONS ONLY: SOURCE SELECTION INFORMATION--SEE FAR 3.104. THIS DOCUMENT, OR PORTIONS THEREOF, CONTAINS PROPRIETARY OR SOURCE SELECTION INFORMATION RELATED TO THE CONDUCT OF A FEDERAL AGENCY ACQUISITION, THE DISCLOSURE OF WHICH IS RESTRICTED BY LAW (41 U.S.C. 423). UNAUTHORIZED DISCLOSURE OF THIS INFORMATION MAY SUBJECT BOTH THE DISCLOSER AND RECIPIENT TO CONTRACTUAL, CIVIL, AND/OR CRIMINAL PENALTIES AS PROVIDED BY LAW.
FOR OTHER ACTIONS: UNAUTHORIZED DISCLOSURE OF PROPRIETARY OR SOURCE SELECTION INFORMATION MAY SUBJECT AN EMPLOYEE TO DISCIPLINARY ACTION.

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PIO/T No.
517-0269-3 -30049

20. Special Provisions

A. Language Requirements (specify) (Include funds in budget for testing, as required.)
SPANISH, R4, W4, S4

B. Access to classified information will will not be required by technical specialists. (Indicate level)

C. Duty post(s) and duration of technical specialist(s) services at post(s) (months):
SANTO DOMINGO; 14 MONTHS

D. Dependents' travel and support will will not be funded by A.I.D. FOR CHIEF OF PARTY ONLY.

E. Geographic code applicable to procurement under this PIO/T is: (If other than authorized in Project Authorization, attach waiver(s))
 1. 000 3. 935 5. Other (specify)
 2. 899 4. 941

F. Salary approval(s) to exceed FS-1 salary ceiling are:
 1. attached 2. in process 3. N/A

G. Cooperating country acceptance of this project:
 1. has been obtained 2. is in process
 3. is not applicable to services required by PIO/T

H. Justification for use of external resources for advisory and assistance services is:
 1. attached 2. N/A

I. clearance for procurement of ADP equipment, software, and services is:
 1. attached 2. in process 3. N/A

J. OMB approval of any report to be completed by ten or more members of the general public under the statement of work is:
 1. attached 2. in process 3. N/A

K. Participant Training is is not being funded as part of this PIO/T.
(If so, attach Budget Estimate Worksheet, Form AID 1382-10)

L. Requirement (contracts only) is recommended for:
 NA 1. small-business set-aside 2. SBA 8(a) program
 3. disadvantaged-enterprise set-aside 4. No recommendation

M. Other (specify)

21. Provisions for Logistic Support	IN KIND SUPPLIED BY		FROM LOCAL CURRENCY SUPPLIED BY		TO BE PROVIDED OR ARRANGED BY SUPPLIER	N/A
	A.I.D.	COOPERATING COUNTRY	A.I.D.	COOPERATING COUNTRY		
A. Specific Items (Insert "X" in applicable column at right. If entry needs qualification, insert asterisk and explain in C. "Comments")						
(1) Office Space		X				
(2) Office Equipment					X	
(3) Housing and Utilities (FOR C. OF P. ONLY)					X	
(4) Furniture (FOR C. OF P. ONLY)					X	
(5) Household Appliances (Stoves,Refrig., etc.) "					X	
(6) Transportation in Cooperating Country					X	
(7) Transportation To and From Country					X	
(8) Interpreter Services/Secretarial					X	
(9) Medical Facilities (Health Room)					X*	
(10) Vehicles (official)		X				
(11) Travel Arrangements/Tickets					X	
(12) Nightwatchman for Living Quarters					X	
(13)						
(14)						
(15)						
(16)						

B. Additional Facilities Available From Other Sources:
 1. Diplom. Pouch* 2. PX 3. Commissary*
 4. Other (duty free entry, tax exemptions)

C. Comments: * FACILITIES OF AGENCIES OTHER THAN AID MAY BE AVAILABLE CONSISTENT WITH CURRENT POLICY AND PRACTICE WHICH SUBJECT TO CHANGE.

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PIO/T No.
517-0269-3-30049

22. Relationship of Contractor or Participating Agency to Cooperating Country and to A.I.D.

A. Relationships and Responsibilities: WORK UNDER THE TECHNICAL DIRECTION OF THE POLICY AND DEMOCRATIC INITIATIVES OFFICE (PDI)

B. Cooperating Country Liaison Officials: DR. MANUEL GARCIA LIZARDO
PRESIDENT, CENTRAL ELECTIONS BOARD
AND/OR BOARD DELEGEE

C. A.I.D. Liaison Officials: MR. RAYMOND F. RIFENBURG, DIRECTOR; MR. MANUEL M. ORTEGA, PDI

23. Background Information (additional information useful to authorized agent)

24. Summary of attachments that accompany the PIO/T (check applicable boxes)

- A. Detailed budget estimate in support of increased funding (Block 13)
- B. Evaluation criteria for competitive procurement
- C. Justification for procurement by other than full and open competition or noncompetitive assistance
- D. Statement of work or program description
- E. Waiver(s), justification(s), clearance(s), certification(s), approval(s) (specify number)

25. Distribution of PIO/T

III.

COST ESTIMATES PHASE II*

DESCRIPTION	FY 93				FY94				TOTAL
	UNIT COST	UNIT	NUMBER	COST	UNIT COST	UNIT	NUMBER	COST	COST
ITEMS									
Chief of Party	23,000	pm	3	69,000	24,150	pm	12	289,800	358,800
Short term advisors	5,000	pw	34.66	173,300	5,250	pw	36	189,000	362,300
Computers	3,400	set	5	17,000					17,000
TOTALS									738,100

*All items include directly attributable home office expense and 42% overhead.
 Chief of party and other advisor items include travel and per diem, or, for
 Chief of Party, housing allowance.

ILLUSTRATIVE BUDGET
(Phase II: July 93 - August 94)

(A) CHIEF OF PARTY

a) L-T Resident Coordinator

1 Salary - Resident Coordinator (15m X 3500 monthly)	52,500
2 Allowances - Resident Coordinator (separate quarters, hardship, living expenses)	40,000
3 International - Resident Coordinator (3 trips: Quito, S.D., Quito) (1,300 each)	3,900
4 Miscellaneous (land transportation; office supplies; communications; postage; bank charges, etc...)	42,000

Total L-T Resident Coordinator	\$138,400

b) Home Office Support

1 Salaries - Home Office:		
- Director	21 days X 320 each	6,720
- IFES Home Office Staff	300 days X 150 each	45,000
2 International Travel - Home Office:		
- Washington/SDQ/Washington	7 trips X 725 each	5,075
3 Per diem - Home Office:		
- In Santo Domingo	81 days X 117 daily	9,477
4 Miscellaneous - Home Office: (land transportation in Washington and S.D.; communications; postage; supplies; bank charges)		48,000

		\$114,300 *

(B) SHORT-TERM ADVISORS

1 Salaries - Short-Term Advisors (330 workdays [or 66 weeks] X 320 average daily rate) (There will be around 16 advisors)		105,600
2 International Travel - Short-Term Advisors (16 trips X 1300 average fare)		20,800
3 Per diem - Short-Term Advisors (494 days X 117 daily rate)		57,798
4 Miscellaneous - Short-Term Advisors (Land transportation; communications; postage; supplies; baggage ...)		71,000

		\$255,100 *

(C) COMPUTER (for IFES consultants)

5 lap tops (individual printers, software) 17,000

GENERAL ADMINISTRATIVE EXPENSES (42%) 213,300 *

GRAND TOTAL \$738,100

* Figures Rounded

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AGENCY FOR INTERNATIONAL DEVELOPMENT
Santo Domingo, Dominican Republic

UNITED STATES GOVERNMENT
MEMORANDUM

Date: May 27, 1993
From: Douglas Chiriboga, PDO
To: Marty Napper, RCO
Subject: Justification for Non-Competitive Award

PROBLEM: Under the Electoral Reform Project 517-0269, the International Foundation for Electoral Systems (IFES) is to provide the bulk of the technical assistance. Initially, the Mission was to buy-in into the Cooperative Agreement IFES has with AID/W. But as this is no longer feasible, we are submitting a justification for a non-competitive award, to enter into a Cooperative Agreement with IFES.

DISCUSSION: The International Foundation for Electoral Systems (IFES) was established in 1987 by a grant from AID/W to "monitor, support, and strengthen the mechanics of their elections process in developing countries and to undertake any appropriate education initiative which abet a successful conclusion to these efforts. In this way, IFES will contribute toward free, fair and credible elections in countries that both need and request our assistance."

Since its founding, and more recently since entering into a five year AID/W Cooperative Agreement (PDC-0023-A-00-10809-00), IFES has been providing technical assistance in the areas of electoral law, establishment and maintenance of voter registries, training, ballot security, voter education and motivation, and provision of election commodities. IFES has successfully responded to requests for assistance to individuals, groups and countries throughout the world. IFES has experience in the Dominican Republic, having sent four IFES experts under the Cooperative Agreement in March 1993, to undertake the initial technical assistance under the present Electoral Reform Project. This constituted "Phase I" of the project, as described in the Project Paper. \$150,000 of project funds will be added to the Cooperative Grant Agreement to finance these services.

The assistance required by the Central Election Board (Junta Central Electoral - JCE) under the Electoral Reform Project can best be completed by an organization already familiar with the existing mechanics of the Dominican election process, the

political systems as they presently exist, and the level of discretion required for involvement in these areas. Through its experience in other countries, IFES is extremely knowledgeable as to the up-to-date developments in the field of election related commodities. They bring a level of unique expertise that is needed for this task.

Handbook 13, Chapter 2 requires competition to be used to the maximum practicable extent for the award of grants or cooperative agreements. However, exceptions to this requirement are authorized in Paragraph 3.(b): "Assistance awards for which one recipient is considered to have exclusive or predominant capability, based on experience, specialized facilities or technical competence, or based on an existing relationship with the cooperating country or beneficiaries."

RECOMMENDATION: It is recommended, therefore, that you approve a non-competitive award to IFES, to carry out the activities under the Electoral Reform Project 517-0269, as IFES meets the criteria for exceptions for non-competitive awards.

Approved: Martin Napper Date: June 9, 1993
Martin Napper, RCO

Disapproved: _____ Date: _____
Martin Napper, RCO

CLEARANCE: RLA: Ed Dragon ED Date: 7/7/93

I. STATEMENT OF WORK

A. Background

Since the end of the Trujillo era in 1961 the Dominican Republic has made substantial progress toward a more democratic society. While the political system is still not as representative and broadly participatory as might be desired, competitive political parties have developed. The government is still highly centralized, but there has been recent movement toward decentralization of power, authority and initiative to local governments and communities. PVOs have become increasingly important in the extent and nature of their community development and public service activities.

One of the more significant lingering problems, however, has been lack of confidence in the electoral process. Elections have been held at regular intervals during the post-Trujillo era, and in some of them the party in power not only has been defeated, but also has passed power peacefully to the opposition. Nevertheless there is still widespread skepticism induced by continuing charges of electoral fraud and mismanagement. This includes voting by the absent or ineligible, multiple voting by the living, mishandling of ballot boxes, manipulation of vote counts, and delayed reporting of results. Also there have occurred frequent instances of inadequate planning, such as insufficient voting booths, shortage of ballots, and other more mechanical obstructions to participation in the electoral process.

Such weaknesses in the electoral process have tended to diminish confidence of the people in their government and its legal system, in political parties and political activities in general. Therefore reform of the electoral system is an important step toward strengthening not only the democratic institutions themselves, but also public faith in those institutions.

B. Project Description

The immediate task in electoral reform is to build credibility of the 1994 elections and the electoral process leading up thereto, and in the course thereof to build a foundation for continuing credibility of the electoral process in the future.

This task will be accomplished by strengthening the Central Electoral Board's (JCE) institutional structure and management and by helping the JCE to establish an accurate and efficient fraud-resistant, personal identification/electoral

registration system. Strengthening the JCE institutional structure and management will include establishing a training program for polling site personnel, modernizing the electoral procurement and logistics system, establishing a system for prompt computation of election results, establishing a system for coordination of PVO/NGOs whose activities include informing the general public about the electoral process, establishing a plan and system for coordination of election monitoring by Dominican and foreign observers, and improving the civil registry for more efficient and effective service.

USAID/DR's Electoral Reform Project has been designed to provide technical assistance to the JCE in the above-mentioned areas. The project comprises the following three phases:

- a) Phase I: Under a pre-existing AID/W/IFES Cooperative Agreement, four IFES experts have already initiated the most urgently needed technical assistance. This initial increment constitutes Phase I, March through June 1993.
- b) Phase II: During this phase, which will last from July 1993 through August 1994, the grantee will provide the JCE with the services described in the following section of this Statement of Work.
- c) Phase III: At the end of Phase II, the grantee will conduct a detailed assessment of the performance and capability of the JCE and its dependent agencies. In Phase III, October 1994 - March 1995, the project would provide further technical assistance as may be required to implement the recommendations of the assessment.

Phase II

The following tasks constitute the minimum acceptable performance standards required from the grantee during Phase II, which is the only one to be funded by this PIO/T:

1. Institutional Restructuring of the JCE

Objective: 1) Perform a diagnostic study of the administrative structure of the JCE and its dependent agencies (Municipal and National District Electoral Boards, the Civil Registry Office and its branches, and the General Directorate for the Personal Identification Card).

- 2) Prepare a plan of internal organization, functions and procedures to improve electoral administration in the Dominican Republic.

Steps: Provision of advisory services of two foreign experts in electoral administration, specialized in organization and management for four weeks, assisted by two Dominican counterpart technicians from the National Office of Administration and Personnel (ONAP).

Date: July 1993

Product: Diagnostic Report of the JCE.
Reorganization proposal and organization charts.
Draft of internal regulations.
Functions and procedures manual.

Development

The objective of this component is to evaluate, by means of a diagnostic study, the formal bureaucratic organization of the JCE, its different functional and hierarchic levels, its general and specialized departments, its mechanisms of coordination and assignment of functions, its internal procedures and regulations, as well as the definition of its principal positions (salary requirements, functions and tasks).

This study should include the JCE as a collegial entity, the Board Secretariat, the Office of the Inspector, the recently created General Directorate for Elections (DGE) and Administrative Directorate, the Legal Counsel, the Departments of Civil Registry, Electoral Registry, Political Parties, Public Affairs and Information and the Computer Center, among other units. Also, the Municipal and National District Electoral Boards should be included.

Likewise to be included are the central and the branch offices of the Civil Registry and the General Directorate for the Personal Identification Card, entities that Law 8-92 has made direct dependencies of the JCE.

Method of Operation

Two IFES experts in organization and management with specialized expertise and experience in electoral organization should lead a four-week mission, supported by a minimum of two Dominican consultants. These consultants could be provided by ONAP, at the request of the JCE or recruited from among national consultants.

In their work they should refer to Electoral Law 5884 of May 5, 1962 and its modifications, Law 12-92 of May 18, 1992, being the most recent; Law 659 of July 17, 1944 which creates the Civil Registry, complemented by Decree No. 1275 of July 10, 1971; Law 55 of November 17, 1970, regarding the Electoral Registry and Law 8-92. Also pertinent are the Organization Manual of the Dominican Government, prepared by ONAP; Law 14-91 of May 20, 1991, concerning the Civil Service and Administrative Career; as well as the current regulations and procedures of the JCE, the Civil Registry, and the General Directorate for the Personal Identification Card. In addition, the April 1993 Preliminary Report of the IFES Technical Assistance Mission, as well as any other existing evaluative documents should be taken into account.

2. Electoral Management and Planning Training

Objective: To support a process for learning modern techniques of electoral planning and management, using a multiplier effect among the JCE officials in increasing institutional management capacity.

To make the institution's decision-making process more efficient by incorporating the concept of programming by objectives, and to make operations more efficient by application of modern management methodologies.

Step 1: High level seminar on electoral administration offered by IFES to the members of the JCE and the top executives of the institution.

Coverage: 20 people
(5 JCE members and 15 top executives)

Duration: 2 days
Date: July 1993

Development

This seminar will be important to familiarize the members of the JCE and its staff with modern techniques of electoral planning and administration. This will support the practical use of these techniques in immediate and longer term tasks for which the institution is responsible in unifying the personal identity and electoral documents, organizing the 1994 elections, and strengthening its bureaucratic structures.

The seminar, employing group dynamics techniques, should help identify problems and solutions related to the more critical aspects of the institution and the electoral process, motivating the participants to take an active role in these exercises.

Finally, the seminar should help develop a greater esprit de corps among the principal officials of the institution, promoting common goals and criteria and more fluid communication among themselves.

Method of Operation

The seminar should employ the total immersion model in a hotel away from Santo Domingo, with expositive sessions lead by IFES experts, using group workshop techniques. Needed will be two IFES experts, including a training expert, and a complementary team of four facilitators for four working groups.

Step 2: Five short courses on electoral administration for Municipal Electoral Board Secretaries.

Coverage: 105 people
Duration: 1 day
Date: June/July 1993

Development

These short courses will expose the National District and Municipal Electoral Board Secretaries to modern electoral management techniques appropriate to the types of tasks performed by this level of electoral officials. As with the higher level seminar, the secretaries should participate in a workshop session to identify common problems and solutions, exchanging their experiences in electoral administration.

Method of Operation

Total immersion for one day, in groups of twenty people, using the facilities of different universities, located in five cities that serve as regional centers: San Pedro de Macoris, Santo Domingo, Barahona, San Francisco de Macoris or La Vega and Santiago. Two experts would be required to lead the

series of short courses, assisted by five facilitators for the workshops. The short courses would be programmed sequentially from Monday to Saturday, leaving Thursday free, and using the instructors and facilities for a period of one week.

Step 3: Fifteen short courses on electoral administration for members of the Municipal and National District Boards.

Coverage: 320 people
Duration: 1 day
Date: August 1993

Development

This program of short courses would seek to cover the same objectives as for the higher level officials, adjusted to the specific functions that the members of the Municipal and National District Electoral Boards perform in their positions as administrators and judges, and promoting the exchange of experiences among themselves.

Method of Operation

Identical to the courses for Municipal Electoral Board Secretaries, in groups of twenty people, taking advantage of the facilities of universities.

Step 4 : Project funds will be made available for further training of JCE management and staff in modern management methodologies should such training appear necessary and appropriate to the success of the electoral process.

Product: Better qualified and skilled JCE staff.

3. Technical assistance in specific areas of organization of the 1994 elections

Objective: Strengthen specific areas of the process of organizing the 1994 elections in determined phases and stages.

Steps: Provision of IFES expert advisory services to the JCE.

Product: Technical reports.
Trip reports and feedback.

3.1 Preliminary and Definitive Electoral Computation

Objective: Design rapid and efficient systems for the preliminary and definitive counting of the votes and for the dissemination of the 1994 election results.

Steps: Assistance of one IFES advisor for four weeks.

Date: September 1993.

Product: Diagnostic report.
Technical proposal.

Development

The delay in the provisional and definitive computation of the electoral results, as well as the dissemination bulletins reporting the preliminary partial returns, have been disturbing factors contributing to tension and conflict in past elections.

Law 12-92, in Article 144, establishes a term of three days following publication of the final provisional report, to produce the definitive official electoral vote counts. Similarly in Article 2.C it provides, within the administrative powers of the JCE, for putting the vote count program at the disposition of the political parties no later than five days after the close of registration in the Electoral Registry (set for January 16, 1994, pursuant to Law 8-92).

Method of Operation

The consultant will work in coordination with the DGE and technical and executive staff of the JCE's Computer Center, to prepare a diagnosis in light of past experience and to prepare a plan for an efficient system of processing and disclosing results, that complies with the statutory requirements.

3.2 Training of Polling Site Personnel

Objective: Design and develop a massive training program for polling site personnel.

Steps: Assistance of one expert in design of massive electoral training programs for four weeks. Training, employing a pyramidal structure, of 40,000 citizens at the national level, through 1,000 courses for groups of forty, offered by 100 trainees previously selected and trained in five intensive courses for twenty people.

Date: Arrival of training design expert August/September 1993
Training of instructors January/February 1994
Training of polling site personnel March/April 1994

Product: Design of a polling site personnel training program for of 100 instructors and 40,000 polling site officers.

Development

In Dominican elections, the qualification levels of staff selected to operate the polling sites, the training received and the degrees of commitment of said staff to the process itself, have been revealed as critical points, which have provided cause for subsequent challenges and traumatic post-electoral crises. The egregious errors in basic mathematical computations and in filling out the forms and certificates, the last minute desertion by unmotivated staff, as happened with significant effect in the National District during the last election, are typical of polling site problems which need to be addressed far in advance of election day.

Method of Operation

The JCE-IFES/AID agreement and the existence of a technical assistance program between the JCE and PUCMM, offer an appropriate framework for a massive training program for polling site personnel.

A pyramidal organization of the electoral personnel training process would be implemented by training a group of 100 trainers or facilitators in five courses for twenty people each. Their job in turn would be the training of 40,000 citizens, through the conduct of 1000 courses at the national level, with each trainer carrying out ten courses for groups of forty people each.

The educational resources and facilities of the main universities of the country would be used in a system of regional training nuclei, in coordination with the JCE, and the Municipal and National District Boards.

3.3 International Observers

Objective: Organize a Foreign Observers Coordinating Center in order to facilitate their functions and tasks in the electoral process.

Steps: Provision of advisory services by an IFES expert for two weeks.

Date: November 1993

Product: Proposal of plan for observation of the 1994 Dominican Election.

Development

International observation of elections can help assure their credibility nationally as well as internationally. Among the different groups of observers are such agencies as the Organization of American States (OAS), the United Nations (UN), CAPEL, The Carter Center, the Christian Democratic Organization of America (CDOA), the Socialist International, and other similar entities that accredit observer missions. To help assure adequate international observation for the 1994 elections, an Election Observation Plan is needed, the design of which should include the working specifications of a Coordination Center.

Method of Operation

An IFES consultant would work in coordination with the DGE in order to prepare the plan, with the greatest level of operational details possible, so that it could be considered by the JCE for use in 1994.

4. Civil Registry

Objective: To obtain and analyze the documentation containing the international recommendations on the subject of civil registry as developed by the United Nations. To prepare a diagnosis of the Dominican Civil Registry and propose solutions for its deficiencies.

Steps: Assistance of three IFES consultants for a period of six weeks, divided into two stages of three weeks each.

Date: **First stage:** August 1993
Second stage: December 1993

Product: Diagnostic report of the Civil Registry.
Proposal for restructuring the system.

Development

The deficiencies of the Civil Registry system and vital statistics production have been evaluated by various international technical missions, among them the Latin American Demography Center (CELADE) and the OAS. The OAS mission lead by members of the Supreme Court of Elections and the Civil Registry of Costa Rica came in 1987, at the request of the JCE. These deficiencies have caused most of the problems of the Electoral Registry, particularly those relative to registration of deaths and certification of births, which give rise to conflicts among the political parties and suspicions among the people.

Also, as part of the reorganization of the Civil Registry system, appropriate computerization is in order to make access to information more efficient and to improve quality control.

Method of Operation

During the first stage, the consultants, using the JCE's facilities as a base, would establish contact with different government branches that are involved with the Civil Registry system (the Ministry of Public Health and the National Statistics Office among others), and after getting the necessary information, would produce a diagnostic report for the JCE's consideration. In the second stage, the consultants would help prepare a proposal for reorganization and modernization of the Civil Registry.

5. Electoral Law

Objective: To obtain suggestions and recommendations from experts in electoral law and political parties for the revision and improvement of the regulations that the JCE will produce to implement the recent modifications of the Electoral Law.

Steps: Assistance of one expert from IFES to the JCE for a period of four weeks.

Date: July 1993.

Product: Reports with recommendations for revision of regulations.

Development

With the entry in force of Laws 8-92 and 12-92, the JCE will have to pursue a strenuous agenda that includes the following tasks:

* Updating the JCE's internal regulations, incorporating the functions of the recently created DGE and Administrative Directorate, as well as the other changes in JCE organization since 1969, the year in which the current regulations were adopted.

- * producing a series of regulations:
 - 1) to regulate the presence of the technical observers of the political parties at the JCE's Computer Center;
 - 2) to establish the standards governing conduct of the electoral campaign;
 - 3) to provide for internal democracy of the political parties;
 - 4) to control the public financing of the parties;
 - 5) to regulate paid advertising in the communications media and the publication of political surveys during the campaign period;
 - 6) to regulate the use of the electronic mass media during the period from twenty-four hours before poll opening to twenty-four hours after poll closing;
 - 7) to define the procedure for mergers, alliances or coalitions among political parties.

Method of Operation

To help the JCE technical and executive personnel in review of said regulations and procedures, the consultant would work under the coordination of the DGE with the different departments of the institution pursuant to priorities set by a work plan, and contribute recommendations for new regulations.

6. Voter Education

- Objective:** To orient voters on the different aspects of the electoral process in order to promote more and better informed citizen participation in the same.
- Steps:** Assistance of one IFES expert for a period of four weeks.
Coordination with the Democratic Initiatives Project, in order to involve the civic organizations in civic education.
- Date:** July/August 1993.
- Product:** A JCE multimedia Plan of Citizen Education, which supports the roles of the political parties and the civic voluntary organizations.

Development

The experience and expertise of an international consultant would assist in the design and execution of a massive citizen education plan, to take full advantage of modern mass communication resources and other appropriate techniques of participatory education. Looking toward the 1994 election, the work of the JCE would be linked to that of a broad gamut of civic voluntary organizations, taking advantage of the resources available within the Democratic Initiatives Project.

Under this plan, the organizations would seek to inform the voters about the substantive aspects of the electoral reform underway and to motivate citizen participation in the electoral process, including their integration into party activities and political groupings, in order to promote a greater interest in the key processes of the democratic system.

Method of Operation

The consultant, in coordination with the DGE and the Executive Directorate of Democratic Initiatives Project, would help to develop the aforementioned plan and to establish within the JCE the mechanisms for its implementation.

7. Assessment of JCE Capability and Performance

In July 1994, following completion of the entire 1994 electoral process and the furnishing of all short term technical assistance under Phases I and II of the Electoral Reform Project, an IFES team of experts will conduct a thorough assessment of the then capability and performance of the JCE and its dependencies. Such assessment will include examination of performance during the 1994 election campaign and the preparations therefor, and the JCE's capability for improved performance of its continuing functions in civil registry, coordination of civic education, preparation for future elections, etc.

The assessment team will include expertise in electoral administration, organization and management, training, data processing, and civil registry. The team will be charged to make recommendations for further technical assistance and other measures as considered necessary to address deficiencies revealed by the assessment.

Any follow on technical assistance for the Civil Registry would be focussed on those registry functions which bear most significantly on the electoral process.

\$0.523 million of project funds will be reserved to finance further technical assistance within Phase III in implementation of the recommendations of the assessment.

8. Resident Chief of Party

While furnishing technical assistance for the various project components as described above, IFES would provide the continuous service of one advisor as resident Chief of Party in the Dominican Republic from o/a July 1, 1993 to o/a August 31, 1994 such Chief of Party would represent IFES and coordinate its technical assistance activities within the Dominican Republic. The Chief of Party would also have the professional expertise to serve as an IFES electoral system expert in fulfilling a portion of the specific technical assistance assignments among the project components described above.

9. Equipment

The IFES technical assistance personnel on site will be required to be self sufficient in all respects except office space, which is to be provided by the JCE. Therefore, to the extent the technicians need equipment, particularly computer equipment, in their work, IFES will purchase it. Such equipment will be left in the Dominican Republic with the JCE upon completion of the technical assistance services financed by A.I.D.

Such IFES purchases will be subject to A.I.D. procurement regulations as provided in the Cooperative Agreement.

C. Implementation Schedule

March 15 to June 30, 1993	Phase I pre-grant agreement short term assistance
July 1, 1993 - August 31, 1994	IFES Chief of Party resident in Santo Domingo
July 1, 1993 - August 31, 1994	Phase II provision of pre-election technical assistance directed at preparations for election and reform of electoral process
January 1994	Baseline data published by the Democratic Initiatives Project contractor
January 1994 - June 1994	Electoral period during which no USG-financed short term assistance to be furnished (Chief of Party will continue in country)
July 1994 - August 1994	Post election IFES assessment of JCE performance and capability
October 1994 - March 1995	Phase III technical assistance, focussed on implementation of assessment and evaluation recommendations
March 31, 1995	PACD

II. Management and Coordination

For the JCE, day to day management of the project will be the responsibility of the JCE's delegee(s) for project implementation with support from JCE staff as required and appropriate. Within USAID/DR, the furnishing of assistance will be managed by the Democratic Initiatives Coordinator within the Office of Policy and Democratic Initiatives under the supervision of the Office Director. Also serving on the Project Committee within USAID will be representatives of the Controller Office, the Project Development Office and the Embassy Political Section.

Technical assistance will be coordinated principally at the level of the JCE delegee, the USAID Project Manager, the IFES resident Chief of Party, and the PUCMM Vicerector as appropriate.

Each IFES advisor will have clear "management by objective" work plans developed prior to initiation of its technical assistance to the JCE.

USAID/DR will receive weekly oral program reports from those IFES advisors present in the country. These briefings will take place at USAID/DR's main building.

All communications, oral or written, between IFES' home office and the JCE authorities, including its President and General Director for Elections, will be made through USAID/DR's Project Liaison Officials.

Besides the reports to be produced by each IFES advisor upon conclusion of his/her consultancies, IFES will present to USAID/DR monthly reports summarizing their activities, findings, and achievements, describing proposed activities for the next reporting period and problems and/or opportunities anticipated.

III. Method of Payment

Payments will be made to grantee by USAID/Controller in response to contractor requests for payments. Requests for payments will be submitted to USAID/Controller in form of statement for costs incurred.

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