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RESULTS REVIEW

Democracy and Governance Center

FY 1996

Bureau for Global Programs, Field Support and Research
U.S. Agency for International Development

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RESULTS REVIEW FOR THE CENTER FOR DEMOCRACY AND GOVERNANCE

I. G/DG STRATEGY OVERVIEW

A. Policy

The Global Democracy and Governance Center was established to integrate DG programs across regions and to establish a technical capacity in a new area.

Democracy and governance programs exemplify the new directions in foreign assistance underway in USAID. USAID supports the transition to and consolidation of democracy as an end in itself and because it is central to the sustainability of our development programs. Promoting democracy is a priority goal of U.S. foreign policy based on the belief that democratic governments are more stable and reliable international partners. They are more likely to advocate and observe international law and agreements and to have long-term internal stability. Finally, they make better trading partners for the United States.

Democracy is an integral part of sustainable development. Over the long term, without accountable and transparent political institutions which represent and respond to citizen's needs, societies cannot maintain the social and economic advances that are the objectives of USAID's more traditional development efforts. The need to address issues of governance and democracy in development is now widely recognized by bilateral donors as well as multilateral organizations.

The Agency's democracy goal is subdivided into four Agency objectives which represent the four broad sectors of democracy work: 1) strengthened rule of law and respect for human rights 2) more genuine and competitive political processes, 3) increased development of politically active civil society 4) more transparent and accountable government institutions.

B. Overall Approach

By building on the Agency's own experience and by tapping the strength of our nation's democratic institutions and non-governmental organizations, the Global Bureau's Center for Democracy and Governance is dedicated to increasing the overall effectiveness of programs in this rapidly evolving area of development work. The unique contribution of G/DG is its ability to foster cross-fertilization across regions, sharing lessons-learned from one country or region with another with the aim of improving DG program effectiveness. G/DG is committed to further development of the DG sector as a technical specialty, focusing on those sub-sector areas which are most relevant to the work of USAID field missions.

In order to contribute to the achievement of the overall Agency goal of promoting democracy, and progress toward the different sectors within the Agency goal, the Center utilizes three main approaches: technical leadership, field support, and directly-managed programs.

- **Providing Technical Leadership**
As one of the Agency's Centers for Technical Excellence, the DG Center is responsible for the identification, enhancement and development of tools, methods, and methodologies that USAID and other organizations can use to support democratic development at the national, regional and local levels in countries around the world. This entails analyzing, disseminating and applying "lessons learned" from current experience as well as supporting innovative approaches in this technical area. The Center also serves as "home base" for all DG officers in USAID, and is responsible for recruiting and selecting new officers and providing training, career advice and support in assignments and evaluations.

- **Timely, Effective Technical Support to Field Mission**
The Center's principal role is to work with and support DG-related activities, programs, and strategies at the Mission level. The majority of Center staff time has been and will continue to be devoted to providing support to the field through utilizing its own staff as well as tapping outside expertise through comprehensive contract and grant mechanisms.

- **Managing Selected Activities**
The Center is charged with the responsibility of direct management of a limited number of activities, including activities in non-presence countries. These activities are designed to have a direct impact on democratic conditions within a country or region, such as efforts in labor development, political and electoral processes and women in politics.

Evolution of the Center's Strategic Framework: The Strategic Plan for the Center for Democracy and Governance approved in 1995 established the three approaches noted above as strategic objectives of the Center's work. However, with the introduction of the New Management System and the formal adoption of the Agency Results Framework, it was clear that the Center had to revise its strategic framework to more closely correspond to the sectoral approach to democracy. Revised Center objectives are aimed at supporting work in the four main aspects of democratic governance: rule of law, governance, electoral and political processes, and civil society, as well as providing strategic and analytic support across the democracy sector to increase the overall level of program effectiveness.

NOTE: Due to the change in strategic objectives, the Center's intermediate results and indicators require additional modification. As a consequence, the results reported below are based on our original strategic framework and indicators are in process of being refined to reflect the new framework. We welcome Agency discussion and comments on the framework as we finalize it.

The Center as a Reengineering Laboratory : The Center for Democracy and Governance became the first AID/W reengineering laboratory to begin 1) working in teams 2) managing for results and 3) committing itself to quality customer service. The Center is committed to using reengineering approaches in undertaking its democracy work.

C. Factors Affecting Program Performance

There have been several factors affecting the performance of G/DG. Despite these, which are set out below, G/DG has made progress toward its previous and newly revised strategic objectives.

Transition from Start-up Phase. Because it had no central bureau predecessor, the Center struggled with the start-up requirements of establishing itself within the Agency. A major factor was the designation of the Center as an experimental lab under reengineering. While this designation has will ultimately lead to positive results (see section on effects of reengineering), the Center was in many cases "testing" new principles of organization and implementation that had never been utilized before in totally new a AID/W organizational unit.

The difficulties of effectively managing the transferred USAID projects (due to expire within one year) while trying to make the new results package operational have meant that activity management and the technical review of incoming proposals diverted some efforts away from technical leadership and field support. Meanwhile, the existing, inherited projects often had limited ceilings, specific subject areas and/or geographical restrictions which limited "global" possibilities for the Center.

Inadequate Human Resources. Since its initiation, G/DG has been critically understaffed. The current FTE level, exacerbated by the continued vacancies, means that staffing is simply inadequate for the Center to fully perform its multiple functions. Direct trade-offs currently exist between field support, support to DG officers, technical leadership, and project management; and none of the functions is being performed as effectively as needed. Many staff members have limited Agency experience, a problem compounded by a lack of funding for training in either old or new agency systems.

Absence of Baseline Data and Tracking Systems. Tracking G/DG performance is hampered by the overall lack of consensus within the Agency as to how to measure impact in

the democracy and governance area. The Center has made the establishment of appropriate indicators and results for the Agency and Center a high priority.

D. Progress Toward Achievement of Strategic and Special Objectives

Despite the factors affecting performance, G/DG has made considerable progress toward achieving its objectives. While the advancement of each of the SO's is discussed separately, there are several cross-cutting accomplishments which have enhanced the services which the Center provides.

Coalescing of the Center's Reengineered Structure . In conformity with reengineering precepts, the DG Center established a number of teams to undertake its work. Six formal teams exist within the Center: two overarching teams -- Program/Information, and Strategies/Field Support; and four technical teams -- corresponding to the Center's four priority areas of Rule of Law, Electoral Processes, Civil Society; and Governance. In order to more effectively address Agency needs, the Center also established cross-cutting regional teams which cover the four main geographic areas.

While still plagued by inadequate staff, the Center's teamwork has greatly improved. A number of in-house retreats have also been used to identify and resolve issues for the Center and to facilitate communication among Center staff. Continuing discussions and information sharing, as well as country briefings, regional reviews and semi-annual portfolio reviews have been undertaken where Center staff continue to learn and share different regional and technical experiences. As a result of shared experiences, the Center has been able to generate more effective programming ideas and strategies.

Selecting and Finalizing New Awards. Center staff spent a significant portion of their time over the past year and a half developing and reviewing for award the mechanisms which will make technical services more easily accessible to field Missions. This included designing a major results package, writing the RFPs and RFAs and selecting new partners. Eight major awards were made in FY 95 in the areas of human rights, rule-of law, government accountability, women-in politics, government policy formulation, and elections. The remaining 12 awards are expected to be finalized within the next two months.

Through these new mechanisms in each technical area, G/DG will be able to provide missions with DG assessments to identify those areas where democratic reform is needed; technical or advisory assistance in the development of long term strategic plans and activity design and implementation;data baselines and indicators to identify progress and program impact at sectoral and activity level; and evaluation assistance.

Providing Support to the Field. The Center made responding to Mission requests for assistance a high priority in the last year. More than 15 Center staff travelled to more

than 30 countries to provide technical expertise and support for mission strategies and activities. Existing mechanisms within the Center were tapped to assist a number of additional missions, and the Center communicated electronically with countless more.

Working with Others in the Agency. In addition to work with field missions, Center teams have established close working relationships with other USAID bureaus, especially regional bureaus, as well as with partners from other US agencies. These interactions have furthered both G/DG's progress as well as allowed the broader agency priorities to be incorporated more effectively.

Regional Bureaus. G/DG frequently collaborates with regional bureaus in reviewing CPSPs, R4s, jointly sponsoring conferences and workshops, and providing support to the field. For example, G/DG and AFR are co-sponsoring a conference in South Africa which will review lessons learned in DG programming. G/DG joined with LAC and USAID/Bolivia to sponsor the highly successful workshop on legislative strengthening in Bolivia. In ENI, the Center has actively participated as a member of the Bosnia Task Force, developing and reviewing reports and strategies.

PPC. G/DG also collaborates with other parts of the Agency. Most notably, G/DG has effectively partnered with PPC. G/DG actively participates in the weekly DG information sharing Tuesday Group which discusses current DG issues and produces a report disseminated to the field for discussion. The Center also has been actively involved in PPC/CDIE evaluations undertaken in the democracy area. Finally G/DG actively contributes to PPC's policy development effort, and made significant contributions to the development of the New Partnership Initiative.

Global Bureau. Within G, G/DG and G/ENV have begun efforts to more closely collaborate in the local governance area, and new initiatives. G/DG also plans to coordinate efforts with G/EG in the anti-corruption area and rule of law. G/DG continues to work with G/WID in implementing the new women's legal and political rights initiative.

Other USG Agencies. Outside USAID, G/DG also collaborates with other USG Agencies. G/DG works closely with the State Department, particularly in managing the Africa Regional Electoral Assistance Fund (AREAF). In addition, G/DG works extensively with the Department of Justice, and will soon have a PASA in the rule of law area with the Office of Professional Development and Training, Criminal Division of the Department of Justice (OPDAT). Finally, through an Interagency Agreement with the Federal Judicial Center, G/DG has effectively partnered with the federal judiciary.

Non-governmental actors. G/DG also has established a close working relationship with the National Endowment for Democracy (NED) and its core grantees. In particular, USAID and NED colloborated on a report to Congress comparing the democracy work undertaken by

the two organizations. The Center is taking the lead for the Agency to facilitate ongoing communication and information sharing between USAID and the NED to ensure that democracy resources are used effectively around the world.

E. Strategic Framework Table (See ANNEX A:Original and Revised)

F. Status of Management Contract: Necessary to Change Strategic Objectives after First Years

i. Original Strategic Framework adopted in FY 95

As stated above, the DG Center's original strategic plan emphasized the types of functions performed to achieve the Agency's democracy goals and objectives. After one year, G/DG found it necessary to revise its strategic objectives in order to accommodate the Agency's new requirements. Originally, G/DG's strategic plan had 2 SO's and 1 SSO which were articulated as follows:

> SO-1: TECHNICAL LEADERSHIP. More effective use of information and methodologies by USAID and other international organizations and partners better promotes democracy worldwide (technical excellence), by promoting sustainable development through technical and intellectual leadership and services in democracy and governance
>
> SO-2: DIRECT PROGRAM SUPPORT. Greater number of citizens in selected countries directly benefit from and participate in democratic practices, (Direct program support) so that when appropriate, G/DG would undertake direct responsibility for implementing individual field programs.
>
> SSO: FIELD SUPPORT. Greater number of citizens benefit from and participate in democratic processes through improved USAID mission programs (program support for interim customers i.e. field missions, the regional bureaus and PPC) that assists the Agency in developing and advancing democratic governance as a cornerstone of its sustainable development strategy and programs.

In the old framework beneath these strategic objectives were four subject areas though which G/DG accomplished its tasks and expressed its achievements and indicators. They were:

> 1) **Rule of Law:** legal systems which promote democratic principles and protect human rights
>
> 2) **Governance:** governmental institutions which are responsive and accountable to the

people

3) Electoral Processes: open and participatory political and electoral processes which reflect the will of the electorate

4) Civil Society: citizen interest groups which promote pluralism and contribute to responsive government

Once it became apparent that the NMS tracked resources and results under individual SO's, it was clear that the original configuration of SO's would have to be changed. The Center's strategic objectives were changed to accommodate the four subject areas and still accommodate the cross-cutting work in the DG area.

ii. Strategic Framework for 1996 R4 Review

(SEE Annex A)

As a result of this re-configuration, the strategic objectives were changed to the following:

SO-1 Rule of Law - Strengthened legal systems which promote democratic principles and protect human rights,

SO-2 Governance: Increased efforts to make government systems more transparent and accountable,

SO-3 Elections and Political processes: Increased open and participatory elections and political processes which reflect the will of the people,

SO-4 Civil Society: Increased Effectiveness of citizens' interest groups to promote pluralism and contribute to responsive government, and

SO-5: To provided technical and intellectual leadership and services across the democracy and governance sector.

iii. Effect of Changing Objectives on of Operating Units

G/DG's new strategic framework parallels more closely the actual organizational structure of the Center. However, the change of its Strategic Framework has left G/DG in a state of transition regarding the reporting of both interim steps and indicators. While SO narratives, interim steps and indicators are presented in Attachment B, technical teams are finalizing indicators which will reflect the strategic framework as transferred to the NMS. It

is assumed that any changes in indicators will vary in refining the level of impact rather than in subject area emphasis.

G. Effect of Reengineering on Performance of Unit

Reengineering has allowed the unit to focus its efforts on team work, to assess customer needs, and to focus on managing for results. In the long run, reengineering will undoubtedly streamline operations and make the Center more effective, although start-up and accommodating staff to new ways of doing business has been time-consuming.

One effect of reengineering already in evidence is improved implementation in achieving SO's by uniting team members around common objectives by facilitating concurrence on team members' responsibilities. This new approach to personnel has allowed for greater flexibility in both assigning tasks and changing work objectives in the mid-term review cycle based on objective criteria which affected all team members rather than just the personal performance of the individual concerned.

It should be noted, however, that the all-important function of field support has required a much greater investment in staff time than was originally envisaged. To provide this support has required all staff members to assume multiple functions among teams and still, G/DG has been unable to staff any of its teams up the design standard minimum of five staff members per team. With the increased field need, resulting to a large extent from the investment made in establishing working relations with missions and through working with both regional and mission teams, many staff members spent considerable time both in Washington and abroad responding to field needs. Examples include an assessment of pre-election conditions in Sierra Leone, pre-and post-election assistance to Haiti, assistance to Kenya, Egypt and South Africa in developing their respective strategies, assistance to Colombia and Mexico to set up rule of law strategies, and a four month TDY to Botswana while the regional mission was established. Because of limited staff, the Center was unable to meet the total demand for field assistance from USAID missions.

Meanwhile, G/DG has actively worked with reengineering both as a participant and in donating staff to serve as reengineering trainers for USAID/W staff including reengineering training for the entire G bureau. Finally, G/DG has been called upon to contribute to such activities as the Bosnia Task Force, reengineering working groups, etc. All of this means that G/DG has had a difficult time in meeting the demands of reengineering and simultaneously responding to field needs while continuing to operate without adequate staff. While some reengineering activities are transitional, it should be noted that there are still major time constraints imposed by those which remain, the latest being NMS training which will require a large investment in staff time. While staff numbers remain constant, the Center has tried to meet the growing mission demand for field support to fulfill its roles in providing both technical leadership and field service. This is the dilemma which has gripped

G/DG relentlessly from its inception and remains a major obstacle to achieving its full potential during the coming years.

H. Approach to the R2 Process

The Center has approached the current R2 process as an opportunity to detail for its stakeholders within USAID how G/DG has allocated its staff time and resources since its establishment, as well as to share its current thinking on where we plan to go in the future. We welcome Agency debate on whether our current approach makes sense, as well as recommendations for the future direction of the Center.

ANNEX A

ANNEX A: G/DG STRATEGIC FRAMEWORK CHART

I. STRATEGIC OBJECTIVES FOR FY 1995

Strategic Objective 1	Strategic Objective 2	Strategic Support Objective: Greater number of citizens benefit from and participate in democratic processes through improved USAID mission programs which result in:
More effective use of information and methodologies by USAID and other international organizations and partners better promotes democracy worldwide	Greater numbers of citizens in selected countries directly benefit from and participate in democratic practices	A. Rule of Law - a greater number of citizens living under legal systems which promote democratic principles and protect human rights; B. Governance - a greater number of citizens living in countries served by transparent and accountable governmental systems; C. Electoral Processes - a greater number of citizens with access to open and participatory political and electoral processes which reflect the will of the electorate; and D. Civil Society - increased effectiveness of citizen interest groups which promote pluralism and contribute to responsive government.
(PROGRAM OUTCOMES OMITTED - SEE STRATEGIC PLAN)		

II. REVISED STRATEGIC OBJECTIVES FOR 1996 R4

SO 1: Rule of Law	SO 2: Governance	SO 3: Elections and Political Processes	SO 4: Civil Society	SSO: To provide technical and intellectual leadership and services in democracy and governance.
Strengthen legal systems which promote democratic principles and project human rights	Increased efforts to make government systems more transparent and accountable	Increases open and participatory elections and political processes which reflect the will of the people	Increased effectiveness of citizens' interest groups to promote pluralism and contribute to responsive government	
(PROGRAM OUTCOMES AND INDICATORS ARE IN ANNEX B)				

ANNEX B

STRATEGIC OBJECTIVE 1: RULE OF LAW

Strengthen legal systems which promote democratic principles and protect human rights.

A. Approach

A series of upheavals throughout the world since 1990 has created a demand for governments to function under a coherent set of uniformly applied laws. For decades, both Eastern Europe and the Soviet Republics of central Asia constituted a single military, authoritarian, economically-closed, and hostile bloc. As late as the 1980's, Latin America and the Caribbean were characterized by dictatorships and military juntas, plagued by both ethnic and political violence, rampant corruption and closed economies. Until 1990, almost all African countries were operating under constitutional frameworks inherited from colonial powers and were ruled primarily as single-party or military states with enormous central power and rampant disregard for both citizen's rights and free-market economies. The legislated racism which dominated Southern Africa was also compounded by both economic controls and labor oppression.

Rule of law (ROL)is fundamental to protecting citizens against the arbitrary use of state authority and the lawless acts of both organizations and individuals. It assures fair and equitable treatment against arbitrary acts of power and guarantees certain rights to all citizens. Without these rights citizens are unable to protect their interests or to freely participate in public debate and overall political process which affects their lives. Internationally recognized human rights standards which provide security of person and property, freedom of speech and movement, equitable treatment to all categories of citizens, and the ability to negotiate in good faith; all lay the foundation for a government which functions under acceptable principles of rule of law. Strengthening the rule of law aids both U.S economic and security interests.

In Latin America, the combination of economic and democratic reforms has reduced the level of conflict in the region, dramatically reducing the flow of refugees into the USA and also into other states in the region. U.S. exports have jumped in response to the demands, resulting in legal reforms which have strengthened the private sector. Since 1990, more than 17 African countries have undergone fundamental constitutional reform resulting in the improved protection of human and civil rights, the formation of political parties, increased independence of the media, and dilution of unbridled central power. Legislatures, the executive branch, civil society groups and courts are moving toward respect for rule of law and operating within the limitations imposed by such a framework. In southern Africa, the end of apartheid and free elections heralded a new era of political freedom, economic reforms and a free labor market. Increased fiscal and political security in the region also results in a decrease of US military investment.

G/DG accomplishes its Strategic Objective (SO) through activities which establish effective rule of law programs that directly benefit citizens, and provide greater respect for human rights and more efficient, equitable, and accessible justice systems. Responding to Agency needs and to demands from USAID missions, G/DG provides technical leadership, support to the field missions, and direct program support on the design and implementation of strategies and activities in the rule of law area. Mission support is provided directly through Center staff via TDYs and as virtual team members within missions. Technical leadership is not only exercised through the technical assistance and expertise provided to missions, but also through the support of pilot activities and events aimed at facilitating the exchange of information between and within countries and regions.

G/DG appreciates that ROL activities can be enhanced through a coordination of efforts with other USG agencies. As a result, G/DG has taken the lead in pursuing collaborative efforts. Such efforts are underway with the Department of State, the Department of Justice and the Federal Judiciary. These programs utilize several aspects of the USG to strengthen respect and development of the rule of law globally.

B. Intermediate Results, Areas of Focus and Indicators

While also working to strengthen the administration of justice and develop respect for the rule of law at a regional, national and local level, G/DG's work is primarily aimed at improving USAID's ability to help developing countries strengthen their justice systems, make them more accessible and enhance their protection of basic human rights.

To achieve the strategic objective, G/DG efforts are aimed at broad focus areas of the rule of law which represent indicators of progress toward the overall SO. It is important to note that indicators for the SO and the over-arching intermediate result are in the process of being redesigned, given the change in the strategic framework structure.

Indicators to measure progress include:

- Strengthening legal systems through improved administration;
- Enhancing access to justice, including alternative dispute resolution;
- Developing stronger legal and judicial structures through structural reforms; and
- Coalition and constituency building by increasing citizens' pressure for conformity with international human rights standards.

Intermediate results, which represent G/DG's contribution to the achievement of the strategic objective include:

- assisting missions to improve their ROL programming;
- conducting assessments to identify needs;
- developing workable models for rule of law (and its sub-sectoral areas) strategies/programs for mission adoption and implementation;
- conducting global comparative analysis and exchange of ideas to identify more effective methodologies; and
- establishing effective G/DG mechanisms for intermediate customers.

C. Progress

G/DG has worked toward its SO in Rule of Law through various activities. Through a contract with the National Center for State Courts, G/DG has trained hundreds of attorneys and judges throughout LAC in areas such as judicial reform, alternative dispute resolution, case tracking and management, oral processes and court delay reduction. In addition, G/DG has provided technical support for strategy development in a myriad of countries. Finally, G/DG continues to stay at the forefront of ROL activities by conducting research and disseminating information in areas such as children's rights, alternative dispute resolution, and oral processes. Overall, ROL implementation has been hampered by chronic staff shortages.

Technical Leadership

A strategic framework for ROL priorities and programming has been developed based on an evaluation of Agency ROL programs to date. The framework is a valuable tool for field officers and missions when determining what specific ROL strategy to adopt. Many missions are not aware of the framework or don't have the specific technical expertise to apply the principles of the framework. The Center is transferring knowledge and know how from research results to practice by providing technical advice and training to many missions in determining ROL strategy and program priorities.

In the last year, G/DG has also made progress in furthering its technical leadership objectives through various mechanisms including:

- G/DG supported the ROL Clearinghouse, a bimonthly newsletter which describes ROL development activities throughout Latin America. This publication makes

accessible to both private and government organizations, information on judicial reform and the establishment of more efficient and equitable judicial systems.

- The Center sponsored and organized the Conference of Supreme Courts of the Americas held in October 1995 he Summit of the Chief Justices of the Americas, working with USAID/LAC, the Federal Judicial Center, and the State Department. The judicial summit brought together Supreme Court Justices throughout the Western Hemisphere to discuss key issues confronting justice systems and to determine means for further developing the judiciary throughout the region.

- G/DG sponsored a round table with U.S. human rights groups to explore possible programming options for more effective USAID work in this critical area. G/DG actively participated in BHR/OTI and PPC sponsored review of human rights monitoring.

- G/DG issued a policy paper on police training which reviews police training programs that the Agency is currently supporting, and establishes future policy directions.

- G/DG collaborated with PHN on a statement on children's rights for a follow up meeting to the Summit of the Americas.

Field Support

While there is tremendous experience in AOJ programming from Latin America, ROL programs require further development and the sharing of information across regions. As a consequence, G/DG is attempting to educate democracy officers as well as enhance field mission through its efforts.

In light of the overall Center emphasis on support to the field, G/DG has provided technical support for a number of field-based rule of law programs. Center personnel travelled to a number of missions to assess needs and provide advice in the ROL area as well as worked as virtual team members of several missions.

- Through its mechanisms, G/DG provided ROL assistance to missions included Mongolia, Ethiopia, Malawi, Chile, the Dominican Republic, Colombia, Cambodia and West Bank/Gaza.

- In West Bank/Gaza, for example, in addition to providing an assessment of ROL needs, G/DG also financed a pilot training program for court personnel.

- In Brazil, Haiti, Honduras, Paraguay, Peru, Dominican Republic, and Rwanda,

Center personnel advised missions on the development of ROL strategies and program activities.

- In Egypt, the G/DG Senior Advisor for ROL participated in

USAID/Cairo's technical review panel for their new ROL program, providing additional advice and guidance to the mission upon her return.

- Center personnel worked with the mission in El Salvador to develop ROL indicators.

- In Guatemala, Bolivia, Dominican Republic, and Peru, G/DG personnel worked with missions to develop programming and strategies to address the lack of political will and human rights abuses.

- The information unit consolidated lessons learned from the Argentina program on Alternative Dispute Resolution and disseminated it to DG Officers globally.

D. Program Management Activities

Because the new global ROL IQCs are not yet in place, the results achieved in the rule of law area have been through the inherited project mechanisms, which are geographically constrained and limited by PACD and financial ceilings.

G/DG is applying lessons learned in one region to other regions in an attempt utilize past USAID experience effectively.

- Throughout Latin America, the Center has worked with missions utilizing the National Center for State Courts contract to provide training and technical leadership on major themes and trends in the rule of law. Issues addressed include preventive detention, legal assistance to the poor, procedural reform, alternative dispute resolution, and human rights.

- In order to address the growing needs within Africa the G/DG's grant to the International Development Law Institute (IDLI) managed a Governance Series to train African legal advisors and lawyers. Topics include environmental law, legal aspects of transparency and local government law. Nineteen participants from four African countries have participated in IDLI's training programs.

- Center programming activities also attempt to develop new models for addressing human rights abuses. The Center manages a grant to the Center for Victims of Torture (VOT)in Turkey for a pilot activity to strengthen the community of

professionals willing to promote the adoption of international standards for the humane treatment of detainees. VOT is in the process of training doctors and mental health professionals to recognize, treat, and report cases of pre-trial torture in Turkey.

E. Issues Affecting Women and Disadvantaged Groups

G/DG is committed to ensuring that its activities promote the rights of women and other disadvantaged groups within society. Several G/DG ROL activities work to improve access to justice for women, minorities and the poor. These include conventional mechanisms like the creation of public defense services and privately sponsored legal assistance programs, and the introduction of alternative dispute resolution (ADR) programs, some of which may draw on traditional or informal conciliation practices. In addition to its direct role in expanding access, ADR may also have an indirect influence, by reducing the workload on formal institutions. In this sense, programs may also incorporate elite as well as non-elite and minority groups.

- The *First Global Rule of Law Conference* focused on addressing issues affecting women and identifying implementation strategies for improving legal aid and assistance to women. For most activities, the role of women and the constraints on their participation are automatically identified within the program strategy.

- The lessons learned conference, to be held in May, will attempt to identify additional methods for increasing the participation of women in the judicial sector and for increasing access to legal services by women, minorities and the poor.

F. Partnering with other USG Agencies

Efforts to enhance the Center's technical capacity in a cost effective manner include agreements with other U.S. government agencies such as the federal judiciary and the Department of Justice.

- In late 1995, the Center established an InterAgency Agreement(IAA) with the Federal Judicial Conference of the Federal Judicial Center. The FJC coordinates a program to bring judges to the United States to receive intensive training which will improve their efficiency and raise the professional standard of judges.

- G/DG recently entered into a Participating Agency Services Agreement (PASA) with the Office of Professional Development and Training of the Criminal Division, US Department of Justice (DOJ/OPDAT). Under this program, the DG Center will have access to the pool of DOJ experts to strengthen work with DOJ to improve and develop justice systems and justice sector institutions as well as to strengthen their

administration and expand accessibility. DOJ/OPDAT will focus primarily on assistance to strengthen prosecutorial and investigative functions. Activities will include technical assessments and assistance, project design and policy recommendations.

G. Expected Progress in FY 97 and 98

The DG Center will expand its efforts to achieve the ROL strategic objective in FY 96 and through FYs 1997 and 1998. G/DG will continue to develop its in-house capacity to quickly respond to requests from the field. One method used will be the systematic compilation of lessons learned throughout the world. Particular emphasis will be given to assessing best practices in LAC, where USAID has the most experience in the ROL area. A Judicial Reform Roundtable with the participation of senior reform leaders from throughout the region is planned for mid-May, with observers from 6-8 other countries in attendance. In addition, conclusions for future ROL programming will be drawn from the April 1996 lessons learned conference in South Africa.

The Center also intends to increase its overall knowledge and in-house capacity in the ROL area by initiating several assessments, reviews and analyses. In conjunction with the field missions, G/DG will undertake expanded trend analyses in the various subregions of the world. The analyses will identify country-specific windows of opportunity for effective and prompt ROL interventions. G/DG will conduct a comparative analyses of legal reform initiatives, delay reduction techniques and public defender programs on a global basis. Specific attention will be given to countries outside LAC and ENI regions where, presently, the bulk of the investment has taken place. These analyses will help determine trends in judicial reform as well as political constraints.

A ROL Democracy Fellow has joined the Center who will offer research and technical assistance. As part of this fellowship, specific focus will be given to the development of lessons learned from Latin America Administration of Justice programs. Topics addressed with include Public Defense programs, code revision, judicial training, court administration, prosecution,legal education, judicial councils and commissions and political will. In addition, the fellow will review regional and cross-regional trends and problems and develop a database of information relating to ROL.

To attain the goals of its technical leadership and field support plan, G/DG will:

- initiate a country-level legal systems assessment methodology and checklist which identifies problems and issues in need of reform;

- review countries with alternative dispute resolution programs to identify models for court-annexed and community-based ADR systems;

- commence an analysis of case tracking and case management systems to make recommendations on standard approaches and methodologies; and

- A Democracy Fellow has recently joined G/DG and will focus on rule of law. She will be working to provide technical assistance to missions in developing ROL strategies and program priorities.

SO 1 Rule of Law

STRATEGIC OBJECTIVE
Strengthen Legal Systems Which Promote Democratic Prinicipies and Protect Human Rights

SO INDICATOR

Strengthened legal and constitutional systems through improved administration of justice.

SO INDICATOR

Enhanced access to justice, including alternative dispute resolution.

SO INDICATOR

Stronger legal and judicial administrative structures through structural reforms.

SO INDICATOR

Increased citizen pressure for conformity with international human rights standards.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

1. Assist missions to improve their ROL programming.
2. Conduct assessments to identify needs of missions and ultimate customers.
3. Develop workable ROL models, strategies, and programs for mission adoption and implementation.
4. Conduct global comparative analyses and the exchange of ideas to identify more effective methodologies.
5. Establish effective G/DG mechanisms for intermediate customers.

STRATEGIC OBJECTIVE 2: GOVERNANCE

Strengthen systems to make governmental institutions more transparent and accountable.

A. Approach

The rapid worldwide transition to democracy over the past decade has laid the groundwork for raising, often for the first time, the issue of the quality and cost-effectiveness of government services. Demands for more efficient, less corrupt, and more transparent government services have grown dramatically with the emergence of rival political parties, wider media coverage, and more active participation of citizens, a process which begins with the first freely-cast ballot.

Democratic governance is a partnership between state and society in the management of public affairs. The behavior of formal state actors can support or undermine developmental and democratic processes. Consulting broadly to ascertain citizen interests, sharing information and acting in an open manner, diffusing power by sharing decision-making with local governmental entities (and with citizens by increasing the space for self-governance), respecting ethical standards, and strengthening performance all help to ensure that government decision making is impartial and informed and that follow up implementation is competent. Such behavior supports the long-term sustainability of political institutions and people's confidence in democratic principles.

Governance is already a component in the structural adjustment programs of several donor institutions, including the World Bank and International Monetary Fund. Many macro-economic adjustments require decentralization of government institutions as well as greater transparency and accountability. At the same time, leaders of emerging democracies often encounter tensions between short and long-term strategies for altering the economic and political structure. Short-term changes tend to provide a facade of democratic transition through minimal sacrifice, but do not address many underlying problems. On the other hand, long-term programs which systemically transform autocratic systems into democratic ones require immediate sacrifices, which are not desirable to governments seeking re-election. Often, structural adjustment programs state broad policy definitions of what governments should do without offering concrete, practical implementation strategies or guidance in reaching the desired systemic changes.

The Center for Democracy and Governance (G/DG) provides technical leadership, field support and direct project management in order to achieve the governance strategic objective. The main focus of G/DG's efforts is to improve USAID's ability to help countries develop systems which are more transparent and accountable. More specifically, the governance team within G/DG provides support to missions through assisting in the

development and review of country strategies, indicators and results packages; sponsoring presentations, seminars, workshops on key governance topics of interest to DG officers and the broader DG professional community; and through pre-positioning outside expertise through the development of and advice in utilizing those mechanisms.

Additionally, the governance team is responsible for compiling regional/country specific lessons learned or best practices for global cross-fertilization and for global trend analysis on governance issues.

G/DG collaborates with other parts of USAID, including PPC, CDIE, OTI and regional bureaus on topics of mutual interest, and has e.g., participation on special task forces, (Bosnia and Haiti) as well as agency initiatives such as the New Partnership Initiative. In addition, G/DG works closely with multilateral organizations active in the governance area including the OECD, World Bank, IDB and others.

B. Intermediate Results, Areas of Focus and Indicators

While also working to strengthen the ability of public organizations to design and implement democratic governance programs, G/DG's work is primarily aimed at improving USAID's ability to help developing nations establish systems which are more transparent and accountable.

To achieve the strategic objective, G/DG efforts are aimed at broad focus areas of governance which represent indicators of progress towards the overall SO. It is important to note that indicators for the SO and the over-arching intermediate result are in the process of being redesigned, given the change in the strategic framework structure.

Indicators to measure progress include:

- improving the accountability , effectiveness and transparency of governmental institutions;

- increasing the effectiveness and representation of deliberative bodies such as legislatures and local councils;

- developing procedures to increase public access to information and promoting public participation in government decision making; and

- developing models for more civilian control of the military through improved civil military relations.

Intermediate results, which represent G/DG's contribution to the achievement of the strategic objective include:

- conducting assessments to identify needs and current governmental practices in selected governance areas;

- developing workable models for governance (and sub-sectoral areas) strategies/programs for mission adoption and implementation; and

- conducting global comparative analysis and facilitate exchange of ideas to identify lessons learned, develop more effective methodologies and achieve cross border impact.

C. Progress

G/DG has achieved significant results which contribute towards the achievement of the overall strategic objective, through the provision of technical expertise through the IPC project which has led to both innovative models of public and private cooperation, as well providing support to field missions. Similarly, G/DG has achieved results in both technical leadership and field support with its work with USAID/Bolivia to organize a regional legislative strengthening conference.

Technical Leadership

Transitions to a more democratic society often leave local institutions in disarray, without adequate capability to address the needs within a society. The key is to enable governmental systems to be effective in addressing those needs, while avoiding the potential for the newly elected governments to become highly centralized and insulated. While many USAID missions have programs that have addressed various aspects of the governance strategic objective, the Agency needs an overall framework for improving governance which will make our programming approaches more effective. G/DG technical leadership is aimed at analyzing lessons learned, and developing innovative approaches for developing more transparent and accountable systems.

- In collaboration with CDIE, G/DG staff conducted a five-country impact study (Philippines, El Salvador, Nepal, Bolivia and Poland) on legislative strengthening programs. The Center and USAID/Bolivia co-sponsored the first international conference on legislative modernization attended by representatives of 12 nations, providing a networking opportunity which generated new international collaborative efforts guiding legislative development. The outcome of these initiatives will be a set of lessons learned, and a policy framework to strengthen donor efforts to produce

results in legislative strengthening programs.

- G/DG staff participated actively in the development and implementation of USAID's New Partnership Initiative, playing a lead role in defining the democratic local governance component. G/DG will work closely with the new NPI LEM's in implementing the NPI approach.

- G/DG staff collaborated with CDIE in the initial states of the ongoing impact study on decentralization.

- G/DG staff, in collaboration with PPC, participated in the OECD/DAC's anti-corruption efforts. Those efforts recently culminated in the OECD recommendation that all member states eliminate tax deductions for bribes paid in the course of foreign business transactions.

Technical leadership and field support activities have been merged in many instances. New approaches, models and techniques are identified and then disseminated through field support.

- Over the past year, through its Implementing Policy Change project, G/DG assisted in the establishment of protocols among 11 countries for developing and linking transportation and communication networks in Southern Africa. In West Africa, this assistance enabled entrepreneurs to influence government policy regarding tax reform (in Mali), privatization and investment codes (in Ghana) and capitalization regulations (in Senegal). Through the establishment and functioning of a Policy Analysis and Implementation Unit within the Executive Branch, Honduras's Economic Cabinet improved policy-making and implementation of government reform programs.

Field Support

Often missions may understand their goals in areas such as legislative development and decentralization, but are in need of assistance to locate adequate means and mechanisms to reach them. Center staff have supported mission efforts in the governance area through staff TDY's as well as electronic assistance as virtual team members.

G/DG is particularly active through mission partnerships in the decentralization area, including in Mozambique, Philippines, Paraguay, and Haiti. More specifically,

- The Philippines has undertaken one of the most far reaching and ambitious decentralization programs. USAID's efforts to improve public administration capabilities of local governments there have resulted in an 80 percent increase in

local revenue collection.

- In Mozambique, Center field support resulted in the furtherance of a nascent decentralization program. Assistance fostered examination and debate by government and civil society organizations at all levels on proposed decentralization.

- In the Philippines, G/DG worked with the mission to develop a monitoring system for tracking decentralization progress in key local government units.

Program Management

In addition to Center staff support, Center mechanisms, including the Implementing Policy Change project provided valuable services and expertise. In South Africa, DG Center field support assistance resulted in the incorporation of strategic management concepts into the government of South Africa's Northwest Province. In addition, G/DG and USAID/Pretoria conducted a host country-USAID collaborative assessment of democracy and governance to analyze the South Africa mission's new strategy. In Ethiopia, the new parliament adopted recommendations from G/DG's technical assistance team in establishing their committee structure and operational procedures.

Transitions through multiparty elections tends to occur fairly rapidly. As a result, the need emerges for quick response and expertise to work with new legislative and executive branches. The bureaucratic process for obtaining expertise can overburden a mission, delaying mission services to our ultimate customers. G/DG is currently issuing a new mechanism which will reduce bureaucratic constraints placed on missions by establishing a "buy in" mechanism which will allow missions to quickly access technical expertise in several aspects of the governance field.

G/DG manages innovative programs which work on a regional or global basis as well as programs to reduce bureaucratic constraints placed on missions.

- G/DG supports a new NGO (Transparency International) initiative which resulted in the establishment of anti-corruption advocacy groups in approximately forty countries worldwide, the development of the first international "corruption index" and a national integrity blueprint, i.e., a plan of action for non-governmental organizations interested in public accountability.

Redefining the military's role is ensuring its subordination to civilian authority is vital to sustainable democracy.

- Under the Civil Military Relations grant, the Center has worked in Latin America and made progress in reducing military prerogatives and in increasing military professionalism. In particular, G/DG has worked with missions in Paraguay and

Ecuador to conduct a series of seminars and round tables between civilians and the military and conducted an assessment of the state of civil-military relations in Guatemala.

• In collaboration with AFR/SD, G/DG sponsored a four country (Mali, Zambia, Niger, and Guinea Bissau) workshop on operating procedures related to the day to day functioning of a Chief Executive's Office in a democracy.

D. Expected Progress in FY 97 and 98

G/DG will continue to work towards the governance strategic objective focusing on decentralization, public administration and corruption, public policy implementation, civil military relations, legislative strengthening, and increased public participation in the legislative process.

We expect to be able to assist more missions through the new mechanisms which will be in place within a month. /DG will increase collaboration with PPC/CDIE, G/EG, G/ENV, and BHR, in its work with other donors. Finally, the Center will incorporate lessons from these sources in its technical assistance and back stopping especially in USAID priority countries. Planned technical leadership results include:

• **Decentralization.** By the end of FY 96, principles for decentralization and local governance will be identified and made available for field comment and application. By the end of FY 97, the Center will have developed models for the devolution/decentralization of resources/authority and will develop a series of prototypes that illustrate how incentives can be used to encourage the devolution of central authority to local/regional governments. During FY 97 and 98, those principles incorporated into mission programming will be monitored to identify potential lessons and additional strategies.

• **Anti-Corruption.** In the anti-corruption field, the DG Center will take an increasingly active role. The governance team will conduct a comprehensive analysis of alternative models for fighting corruption and evaluate field use of those models. By the end of FY 96, G/DG will identify and disseminate formation on at least three anti-corruption models for mission use. In addition, by the end of FY 97, three countries will be targeted for assistance in applying G/DG anti-corruption models. By the end of FY 98, these models, together with assessments of how they were applied, will be disseminated globally.

• **Public Participation in Decision making.** By the end of FY 97, an analysis of government practices will review constraints, opportunities, experiences and possible approaches for: increasing the scope and frequency of public hearings; establishing procedures for the recall of elected officials; repealing legislation; and holding mandatory

reviews of government actions. By mid FY 98, this analysis will have resulted in the development of a practical methodology for increasing public participation. By the end of FY 98, these reform strategies will have been integrated into a multi-country NGO-based south-to-south assistance program.

• **Legislative Strengthening.** By the end of FY 97, the Center and its partners will have identified a series of models for strengthening the effectiveness and accountability of legislative bodies and will have provided these models to legislatures and their stake holders in USAID countries with governance programs. In FY 98, additional analysis and field input which further refine these models will be available to field missions globally. And, finally, in legislative strengthening, depending on the outcome of a 1996 feasibility study, the Center will initiate a global interactive internet network for legislators and providers of assistance for legislatures in FY 97.

• **Civil Military Relations.** By the end of FY 97, the Center will have developed a new mechanism to expand its activities in Civil Military Relations to facilitate the adoption of LACs successful civilian-military dialogue and research. It will also work in additional areas such as Constitutional and Legal Frameworks involving civilian legal control and oversight over the military in the transition and consolidation of democracy, expanded Civilian Military Expertise and to increase the Agency's ability to work on long term demobilization and re-integration initiatives.

SO 2 Governance

STRATEGIC OBJECTIVE
Strengthen systems to make governmental institutions more transparent and accountable.

SO INDICATOR
Improved accountability, effectiveness and transparency of governmental institutions.

SO INDICATOR
Increased effectiveness and representation of deliberative bodies such as legislatures and local councils.

SO INDICATOR
Increased public access to information and public participation in government decision making.

SO INDICATOR
Established models for civilian control of the military through improved civil-military relations.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

1. Conduct assessments to identify needs and current governmental practices in selected governance areas.
2. Develop workable Governance models, strategies and programs for mission adoption and implementation.
3. Conduct global comparative analyses and facilitate exchange of ideas to identify lessons learned develop more effective methodologies, and achieve cross-border impact.
4. Establish effective G/DG mechanisms for intermediate customers.

STRATEGIC OBJECTIVE 3: ELECTIONS AND POLITICAL PROCESSES

Increased open and participatory elections and political processes which reflect the will of the people.

A. Approach

Free and fair elections form the cornerstone of a functioning democracy. When elections are manipulated, poorly managed, or held only after lengthy and unpredictable intervals, participation, competition, and the will of citizens are all compromised. USAID plays an important role in helping to ensure free and fair electoral contests around the world.

USAID's programming for electoral assistance is provided as part of overall international donor assistance. USAID's support for electoral reform and processes leading to more genuine and competitive elections has been substantial. USAID is also supporting NGOs which positively influence the electoral framework and conduct of elections. Voter education programs continue to be important areas of support. A unique focus of USAID's electoral assistance is developing the local capacity to monitor elections.

More active and effective political parties increase the vitality of competition and give citizens greater choices. USAID provides support for strengthening political parties.

G/DG's approach to elections has included three basic approaches: 1) consolidating and disseminate lessons learned on both a regional and global basis through networking and information sharing; 2) providing technical expertise and assistance to missions and bureaus both through Center staff expertise and through designing and positioning assistance instruments which USAID Missions can access; and 3) providing specific services/activities directly in-country - including in non-USAID presence countries - to ensure open, participatory elections.

While providing a strong technical leadership component, G/DG's strategic objective in elections, similar to the labor portion of the G/DG portfolio has a direct impact on democratic conditions within a country. G/DG funds programs ensure broad participation in elections resulting in outcomes which are accepted by the voters and the international community alike.

B. Intermediate Results, Areas of Focus and Indicators

While also working to strengthen the ability of public organizations to design and implement democratic governance programs, G/DG's work is primarily aimed at improving USAID's ability to assess and assist in the electoral process through a combination of support to USAID mission programs, administering programs which function independently of

organized USAID presence in transition situations, and by providing technical leadership.

To achieve the strategic objective, G/DG efforts are aimed at broad focus areas of elections which represent indicators of progress towards the overall SO. It is important to note that indicators for the SO and the over-arching intermediate result are in the process of being redesigned, given the change in the strategic framework structure.

Indicators to measure progress include:

- improved electoral administration, including the establishment of a legal electoral framework that is fair, open, and encourages participation by all elements of society;
- political processes which are free, and include political parties which represent the various constituencies, sector issues and ideologies in specific societies;
- increase citizen knowledge and awareness of electoral and political processes
- increased citizen ability to monitor elections

Intermediate results, which represent G/DG's contribution towards the overall strategic objective include:

- training, technical advice and commodities provided to improve electoral administration, including assistance to independent electoral commissions
- training and capacity building for political parties
- voter and civic education programs
- training and capacity building for monitoring efforts

In addition, G/DG also contributes to the strategic objective through additional intermediate results:

- conduct assessments to identify needs and current practices in elections
- develop and disseminate appropriate strategies, models, methodologies and indicators;
- conduct global comparative analysis and facilitate the exchange of ideas to identify lessons learned, develop more effective methodologies and achieve cross border impact.

C. Progress

G/DG has achieved significant results which contribute towards the achievement of the overall strategic objective through the management of programs which have a direct impact in country. In addition, training of electoral commissions and political parties works to ultimately increase citizen participation in the political and governmental processes.

Technical Leadership

G/DG provided technical leadership to help achieve results in the following areas:

• **Improved electoral administration.** Symposia for African, ENI and Trilateral (Mexican-US-Canadian) election officials helped professionalize election administration by supporting the development of professional associations that allow for regional networking. As a result of the African symposium, several election commissions made their procedures more transparent and began collaborating with local nongovernmental organizations. Following two Trilateral meetings, the Mexican Insituto Federale Electorale (IFE) revised its reporting procedures and became totally autonomous and independent from the government.

• **Freer and more inclusive political processes and political parties.** G/DG has initiated a study of the Agency's policy and programs regarding assistance to political parties. Issues identified and shared with missions/bureaus to date include: the dilemma of process versus outcome; leveling the playing field versus a totally nonpartisan approach; reticence to provide assistance which the host government might view as confrontational. Raising awareness of these issues and the importance, nonetheless, of assisting parties to participate in elections helps_missions better assess and design programs to ensure a fair election.

• **Development and dissemination of appropriate strategies, models, methodologies and indicators.**

• Publication and distribution to all DG officers of an original manual entitled, Managing Democratic Electoral Assistance, helped missions do advance planning for elections rather than event driven, last minute programs. Several missions for the first time focused on elections law reforms and domestic election monitoring training activities rather than relying on large, costly, nonsustainable international election observations.

• G/DG developed a series of studies to improve USAID programming, including Improving State/Aid Cooperation in Democracy Programs, Elements and Institutions of the Electoral Process That Contribute to Sustainable Democracy, Selected Lessons Learned in the Pre-, Post- and Electoral Period (list), and Gender and Democracy Assistance: Elections, Political Parties and Civic Education. Broader dissemination

is planned; however, several missions have already used the Gender and Democracy Assistance study to design programs which give greater opportunities for women to participate in the political process.

• Round tables on West Bank/Gaza and Haitian elections distilled crosscutting lessons learned which are being disseminated to missions globally. Lessons learned regarding ownership of the process and the need for political party participation in all phases of election administration helped shape the election process in Bosnia.

• G/DG supports the IFES Resource Center in Washington, which has one of the best collection of election materials in the world, including an international data bank, sample ballots, manuals, reports and legal codes. This outstanding resource has been used by literally thousands of organizations and individuals, including election commissions, foreign governments, embassies, international media, universities, other donors, and USAID offices and Missions. For example, sample electoral laws from the Center were used to craft the model law used in the Dayton Accords; the Center encouraged the Bagladesh election commission to host foreign observers by providing them a "checklist" of activities and services; Ukraine's election commission modeled their voter public service announcement directly on samples sent by the Center; the Center has provided numerous elections commissions throughout Africa with sample ballots which have aided them to design fair, practical and economic ballots.

Field Support

Through Center staff and access to its mechanisms, G/DG provided expertise in support of missions' strategic planning, project design and implementation in the following areas of elections. A growing number of USAID missions and embassies in countries have requested G/DG technical assistance in the elections area, including e.g., Cambodia, Kenya, the Gambia, Zaire and Uganda. The following results have been achieved by USAID missions, through G/DG mechanisms:

Improved election administration.

• USAID missions conducted pre-election assessments in Haiti, Bangladesh, Brazil, Colombia, Honduras, Guatemala, Jamaica, Cote d'Ivoire, Uganda, Cambodia, the Philippines, Peru and Venezuela which were instrumental in determining the steps necessary to prepare the governments, citizens' groups, the media and political parties to ensure that meaningful elections occurred. A pre-election assessment in the Philippines encouraged the election commission to restructure vote tabulation procedures for greater transparency and speed. Recommendations from a pre-election assessment in Peru created a permanent election commission, replacing a costly, inefficient system which started from scratch for each election. Following a pre-

election assessment in Jamaica, the government contracted with IFES to implement a new, tamper-proof electronic voting system.

• The Haitian USAID mission assisted the electoral commission to train poll workers and watchers, develop election training materials, secure ballots and other supplies. The training of Haitian election commission members and technical assistance provided in logistical planning and training of poll workers was key to the success of recent legislative and presidential elections.

• In Nepal, a report prepared under a G/DG mechanism for the mission,detailed many instances of fraud and intimidation in the 1994 election. This report was used to correct and deter such behavior in the subsequent election, which was deemed a success.

• The mission in Benin provided ballot box seals and indelible ink to prevent double voting. These commodities were key to combatting electoral fraud.

• The missions in WestBank/Gaza, Romania and Haiti provided assistance in drafting electoral laws which insured a more fair process and encouraged all the parties to participate.

• In 1995 and early 1996, the Nicaraguan mission provided assistance to the Nicaraguan Supreme Electoral Council to procure computer hardware, contract with information specialists and develop a permanent voter registry. In connection with this work, over 650,000 voter identification cards were requested, and it is now estimated that more than 50% of the registered voters in Nicaraguanmunicipalities with a permanent registry will have been issued voter ID cards before the new election scheduled for October, 1996.

• Voter education programs increase citizen knowledge and awareness.

• Through G/DG mechanisms, the field mission supported voter education in Romania. A new indigenous NGO which trains trainers, and monitors human rights and elections, was established and is now functioning independently and effectively.

• In Venezuela, through a G/DG activity, the mission helped sponsor an extensive voter education program. Over 100 local civic leaders were trained how to educate new voters and produce appropriate motivational materials (posters, pamphlets, etc.) in preparation for the elections of December, 1995. This sustainable capacity building ensured a high voter turnout for election.

• In West Bank/Gaza, G/DG assistance allowed the mission to support two IFES-

run Resource Centers which conducted continuing programs of voter and civic education, leading up to the successful Local Council elections held in January, 1996. Center programs included "Vote Simulation Workshops" in 450 locations throughout the West Bank/Gaza, which apprised voters of their rights, encouraged a large voter turnout, and reduced the numbers of spoiled ballots. Education programs in the WestBank/Gaza also reached women's and disadvantaged groups who otherwise would not have participated in the electoral process.

• **Training and capacity building program increase citizens' ability to monitor elections:**

• G/DG assistance provided a vehicle for the mission to train local groups to monitor their elections in Mexico, Peru, Ecuador, and Croatia. These groups helped insure fairness and developed valuable skills which will be essential to fair elections in the future.

• G/DG assistance provided the means for the mission in the Dominican Republic to bring international monitors in-country to observe preparations for the May elections. International observers are working closely with local groups to keep the process transparent and fair through periodic reporting.

<u>Direct Program Impact in Specific Countries</u>

The following results are illustrative of the results that have been achieved through G/DG funded programs, which also contribute to the achievement of results by USAID missions, particularly in Africa through the AREAF program.

• **Improved electoral administration.** In response to a government of Mali request, G/DG is currently funding an evaluation of the electoral system of Mali, offering recommendations for electoral law reform and suggesting the means by which to implement changes. This AREAF activity is assisting the Malian government in its effort to institute an independent election commission to administer national elections in December, 1996. This timely intervention is helping to promote open and transparent elections which will serve to advance the democratization process in Mali.

• **Voter/civic education programs increase citizen knowledge and awareness.**

• In preparation for the March 3, 1996 Presidential elections (and the March 18, second round run-off elections,) G/DG funded a civic education program and a training program to assist new electoral staff in electoral preparations. Through AREAF, AAI coordinated an extensive civic education training of trainers program for over 170 civil society representatives in 14 sub-provinces. The Beninese trainers

then conducted seminars for other officials increasing their knowledge of the electoral code, election day procedures and the role of non-partisan election observers. These seminars provided participants with the materials and knowledge necessary to conduct future sessions and made a direct impact on hundreds of Beninese citizens through the training network.

• G/DG funded AREAF technical assistance to the National Electoral Commission of Cape Verde to aid their effort to increase voter turnout through voter education. The CNE needed to embark immediately on an intensive and massive voter education campaign to assure that enough voters participated in the Presidential elections to make them valid. With AAI technical assistance, two all-out weekend media blitzes were organized that served to educate the population to the urgency of voter participation and turn-out proved to be close to 40% contrasted to initial CNE predictions of 20%. The President of the Electoral Commission later noted that the work of the AAI team had been invaluable to the conduct of effective elections in Cape Verde.

• **Freer and more inclusive political processes and political parties.** With a $70,000 G/DG grant, AREAF and IRI assisted the League of Kenya Women Voters in FY 95 to enhance the League's capability to effectively operate its headquarters and conduct successful outreach programs. The program was effective in encouraging women of all races and classes to take an active role in politics; 2) also sensitized society on gender-related issues, especially cultural practices that hinder women's development; 3) and served to enhance women's awareness of human rights.

• **Training and capacity building programs increase citizens' ability to monitor elections.**

• G/DG conducted two direct assistance programs in Sierra Leone. G/DG staff led an AID/State delegation in assessing the environment for free and fair elections in Sierra Leone in 1995. The delegation's recommendations for technical assistance to the election commission, training for local monitors and international observation contributed to the efficient administration of elections and the openness of the process.

• Through AREAF, USAID sponsored an election observation mission in 1996 for the presidential and legislative elections. Citizen participation in the electoral process was supported through training of election monitors. Trained monitors were then deployed in cooperation with local NGOs. The presence of international monitors had a critical effect in enabling domestic observers to observe these crucial elections, thereby promoting people's confidence in this electoral process. Thus, USAID assistance contributed to the military government's willingness to hold to the electoral calendar and proceed with a process that led to the transfer of power to an elected

civilian government.

• Using the AREAF mechanism, G/DG funded a comprehensive elections assistance program that included domestic election observation training and deployment. USAID sought to strengthen public confidence in future elections by resolving problems observed during the 1995 elections. Domestic observers were trained by AAI and the local monitoring consortium, Observatoire National pour les Elections (ONE). The Ivorian government showed a great deal of reluctance to allow domestic monitoring but USAID and Embassy support contributed to their eventual approval for training and monitoring. Local observers described themselves as well-prepared for observation and well-received by a public who openly encouraged their presence and role in the elections.

D. Challenges for Future Progress

In the past two years, USAID has made substantial progress in promoting the administration of free and fair elections and continues to be on the cutting edge of support for elections worldwide. However, further progress in this field has been hampered by several factors: (1) Lack of planning continues to be the chief impediment to effective electoral assistance. Elections take time to plan, and many governments fail to assess realistically all the ingredients required for a free, fair and effective process. Only advance planning and cooperation among appropriate groups can ensure that the critical elements of this process are all in place. (2) Unscheduled elections can be called to signal an end to conflict or a change in forms of government. However welcome these opportunities for a return to democracy may be, their urgency precludes thoughtful planning and severely limits options for sustainable assistance. (3) Providing technical assistance in elections which are fatally flawed in other respects must be reexamined. In situations where a key element is missing, such as a genuine contest among political parties or freedom of the press, experience has shown that technical and administrative assistance to election commissions is often ineffective. (4) Conflicts with other USG agencies or other donors over strategies and the means to assist elections can result in ineffective, nonsustainable programming. Often missions are interested in developing political parties or training domestic monitors and are hampered in these efforts by those who wish to take a less confrontational tact, such as providing commodities or technical assistance, or by Embassies who fall back on large, high-profile international observer delegations.

G/DG's new mechanisms and the development of new models and strategies, as described on Section C below, will squarely address all four issues in FY97 and FY98.

E. Gender Issues

G/DG has instituted a cooperative agreement with The Asia Foundation to expand its Asia-Pacific Women in Politics program globally. Other projects, such as the African Regional Elections Assistance Fund (AREAF), have also supported women's political empowerment.

- In Thailand, through G/DG sponsored Asia Foundation's Asia Women in Politics program, political party training was provided to more than 1000 women in five northern provinces before the elections. Two thirds of those trained ran in the elections, and of that 109 women were elected. Thus, the number of women elected to local government increased form an average of 1% of the elections to 14 % afterward.

- Advocacy groups also were strengthened in several countries: in Thailand, a women's political group helped win passage of an equal rights constitutional amendment.

- In Botswana, G/DG, through AREAF, funded a two-step project to promote the political participation of women in Africa. The first step provided for a training workshop for Botswana women in politics. The workshop, organized in conjunction with the Botswana-based NGO, Emang Basadi, was held in Oct 1994, just before the national elections. the second-step consisted of an Africa-wide consultation for women in the political process which was convened May 6-9. The consultation, co-sponsored by AAI, Emang Basadi, UNIFEM and Women in Law and Development in Africa (WILDAF,) provided a forum for women in politics to discuss effective strategies for increasing women's political participation in Africa. To date, three women campaign workshop participants have been elected to the council.

F. Summary

Taken together, these activities form the cornerstone for meeting G/DG's elections SO. The examples do not include myriad responses to questions and requests for information about the electoral process. For a relatively modest investment, USAID is achieving major dividends in establishing practices and procedures that contribute to open elections with increased citizen participation, as well as acceptance and understanding of elections by both the citizenry and the world community as a whole. The speed at which this is happening is also astonishing. Of the 22 countries cited above as examples, at least one-third of them had totalitarian governments and no system of popular elections five years ago.

It is important to keep up this momentum, not only in additional countries preparing for their first open elections, but also to maintain and build on the gains made in those countries that have recently joined the ranks of functioning democracies. It is especially important to reinforce this new and oftentimes fragile process so that it becomes part of the

social contract that citizens are achieving with their respective governments.

G. Expected Progress in FY 1997 and 1998

Through G/DG's two new mechanisms and through use of Center staff, G/DG will advance the state of the art in the elections area. Through close collaboration with our partners, we will ensure that lessons learned globally and regionally are widely disseminated, and that appropriate methodologies are developed and implemented.

As the focal point for technical excellence for all USAID democracy efforts, G/DG and its partners will take the lead in developing useful indicators, performing cogent evaluations, reviewing current policies and practices and widely disseminating resulting manuals and studies. The Democracy Center's global perspective will allow us to monitor, compare and draw lessons from election-related efforts in every region of the world. All this information will be shared with missions, bureaus, partners and professionals in this field.

Specific technical leadership initiatives include:

- **Indicator Development, Application and Testing.** The need for indicators and baselines has become urgent. Not only is G/DG unable to adequately evaluate elections program results without them, but the partners with whom we work have each independently begun to develop unique sets of indicators to measure and report on their own results. In many cases, their indicators are reminiscent of the old "deliverables." To achieve consensus on what results we all wish to achieve and by which indicators we can measure our progress, G/DG will hold a workshop with our partners to share and further indicator and baseline development.

- **Review of Political Party Assistance.** G/DG is well underway at this time a project which: lays the theoretical basis for political party assistance; researches Agency programs and their impact in this field; analyzes problems which have surfaced over the past year or so; and recommends several options for a new, more relevant policy. The thrust of this effort is not only to clarify guidance to missions and our partners who often clash with host governments, local political parties and the US Ambassador; but to underscore to missions the importance of this type of assistance to free and fair elections, and the democratic process overall. A series of roundtables will discuss and develop issues germane to policy development. These roundtables may include our partners when appropriate. The Elections Team will develop and disseminate a manual on political party development which publication will give the rationale and guidelines for assisting political parties.

- **Review of Assistance to Electoral Commissions.** Increasingly G/DG is asked to

provide technical assistance to improve the administration of elections which, for one reason or another, are fatally flawed, e.g., lack of political will to accept the outcome, unlevel playing field. Although the argument that providing some assistance affords us some leverage or makes some inroads into the process is often persuasive, results-driven budgeting and scarce resources dictate a more rigorous approach to determine when technical assistance to electoral commissions is appropriate and what preconditions should exist. G/DG plans to analyze these problems, examining past models to assess the long and short-term impact of technical assistance in a variety of political contexts.

• **Review of Assistance to Local Elections.** Assistance for municipal elections is often requested by missions, the theory being that local elections strengthen decentralization which in turn ensures more power filtering down to the people. G/DG will test these hypotheses to determine whether local elections should receive more resources and in what relation to continued national elections assistance.

• **Elections as Conflict Resolution.** Currently CDIE is developing (with PPC and DG) a proposal for a study on the use of elections as a means to resolve ethnic (and other) conflicts. The premise of this study is that elections will continue to be used as an "exit strategy" by the international community. The objectives will be to: (a) study the experience of USAID and other donors in supporting multi-party elections to promote democracy and reconciliation in post-conflict societies; and (b) develop appropriate policy and operational guidelines. G/DG will contribute to resolving this critical issue.

• **Review of Post-Election Training.** In an effort to bridge the gap between elections assistance and programs which foster good governance, G/DG has encouraged missions to support post-election activities. These currently include roundtables for election participants to discuss the process and plan for the immediate future, training sessions for newly elected leaders, and capacity/resource development. G/DG plans to assess the impact of such activities, and develop model programs to address post-election needs.

• **Update and Reprint of the Elections Manual and Selected Studies.** The Elections Team plans to update the current manual on elections, Managing Democratic Electoral Assistance. This guide, as well as the dozen or so past studies and new studies finished this year will be distributed widely to DG officers and to our partners. The manual is particularly important to advance planning for elections, a chronic problem G/dg is hoping to remedy.

• **Gender Issues.** The G/WIP Partners -- The Asia Foundation, the African-American Institute, AMIDEAST, and Participa (a Chilean NGO) -- plan to

test models and resources in at least one country per region. G/WIP Partners will build pilot programs on models and resources that emerge from a series of regional workshops scheduled to take place in FY 96 in Africa, Latin America and the Middle East. G/WIP will arrange Internet training for participating local organizations before the pilot projects are implemented. To encourage sustainability, some pilot projects will reflect the choices of the local activists themselves; however, Partners also plan to support some of the models that have already proven successful within their regions. An example is the model training program Bangladesh developed by "The Women in Politics" unit of the Center for Analysis and Choice to raise the political awareness of grassroots Bangladeshi women. This training may be adapted to other regions, so that additional other pilot projects can use this curriculum to support similar local work-shops to actively encourage and train women to vote and run for office.

Program Activities and Field Support

Worldwide, as new democracies emerge, consolidate or reemerge from periods of authoritarianism, the demand for elections-related assistance will continue to grow. Two new activities are in place which will enable G/DG and USAID missions to more effectively address the growing demand for electoral and political process support. The two mechanisms are designed to be as comprehensive, flexible and responsive as possible to meet field needs worldwide.

- A cooperative agreement with the Consortium for Elections and Political Processes Strengthening (CEPPS) establishes a unique collaboration and synergy among three major elections partners, the National Democratic Institute for International Affairs (NDI), The International Republican Institute (IRI), and the International Foundation for Electoral Systems (IFES). The purpose of this agreement is to strengthen and support democratic electoral and political processes by providing access to international and regional organizations which offer a full array of activities in this field. The emphasis is on long-term planning and sustainable development of political and electoral processes rather than event-driven, crisis oriented activities centered on a single election.

- G/DG will fund core activities of CEPPS including rapid response assistance, regional and inter-regional networking, development and dissemination of resource materials, and evaluation mechanisms. Missions and regional bureaus may support core activities as well as a full range of pre-, post- and election assistance programs. Accurate, easily accessible and informative materials are a key to successful elections. CEPPS will provide core funds for the development and dissemination of such materials. Examples include election handbooks and manuals, and "how-to" pamphlets which will be rapidly designed and distributed when appropriate. Missions and

regional bureaus will be able to support core activities as well as the full range of pre-, post- and election assistance programs: pre-election assessments, election administration, political party development, voter education, domestic and international observation, and post-election training.

- A tasking order IQC with IFES will permit Missions to access specific and specialized electoral technical assistance anywhere in the world.

- With respect to Women's Programs, G/DG will support the Global Women in Politics (G/WIP) Partners -- The Asia Foundation, the African-American Institute, AMIDEAST, and Participa (a Chilean NGO) to work at a local level in countries with elections scheduled. The purpose will be to increase and strengthen active participation by women in political and electoral processes in selected countries.

Direct Program Impact in Elections

Through the CEPPS mechanism, G/DG will achieve its intermediate results in the electoral administration, voter/civic education, local monitoring and political party training utilizing core funding. In particular, the CEPPS mechanics will be used to provide rapid response in countries where fast-moving political events could out-pace USAID's and other donors' planned programs. For example, if a military government suddenly calls elections, our partners could quickly mobilize to provide crucial advice and assistance. Rapid response activities would include assessments, technical assistance to election commissions, commodity procurement where appropriate, political party development, voter education, training of domestic observers, and post-election training.

SO 3 Elections

STRATEGIC OBJECTIVE
Increased open and participatory elections and political processes which reflect the will of the people

SO INDICATOR
Improved electoral administration, including the establishment of electoral frameworks that encourage citizen participation.

SO INDICATOR
Political processes which are free, and include political parties which represent various constituencies, sector issues and ideologies.

SO INDICATOR
Increased citizen knowledge and awareness of electoral and political processes.

SO INDICATOR
Increased citizen ability to monitor elections.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

Specific Actions Within Identified Countries

1. Provide training, technical advice and commodities to improve electoral administration, including assistance to independent electoral commissions.
2. Provide training and capacity building for political parties.
3. Provide voter and civic education programs.
4. Build capacity for monitoring efforts.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

Gaining Global Knowledge, Experience and Expertise to then Apply Within Identified Countries.

1. Conduct assessments to identify needs and current election practices.
2. Develop and disseminate appropriate strategies, models, methodologies and indicators.
3. Conduct global comparative analyses and facilitate the exchange of ideas to identify lessons learned, develop more effective methodologies and achieve cross-border impact.

STRATEGIC OBJECTIVE 4: CIVIL SOCIETY

Increased effectiveness of citizen interest groups to promote pluralism and contribute to responsive government

A. Approach

While a wave of democratization has swept through the developing world over the past decade, most of the new democracies rest on a very fragile and nascent institutional base. Indeed, political reforms are still needed to deepen and extend democratic practices in order to overcome a legacy of authoritarian rule and a lack of government accountability. A major push and demand for these reforms will have to originate from civil society. Thus, strengthening the organizational capacities of civil society is essential component of the USAID G/DG effort.

A strong civil society is crucial to democracy. Citizen's organizing collectively to accomplish objectives constitutes a vital channel for sharing information and for the formulation and representation of interests. Their collective nature helps ensure that their members' interests are weighed by policy-making bodies. In addition, collective action helps protect individual members from arbitrary and capricious governmental retaliation. Organizations, with their particular political interests, monitor government performance and create strong pressures for accountability. They inculcate democratic values, giving people practice in democratic principles and creating opportunities for new leaders to rise.

One of the most dramatic manifestations of the historic wave of democratic transitions has been the burgeoning number of groups in civil society. Many of these groups are pressing to advance and strengthen democratic reforms. They include, for example, church groups, human rights organizations, labor unions, professional associations, think tanks, business associations and women's rights groups. Some of these groups are emerging as leaders in mastering the skills necessary for successful political advocacy. Their contributions are now being recognized on a regional and worldwide basis as civil society organizations seek their technical assistance.

For decades, USAID work in developing civil society was almost solely as a component of activities for specific sectors. Groups which sought to improve community sanitation, provide access to potable water, supply basic community health care, or provide agricultural or marketing cooperatives were all organized as part of sector strategies. By common design, any mobilization of non-government organizations which would impact directly on the overall political process was tacitly avoided. In recent years, USAID participation in the development of civil society groups has broadened so that building the capacity of civil society to press for political reforms and to participate in policy formulation has become a cornerstone of democracy efforts throughout the world.

The Center for Democracy and Governance (G/DG) has directly contributed to civil society capacity building around the world through developing strategies, methodologies and best practices to be utilized in mission-based programming, developing institutional resources networks, and directly impacting the professionalism and effectiveness of labor unions. G/DG Civil Society team has blended a combination of field support and technical excellence through working as virtual team members, extended TDY's and providing mission support through existing programs while designing new ones.

Labor

Labor is a unique subsector of DG activities. G/DG's partnership with the labor institutes supports free and independent trade unions and promotes basic institution-building efforts that emphasize trade union democracy and labor's role in promoting and strengthening civil society. In addition to promoting G/DG civil society program objectives, the cross-cutting nature of labor activities in USAID countries also support other G/DG strategic objectives including the rule of law, governance, and electoral processes. For example, while labor activities fall under the rubric of civil society strategy implementation, a primary objective is to increase the role of women by promoting their full participation as leaders in their unions and in society.

Through management of the labor portfolio, G/DG has broadened grantee activities beyond the more traditional labor activities. The regional affiliates of the AFL-CIO have a direct field presence in countries and are held accountable for results on the ground. Therefore, through its labor activities G/DG has a direct program impact in individual countries.

B. Intermediate results, Areas of Focus and Indicators

While also working to strengthen the ability of public organizations to design and implement civil society programs, G/DG's work is primarily aimed at enhancing USAID effectiveness in contributing to the strengthening of citizen's interest groups to empower themselves.

To achieve that strategic objective, G/DG efforts are aimed at broad focus areas of civil society which represent indicators of progress towards the overall SO. It is important to note that indicators for the SO and the overarching intermediate result are in the process of being redesigned, given the change in the strategic framework structure:

- The development of sustainable non-government organizations (NGOs);
- the establishment of an independent media, and

- increased direct and indirect involvement in democratic processes by a free and independent labor sector in USAID countries.

Intermediate results, which represent G/DG's contribution to the achievement of the strategic objective include:

- development of appropriate strategies, models, methodologies and indicators and dissemination to missions and other organizations outside USAID for design and implementation of civil society programs

- identification and application of lessons learned based on field programs and selected pilot interventions

- increased capacity of public organizations to design and implement programs in the civil society area

- facilitate the implementation of field services.

Labor

For labor programs, intermediate results include:

- unions demonstrate the capacity to be free, viable and self-sustaining;

- union-led coalitions are advocates for institutional and policy reform at the national, regional, and local levels;

- unions actively participate in electoral processes which result in greater voter registration and participation; and

- unions monitor the extent to which internationally-recognized worker rights are adhered to.

C. Progress (excluding labor)

Advances in technical leadership and assistance were accomplished on a number of fronts. The Center drafted Agency policy guidelines for civil society programs; worked with LAC in preparing an assessment on civil society development in Latin America; developed and applied a strategy to strengthen civil society organizations in the Middle East; and formulated an agenda of technical guidelines on a number of topics critical to the supporting civil society programs worldwide. In addition, a major technical assistance effort was provided to several country missions in formulating their DG strategies, with a major

emphasis on civil society.

Technical Leadership (excluding labor)

Civil society programs have been operating without a uniform policy framework and in the absence of vigorous technical leadership with other donors. In addition, more attention needs to be focussed on exchanges of lessons learned across and within regions. While the civil society team was the last to be fully established within G/DG it has already begun to address these needs and progress towards achieving its intermediate results.

- After finalizing the CDIE evaluation of USAID's experience in civil society, G/DG's civil society has been collaborating with PPC to develop Agency policy guidance to assist USAID's future strategies to strengthen civil society. Based on the methodology and strategic framework developed in the CDIE evaluation, G/DG helped to design a democracy strategy for Kenya which was adopted by the Interagency Working Group as the U.S. official policy for Kenya.

- Under the Democratic Initiatives Support project, G/DG developed a framework for the design and implementation of programs which promote partnerships between grassroots NGOs and local government, focusing on areas of common interest. Implementation of this approach has demonstrated that considerable progress can be achieved both in empowering civil society through greater participation in decision-making and in enhancing the responsiveness of local government by strengthening its capacity to address community needs and demands.

- The Center has been an active participant in the Americas Civil Society Task Force, which is an outgrowth of the Western Hemispheric Miami Summit. The Center is taking the lead in helping to draft a joint-ministerial position paper on the state of civil society in Latin America for the upcoming follow-on Western Hemispheric Summit in Bolivia.

- G/DG staff actively participated in the development and implementation of the Agency's New Partnership Initiative, including the civil society component. G/DG will work closely with the new NIP Lamas in implementing this new approach.

- The Center is also working on a joint project with the European Commission to undertake a series of civil society assessments.

Field Support

There is increasing demand from field missions for assistance in the design of civil society strategies; and, in particular, how to implement these strategies to achieve progress.

The G/DG civil society team has worked extensively to provide field support both in Washington as a virtual member of mission teams and in the field through extensive TDYs. Given that this was the last team to be organized and assigned an overall team leader, the field support provided has been all the more remarkable in both scope and results.

- In Kenya, G/DG conducted an assessment of current democracy and governance needs, with a particular focus on civil society actors, and developed a strategy based on G/DG generated methodology to support key civil society within the country. That strategy was accepted by the mission, and approved by USAID/W, as well as adopted by the Interagency Working Group as the U.S. official policy for Kenya (IWG).

- In Mali, G/DG supported the Mission with an analysis of the enabling environment for civil society and helped in refining their democracy and governance strategic framework, indicators and targets to achieve Missions DG objectives.

- The DIS grassroots groups/local government framework was first implemented in Tunisia with considerable success. Its impact has been felt not just in the two municipalities that were host to pilot projects, but also in the adoption of the community outreach model by the national government's Directorate of Local Authorities, which has given the DIS framework a sustainable impact with the establishment of the national training Institute. The regional applicability of the framework was further established at the regional workshop held in Tunis, which contributed to the Egypt mission's development of its civil society Strategic Objective. In addition, the framework was used by NGOs in Lebanon in their efforts to increase their access to decision makers. The DIS framework was also utilized by USAID/Rabat to incorporate community participation components into other strategic objectives. The Jordan mission has been considering adopting this framework due to its feasibility and high potential for impact.

D. <u>Program management</u>

While G/DG has an active labor portfolio, it has not had a range of mechanisms to meet the growing demand for technical leadership and assistance from Missions in the design, implementation and evaluation of civil society projects. Over the past year, G/DG has made considerable progress in establishing the contracting mechanisms for providing services to the field and technical leadership in the civil society area. These mechanisms will allow Missions to procure technical assistance and to quickly access a wide range of experience and expertise in the development of civil society organizations.

Labor

Through its labor programs, G/DG has made substantial progress in meeting not only the civil society objective of G/DG, but also has contributed to the achievement of the other Center strategic objectives.

• **Increased Institutioanl Capacity** (Civil Society): Free and independent labor unions increased their institutional capacities to carry out their stated missions in 37 countries, including in the Philippines, Sri Lanka, Nepal, Bangladesh, Indonesia, Dominican Republic, Mexico, Panama, Costa Rica, Guatemala, Honduras, Ecuador, Peru, Jamaica, Barbados, Guyana, Paraguay, Bolivia, Kenya, Eritrea, Ethiopia, Mauritius, Ghana, Uganda, Tanzania, Cameroon, Central African Republic, Benin, Mali, Senegal, Rwanda, Sierra Leone, Zimbabwe, Botswana, Cote D'Ivoire, Namibia, and Zambia.

In these countries, national trade union centers and/or independent trade unions have, with support and assistance from AAFLI, AIFLD, and AALC, conducted training and implemented a variety of strategies aimed at: achieving financial and administrative sustainability; increasing trade union democracy and transparency in decision-making; improved dues collection; and conducting organizing campaigns to increase membership.

• In Nepal, AAFLI has provided assistance to the Nepalese Trade Union Congress (NTUC) to implement its new constitution and develop democratic administrative and policy-making bodies throughout the country. As a consequence, for the first time, Nepal has an independent labor union with a democratic constitution and with a national network of affiliated unions.

• In Mexico, AIFLD has assisted a newly formed coalition of 21 independent unions, representing 2.1 million members, in strengthening their institutional capabilities to promote the social and economic interests of their members and the influence government policies.

• <u>Union led-coalitions to effect public sector institutional reform and policy formulation (Civil Society/Governance):</u> In 15 countries: the Philippines, Sri Lanka, Nepal, Bangladesh, Indonesia, Venezuela, the Caribbean, Brazil, the Dominican Republic,Ecuador, Mexico, Tanzania, Central African Republic, South Africa, and Mozambique, union-led coalitions, supported by AAFLI, AIFLD and AALC respectively, have become participants in public sector institutional reform and policy formulation (see summary data below).

• In the Philippines, the Trade Union Congress of the Philippines (TUCP), with AAFLI support, has been the lead organization in the formation of several ad hoc and more permanent coalitions involved in public sector institutional reform and policy formulation regarding such issues as: privatization, the appointment of public

servants, labor law reform, electoral law reform, taxation, social security, fiscal and monetary policies, environment, gender equal laws and policies, child labor, and judicial reform. In addition, the TUCP was a major actor, with business and government, in helping to formulate public labor, social and welfare policies acceptable to the majority of workers which allowed the Philippines to join the World Trade Organization (WTO) with a minimum of disruption. The TUCP's role was instrumental in blunting the anti-WTO/anti-market reform strategies of militant leftist elements attempting to manipulate the nationalist sentiments of workers.

• In the **Dominican Republic**, with AIFLD assistance, various union confederations formed a series of coalitions to advocate and assist in the formulation of public policy. Through such efforts unions were able to influence minimum wage reforms through their participation in the National Salary Commission. The unions were also able to contribute significantly to the solution of the public sector sugar crisis in 1995 by reducing the amount of layoff time and increasing the severance benefits for a drastically downsizing industry. In 1996, unions made a single presentation to the National Agenda, formed to get public input into the setting of goals for the next government of the DR.

• **Increased Trade Union participation in electoral processes.** In 25 countries: including the Philippines, Sri Lanka, the Dominican Republic, Guatemala, Venezuela, the Caribbean, Benin, and Sierra Leone, trade unions, with support from AAFLI, AIFLD and AALC respectively, have carried out various voter education efforts. These programs increase voter registration, and monitor and urge trade union organizations to participate vigorously in national, regional, and local level elections (see summary data below).

• In Sri Lanka, the Institute enabled a first-time effort by unions, church groups and a women's advocacy organization to promote voter participation in parliamentary elections by women/young workers especially in free trade zones. Information was provided to approximately 26,000 individuals. A post project evaluation indicated that turn-out was higher in areas targeted by the campaign.

• In the Dominican Republic, with support from AIFLD, six major labor confederations successfully participated in a single voter registration and education program for the May 1966 elections. The trade union coalition recruited approximately 2,500 trade union members to serve as poll watchers to guard against fraud, which has been a serious problem in past elections. The May 1996 election holds the promise of being the most honest in recent history, and unions are promoting it as an important civic opportunity for its members.

• In Venezuela, with AIFLD support, the Confederation of Venezuelan Workers (CTV) trained and deployed polling monitors throughout the nation for the nationwide

municipal and off-year provisional elections. The CTV and affiliate unions mobilized support for the democratic elections, providing the public with logistical support to get the polling stations and civic training on the electoral process.

• In 1996, elections are expected to take place in 17 African countries. The AALC will be actively promoting local trade union involvement in these events including the participation in monitoring efforts. These activities follow AALC assistance to local unions in Benin and Sierra Leone and again in the run-off in Benin where trade unions participated in the monitoring efforts.

• **Increased capability for monitoring labor laws/rights/standards by trade unions.** In 17 countries:Bangladesh, Nepal, the Philippines, Indonesia, Sri Lanka, the Caribbean, Bolivia, Panama, Guatemala, Honduras, Dominican Republic, Mexico, El Salvador, Costa Rica, Paraguay, South Africa, and Egypt, trade unions, with the assistance of AAFLI, AIFLD, and AALC are developing their institutional capacity to monitor the application of labor laws and labor rights/standards. These efforts have resulted in unions contributing to the protection of worker rights, but also in improvements in the rule of law and the administration of justice in these countries (see summary data below).

• In **Bangladesh**, AAFLI in cooperation with unions and the country's labor law commission developed a labor law reform proposal. Its passage was frustrated by the country's political crisis. In addition, BIGU, with AAFLI assistance has been providing legal assistance to garment manufacturers, most of them women. This has resulted in significant changes in the way garment manufacturers relate to workers. In the past, employers hired and fired workers at will, refused to pay wages owed, overtime, legal holiday pay, etc. As a result of legal actions taken by BIGU's legal assistance program, employers are now more forthcoming and willing to settle quickly out of court. This has aided BIGU's efforts to attract new members and increase its ability to monitor the application of labor rights and standards laws.

• In **Sri Lanka**, local trade unions, with AAFLI support, have established legal counselling and education centers near three industrial zones. The majority of the beneficiaries of the programs conducted by these centers are women. These centers are helping to call attention to the poor application of labor laws and labor rights and standards laws in the zones. As a result, the government and labor have agreed to a "Workers' Charter", which will enable workers in these zones to organize their own unions and help to insure sustainable economic growth by minimizing labor disputes. AAFLI has promoted changes in the law which will further protect the rights of migrant workers, the majority of them women. AAFLI has also stimulated the airing of radio programs which described the rights of migrant workers under current law.

• In **Indonesia**, working in cooperation with the women's bureau of the All

Indonesia Workers Union (AIWU), AAFLI has promoted a massive information campaign among workers that has reached approximately 170,000 individuals. The purpose of the campaign is to inform workers about the rights under law especially in the labor standards area. One result of this effort has been to stimulate the Indonesian government to enforce its labor standards laws -- especially its minimum wage law through increasing fines paid by employers.

• In the **Dominican Republic**, unions have skillfully utilized international assistance from AIFLD and the ILO to achieve (1) significant reform of the labor code to strengthen freedom of associations rights, and (2) greatly improved implementation of the new laws resulting in the first collective contracts in the history of the Dominican free zones. Since January 1995, the legal program of the Dominican Workers Confederation (CNTD) has helped workers participate in 45 court hearings or labor mediation sessions involving 16 companies, thus increasing worker access to and confidence in the legal system.

• Joint cooperation between AIFLD and local trade union organizations have contributed to significant improvements in law and practice resulting in increased worker rights protection in **El Salvador, Panama, Honduras, Guatemala, Costa Rica, and Paraguay** (worker rights practices in these countries have been the subject of GSP review in the U.S. during the last 3-4 years.)

• In **South Africa**, with the assistance of AALC, several unions have begun the process of training their members on the newly passed labor law to educate workers about their rights. AALC sponsored a comprehensive training program for union members from all three major federations as a first step in developing a capacity for future monitoring and responding to any labor law violations.

E. Analysis of Data

As demonstrated in the summary of data section above, in FY 96 projected results for labor activities related to Civil Society, Rule of Law, Governance, Election processes and Women in Development, have been fully met. Following are FY 96 estimated results, with actual results bolded and in parenthesis.

• In 20 countries, unions will have developed/increased institutional capacity to carry out stated mission. **(As indicated in the description of on-going programs, in FY 96, unions in 37 countries will accomplish this objective).**

• Union-led coalitions in 15 countries will have participated in public sector institutional reform and policy formulation **(This objective will be met in 15 countries in FY 96.)**

- By the end of FY 96, unions in 20 countries will have increased voter registration and participation by an average of 5% and 10% respectively **(this objective will be accomplished as a result of elections held in 17 African countries, 8 in Latin America, and 4 Asian countries)**

- During FY 96, unions will assist in monitoring of national, regional, and local elections in 20% of countries which support independent unions and that hold elections during those years **(of the 29 countries of Africa, Asia and Latin America where elections are being held in FY 96, the trade union movement will participate in monitoring activities in at least 20% of the countries.)**

- By the end of FY 96, unions in 25 or more countries will have developed institutional capacity to monitor the application of labor laws and labor rights/standards **(At the moment this objective is being met in 17 countries of Asia, Africa and Latin America. Additional efforts are being pursued as part of an on-going process in partnership with the ILO which is the lead U.N. agency concerned with labor law violations by member countries).**

In addition, program components are aimed at the promotion of democratic-institution building through advocacy for reforms; promoting responsible participation by unions in the formulation of policies that create the conditions for broad-based economic growth; enhancing respect for international labor standards and enforcement of national labor legislation; eliminating exploitation of child labor and protecting the rights of children.

F. Issues Affecting Women and Disadvantaged Groups

Through its efforts to achieving its strategic objective in civil society, G/DG is committed to ensuring that its activities promote the rights of women and other disadvantaged groups within society.

- The DIS project has also been effective in providing technical leadership to missions seeking to develop the advocacy potential of national NGOs. Technical assistance and logistical support provided to the MENA missions in their efforts to promote the democratic (advocacy) potential of women's NGOs. Yemen and Lebanon were the two countries that derived the most benefit from this activity which also provided the basis to promote regional networking among women's advocacy groups from the seven MENA countries.

Labor

Economic growth throughout Asia, Africa and Latin America has been powered in part by the development of low wage industries producing manufactured goods for export to

North America and Europe and concentrated in special economic zones. A large portion of the work force in these zones is composed of women workers, who have become among the most exploited workers in the world.

AAFLI, AALC and AIFLD, in cooperation with counterpart unions, has formulated and implemented unique programs in the Philippines, Bangladesh, Indonesia, Sri Lanka, Brazil, Argentina, Chile, Dominican Republic, Ecuador, and El Salvador. These programs are aimed at increasing the membership of women workers in the manufacturing for export sector (free zones), assisting them to organize their own unions, and encouraging them to seek leadership positions within their respective organizations following training.

Because women make up a significant portion of the work force in the free zones of Asia, Africa and Latin America, and lack adequate representation in their societies generally and within the trade union movement specifically, the AFL-CIO institutes, in cooperation with indigenous trade unions, have developed strategies to assist women increase their representation within trade unions and at the national and local governmental levels. Training programs typically include specialized leadership courses for women, the creation of women's departments within unions, special publications for women, focussed organizing campaigns in industries dominated by women workers, and political advocacy programs for the formulation and implementation of public policies supportive of gender equal legislation and treatment (see summary data below).

- As a result of AAFLI's technical assistance, labor unions in the **Philippines, Bangladesh, Indonesia, and Sri Lanka** have increased by some 25% the number of women members within their unions. For example the number of women in leadership positions has increased in the Philippines by 30%. In Bangladesh, there is a mandate in BIGU's constitution that set aside 60% of officer positions for women.

- **In Brazil, Argentina, and Chile,** AIFLD has continued to stimulate active participation by women in the labor movement through its education programs and its cooperation with the ICFTU/ORIT Department of Women's Affairs. These efforts have resulted in women gaining seats on the Executive Boards of all of Brazil's unions; the same is true for the General Confederation of Argentine Workers (CGT); a woman trade unionist is also the principal candidate to become President of the major trade union confederation (CUT) in Chile.

G. Expected Progress in FY 97 and FY 98

G/DG will continue to provide support to field missions through staff expertise and the new mechanisms which will become operational within a month to help in the design and implementation of strategies and programs to strengthen civil society.

The Center has taken the leadership in identifying an agenda for the development and dissemination state-of-the-art technical guidance on topics of critical importance in strengthening civil society programs. Assessments of donor best practices and lessons learned will be conducted in the following areas:-- non-formal civic education, civil society advocacy strategies, alternative public opinion polling strategies, support for print and broadcast media and financial sustainability for host-country civil society organizations. The consolidation of state-of-the-art knowledge in the above areas will be disseminated through a series of seminars/ workshops to host-country nationals and through the provisions of technical assistance in the design and implementation of civil society programs in USAID field missions.

In more detail, the Center will focus on developing strategic frameworks and technical guidance methodologies in the following areas:

- **Civic Education**: The Center will undertake a desk and multi-country assessment of civic education programs. The study will assess the impact of donor-funded civic education programs in areas such as legal education, human rights and values education, voter education, and leadership training programs. The intent will be two fold: 1) to draw some operational lessons learned from the comparative successes of the activities and 2) to provide technical guidance on how to enhance the long-term impact of these programs on changing the values and behavior of participants.

- **Print and Broadcast Media**: An assessment will be conducted to lessons learned from Agency and other donor efforts to support the print and broadcast media as a means of strengthening democracy. The assessment will produce technical guidelines for the design of future projects in this area.

- **Civic Advocacy**: An assessment will be under to identify best practices from experience with respect to CSO advocacy strategies. This effort would assess the approaches used by U.S. and foreign based organizations offering advocacy training, the range of problems which inhibit CSOs from undertaking effective advocacy, and the kinds of advocacy strategies which work best in particular situations.

- **Financial Sustainability**: A study will be undertaken to identify the donor and host country strategies and incentives which can be employed to strengthen funding for civil society organizations (CSO) from domestic sources. CSO dependency on external donors is a growing concerning within the Agency. It is of particular concern for host-country public interest CSOs (think tanks, pro-democracy CSOs, etc.) which address collective action issues involving public policy and governance reforms. This will identify state-of-the-art innovations which are being employed to build host-country support for CSOs.

- **Polling**: An assessment will be undertaken to identify the different objectives and

methodologies for polling, the kinds of impacts which can be achieved through polling, issues which must be addressed when undertaking polling, and the resource institutions with technical expertise in this area. This assessment will be designed to produce technical guidelines in designing innovative approaches to polling in order to enhance their usefulness as inputs in shaping public policy.

The results of these assessments and the attendant guidelines will be disseminated through a series of regional seminars with Missions, other donors and host-country civil society organizations. It is intended that the seminars will foster the growth of regional and global networks through which learning can be shared and technical expertise provided to enhance the role and effectiveness of civil society organizations as champions of democratic reforms.

Labor

By the end of FY 97 all existing labor grants will be replaced with a cooperative agreement which combines all existing activities and offers greater flexibility to in shifting resources to achieve maximum results for the resource investment. Although overall funding levels for labor programs have been reduced due to budget cuts, G/DG plans on achieving the following through its refocused labor portfolio.

- By the end of 1997, labor unions in 5 additional countries will have developed/increased their institutional capacity to carry out their stated mission.

- During FY 97, unions will assist in the monitoring of national, regional and local elections in 20% of countries which support independent unions and that hold elections during the year.

- By the end of FY 97, labor unions in 10 additional countries will have developed the institutional capacity to monitor the application of labor laws and labor rights/standards.

- By the end of FY 97, labor unions will have increased the membership of women by 10% and will have achieved a 15 % level in the number of women in leadership positions.

SO 4 Civil Society

STRATEGIC OBJECTIVE
Increased effectiveness of citizen interest groups to promote pluralism and contribute to a responsive government.

SO INDICATOR

The development of sustainable nongovernmental organizations.

SO INDICATORS

Increased citizen access to information.

SO INDICATORS

The establishment of an independent media.

SO INDICATORS

Increased direct and indirect involvement in democratic processes by a free and independent labor sector in USAID countries.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

1. Develop and disseminate models, strategies, methodologies and indicators for the implementation of civil society programs.
2. Identify and apply lessons learned based on field programs and selected interventions.
3. Increase capacity for public organizations to design and implement civil society programs.
4. Facilitate the implementation of field services.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO IN LABOR

1. Unions demonstrate the capacity to be free, viable and self-sustaining.
2. Union led coalitions which advocate for institutional and policy reform at the national, regional and local levels.
3. Unions actively participate in electoral processes.
4. Unions monitor the extent to which internationally recognized worker rights are adhered to.

SPECIAL OBJECTIVE 5: To provide technical and intellectual leadership and services across Democracy and Governance sectors.

A. Approach

The overall goal of democracy and good governance is treated in the Agency results framework and the Center's strategy as four separate sectoral or strategic objective areas. However, there are a number of critical issues facing the democracy and governance sector as a whole which USAID has to address.

USAID assistance in the democracy and governance sector is still relatively new. USAID needs to assess what the overarching challenges and opportunities are for democracy and governance strengthening as a whole, for example, before designing strategies and activities aimed at addressing needs within the specific sub-sectoral areas (e.g. rule of law.) USAID needs to have a broad strategic framework that can be used to develop an overall democracy and governance strategy within a particular country, within a region or in a global context.

Unlike other sectors which rely on decades of information collection and research, in this sector, USAID is helping define the parameters of assistance and methods for determining impact. Given the incremental, complex and non-linear nature of political change, the Agency still faces challenges in measuring the success of democracy programs.

USAID has undertaken a fundamental change in internal structure and the manner in which it conducts its democracy assistance activities. This change integrates improved methodologies in policy, strategies, design and implementation with USAID, and with its partners. USAID has increasingly sharpened its focus and programs to achieve identifiable strategic objectives, and has engaged its development partners in this effort. Publications and electronic mechanisms share lessons learned within USAID and the public on democracy and governance programs and resources, and encourage a dialogue to exchange information and to develop effective approaches in this newly emerging field. A cadre of experienced democracy officers is beginning to be established within USAID.

Since its establishment, the Global Bureau's Center for Democracy and Governance (G/DG), and in particular the two overarching teams (Strategies and Field Support, and Program and Information) have made progress toward achieving this SO through providing technical expertise and services, mainly to our interim customers: USAID missions, regional and central bureaus.

This SO contributes to achieving the Center's overall program by developing country

strategies and providing DG assessments, indicators, evaluations and technical support through both Washington reviews (CPSPs, R-4 etc) and direct field support. G/DG also provides information and analysis on the democracy sector as a whole, and conducts sectoral and regional reviews. Finally, as the "home base" for democracy personnel within the Agency, G/DG focuses on creating a cadre of democracy professionals within the Agency through recruitment, training, evaluations, and assignments of democracy officers within USAID.

B. Intermediate Results, Areas of Focus and Indicators

While G/DG contributes to building the capacity of other public organizations to design and implement programs in the democracy and governance area, the primary focus of the Center's efforts under this Special Objective is to enhance the overall, cross-sectoral effectiveness in governance and democracy programs (i.e. how do we integrate DG sectors into coherent, results-producing DG programs) and sharing information and lessons learned within USAID and with our partners and stakeholders.

Under this Special Objective, the Center will work to produce:

- more effective overall strategies for implementing DG programs, including results measurement

- integration of cross-cutting issues within and outside of the DG sector, and

- developing and strengthening a cadre of trained DG professionals within USAID

Near-term results to achieve this SO are identified in the diagram that follows and include:

- development of effective systems to coordinate the Center's regional backstop responsibilities, including communicating with field missions on a regular basis, participating in the review of CPSPs and R4s, and providing quality technical advice for separate mission proposals for DG programs.

- identification of appropriate strategies, theories/models, methodologies, evaluations and indicators to successfully integrate the four DG sectors, including recommendations for sequencing and cross-sectoral integration both within DG and between DG and other sectors of USAID's work.

- providing analyses, research, and information to assure better USAID programming in the DG area, both within USAID and the broader DG community

- managing mechanisms to address critical cross-cutting themes, including women's

political empowerment.

• enhancing professional development through DG professional training and workshops, recruitment (of USAID direct hires and democracy fellows), assignments, and evaluations.

C. Progress

Technical Leadership

• In collaboration with the Africa Bureau, G/DG completed a study, "Making Democracies Work in Africa," a comparative analysis of democratic transition in a number of African countries. This analysis was based on a set of macro-political DG assessments undertaken previously throughout Africa (including Niger, Tanzania, Zambia, Ghana, Madagascar, and Mali), analyzed the impact of previous approaches, and has identified possible new approaches for DG assistance in Africa.

• One project developed and implemented a political economy approach to analyze developmental dynamics in the countries of the NE region, and to identify strategically sound opportunities for promoting processes of democratic reform. A framework was developed out of a number of political economy reviews of the NE countries,including Tunisia, Morocco, Jordan, Egypt, Yemen and Lebanon. The framework helped to address the difficulties, opportunities and strategic approaches to DG programming in the region by analyzing the material interests of "winners and losers." Missions, including Tunisia, Morocco, Jordan and Yemen, have used the political economy approach to develop and refine their democracy programs.

• In April, 1996, a conference brought together DG Officers and African participants to discuss democratization programming in Africa. The conference will review results that USAID has achieved (and is currently achieving) in democracy and governance programming throughout Africa. It will also examine program planning and implementation from these results reviewed to determine factors necessary for successful programming. Finally, it will consider the implications of these lessons for future programming in the democracy and governance sector.

• Center-conducted research has established additional linkages to those active in the DG area. At the beginning of FY '95, the DG Center conducted a review of US NGOs involved with democracy and governance issues. This resource guide describes the expertise of almost 100 organizations and is organized by region and specialization. Several NGOs which had not worked with USAID prior to this survey have since provided technical assistance.

Field Support

The DG Center has helped a number of missions to develop and evaluate the effectiveness of strategies, models, programs and indicators. Through accessing G/DG mechanisms as well through direct Center staff travel and virtual team membership, the Center provided assistance to a number of missions to provide advice and technical expertise in the development of DG strategies, including Egypt, South Africa, Peru, El Salvador, Mozambique, Tunesia, Paraguay, Sri Lanka, Indonesia, and Kenya.

- In Kenya, Center staff conducted an assessment and helped develop a DG strategy. This strategy became the focal point for the five year CPSP for Kenya as well as the IWG paper on U.S. policy towards Kenya. In addition, Center mechanisms were tapped to undertake a "crisis prevention" analysis of Kenya to determine which areas could contribute to a future conflict.

- In Peru, Center staff participated in the development of the missions's DG strategy, with a particular focus on development a strategic approach, including indicators, for a focused effort in civil society.

- The DG Center provided technical assistance to design the Southern African Regional Democracy Fund. After a Center staff member spent four months in the Botswana office, the Fund was established, and its implementation process initiated. During this time, Center staff also established a regional consultative council of parliamentarians.

- Within the Near East region, G/DG developed strategies and models adopted by missions which resulted in more innovative and effective programming approaches. Through the DIS project, G/DG helped to develop a framework for grassroots organizations to work with the development of local governments in the Middle East and North Africa. Several NGO assessments conducted in Morocco and Egypt were used as the basis for developing the respective missions' SOs in Democracy. In the West Bank/Gaza, an assessment of the judiciary has been incorporated into this mission's overall DG strategy.

- In ENI, the Center helped develop and implement a DG program for Bosnia. Focusing primarily on the elections scheduled for late Summer, the Center provided analytical support for a USAID $5 million FY 1996 program. The program will be implemented, in part, using Center mechanisms.

DG Center's Information Team

Another major contribution toward achieving this SO are the activities of the DG Center's information team. The information team's functions include the global dissemination of information through its Democracy Exchange, Democracy Dialogue, and Democracy Report. These electronic publications provide information about current trends and democracy strategies to field missions and Washington bureaus. In addition, reports offer an open forum for discussion and debate among DG Officers globally. The information team also provides research and analysis to assist DG Center technical teams and field missions in achieving their strategic objectives.

The information team will be expanded so that G/DG's full analytic capacity can be exploited. The enlarged team will will assist in developing the technical agenda of other SO teams, provide more research and information for missions, and assist both missions and G/DG in providing TDY assistance which contributs to the expansionof useful knowledge in the DG area.

D. Gender Issues

Through its activities, the DG Center has increased opportunities for previously disempowered populations, in particular women, to empower themselves through changes in the political process.

- The Asia Democracy Program (ADP) has increased women's political participation in the Asia-Pacific region. Implementers established a media campaign program in Indonesia, "The Evolving Roles and Rights of Women," which attempts to offer non-traditional role models as well as disseminate information about Indonesian laws relating to women in the family and work place. A new television series will address issues facing women politicians. Similar programs were launched in Cambodia, Nepal and Sri Lanka.

- The Center has also provided technical assistance and training to NGOs active in issues affecting women. This assistance facilitated the development of national agendas for presentation at the recent UN Conference on Women in Beijing. The development of these agendas promoted active participation of women in identifying and defining their rights and role in society which will hopefully continue with future activities.

- In 1995, G/DG and AFR sponsored a conference on democracy and gender in Africa, at which USAID mission representatives and representatives of African women's organizations shared lessons learned in incorporating gender into democracy

and governance programs, and recommended ways to more effectively incorporate the role of women in future programs.

- The Global Women in Politics cooperative agreement, described further in the elections strategic objective, was established to facilitate networking among women within and between regions of the world in order for women to improve women's participation across the DG sector.

E. DG Professionals

Through training, and professional development, the Center has increased both the number and competence level of democracy professionals available to USAID. These workshops and training courses along with information sharing through the information team's publications have enabled the DG Center to continuously advance its knowledge of current democracy and governance issues.

- In July, 1995, a five day global DG conference brought together USAID staff with other development partners working throughout the Democracy and Governance field and resulted in the production of a DG Officer's Desk Reference for DG Officers and USAID missions globally.

- A four day training seminar was held in April 1996 for DG officers from 13 countries and all 4 USAID regions.

A heavy emphasis has been placed on recruitment of new talent for the Agency in the DG area.

- Six new democracy officers have entered the Agency, and been trained in the DG Center through the International Development Internship Program. The Center has already placed three IDIs in the field and will place the others in 1996.

- A new Democracy Fellows program coordinated through World Learning will bring additional experts in the democracy arena into USAID/W and field mission. Currently, one democracy fellow is based in Nairobi, another has joined the DG Center in Washington, and a third will join PPC. There are plans for 7 to 10 additional field-based fellows.

F. Expected Progress in FY 97 and FY 98

The DG Center plans to continue working toward this SO in 1997 and 1998. While many activities mentioned above will be ending, new mechanisms are being established to provide technical and intellectual leadership and services.

Technical Leadership

The DG Center will utilize its new mechanism to advance progress toward meeting this Special Objective. As a result, the DG Center will be able to offer additional D/G resources and knowledge to field missions. These resources will enable missions to more easily access technical assistance, develop indicators, and enhance data collection and data tracking methodologies.

- **Assessments/Strategic Frameworks.** G/DG will conduct a systematic review of the theoretical literature which might inform DG programming. For example, the approaches, described above, employed by the Africa Bureau and the Asia/Near East Bureau are different. Can we integrate them? If not, which works better under what circumstances? Are there geographic or sequencing criteria which define optimal theoretical approaches? The Strategies Team will partner with 3-4 missions in the design and testing of those (or other) theoretical approaches to country strategies.

- **Indicators.** G/DG will undertake a substantial effort to develop DG indicators to measure program results. It will help develop indicators (or approaches to indicators) at the DG level as well as the sectoral level (rule of law, governance, civil society, and elections/political processes). Most likely, this will be part of a multi-year effort.

- **Lessons Learned in the Middle East.** In late summer, the Center will host a lessons learned conference on the Near East. This conference, like the April conference in Africa, will examine the state of democracy in the Near East, lessons learned in programming, and suggestions for future programming.

- **Inventory of USAID Democracy Activities.** G/DG plans to design and keep updated a current of all Agency democracy activities within the Agency for tracking and information purposes. G/DG will continue to keep a data base on activities funded by the National Endowment for Democracy (NED) as well, and disseminate to missions to encourage complementary programming efforts.

Special Objective

SPECIAL OBJECTIVE
To provide technical and intellectual leadership and services across Democracy and Governance sectors.

SO INDICATOR
More effective strategies for implementing programs established.

SO INDICATOR
Cross-cutting issues within and outside the DG sector integrated.

SO INDICATOR
A cadre of DG professional trained and developed.

SO INDICATOR
Methods for measuring results developed.

INTERMEDIATE RESULTS WHICH ARE G/DG'S CONTRIBUTION TO ACHIEVING SO

1. Develop effective systems to coordinate the Center's regional backstop responsibilities.
2. Identify appropriate strategies, theories, models, methodologies, evaluations, and indicators to successfully integrate different DG sectors.
3. Provide analyses, research, and information to assure better USAID DG programming.
4. Manage mechanisms to address critical cross-cutting themes, such as women's political empowerment.
5. Enhance professional development through DG training, workshops , and recruitment.

PD-ABQ-343

1997 RESOURCE REQUEST (R2b)

Center for Democracy and Governance

May 1996

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Introduction:
The Global Center for Democracy and Governance (G/DG) has five strategic objectives which are listed below. Collectively, they form the cornerstone for achieving the Agency's strategic objective in democracy, **"the transition to and consolidation of democratic societies throughout the world"**

> SO-1 *Rule of Law*: Strengthened legal systems which promote democratic principles and protect human rights,
>
> SO-2 *Governance*: Increased efforts to make government systems more transparent and accountable,
>
> SO-3 *Elections and Political Processes*: Increased open and participatory elections and political processes which reflect the will of the people,
>
> SO-4 *Civil Society*: Increased Effectiveness of citizens' interest groups to promote pluralism and contribute to responsive government, and
>
> SO-5 *Technical Leadership*: To provide technical and intellectual leadership and services across the democracy and governance sector.

This document discusses progress toward achieving these objectives within current and proposed funding levels for DG programs, operating expenses (OE), and staffing (FTE).

A. Program Funding by Strategic Objective:

If the budget falls below the proposed (reduced) FY 1997 level substantial restructuring is inevitable. The largest investments are currently allocated to achieve the two major strategic objectives (SOs) in *Civil Society* (*Labor*) and *Elections and Political Processes*.

Currently, about half of the G/DG's budget is allocated to *Labor*, a sub-sector of the *Civil Society* SO. G/DG cannot reduce funding and maintain proportional funding to support strengthening civil society through the fostering of a strong and effective labor movement. Should G/DG be forced to reduce the collective grant to labor in absolute dollar terms, then labors' contribution toward achieving the Agency's SO in *Civil Society* would be

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diminished to the point that the Agency would have to decide whether it should drop it altogether as a sub-sector.

Elections and Political Processes also provides direct program support in specific countries, a time-sensitive and politically dynamic process requiring immediate commitments for a given timeframe. The achievement of this SO along with the SO for *Civil Society* consumes a major portion of G/DG resources. If funding is reduced, this SO which is an important cornerstone of the Agency's goal in democracy, could not be fully achieved. Because of the rapid nature of events which often overtake planned activities in the sector, G/DG maintains funding to allow it to respond directly to individual requests for assistance and, more importantly, to draw down on its own OYB and replenish it later from buy-ins/add-ons. Reductions in either capacity would sharply curtail the effectiveness of this important Agency tool.

The funding allocations for the SOs in *Governance, Rule of Law* and *Technical Leadership* at both the base and reduced levels (see tables) remain constant as they cannot be reduced further without eliminating them entirely as SOs and thereby entirely ignoring three subsectors which are necessary if G/DG maintains an integrated, fully functional, global democracy program. All three - *Rule of Law, Governance, and Technical Leadership* - are already operating on budgets which are largely dependent on mission funding to fully achieve their purposes. Therefore, it is not practical to consider reducing them further. Even their total elimination and the subsequent transfer of the funds allocated to them to *Labor* and/or *Elections*, would not free sufficient resources to make any impact on the necessary funding required to carry out the current or planned activities in *Labor,* and even if totally transferred to *Elections,* the funds currently allocated to the three SOs would barely constitute the minimum required to partially achieve the desired results.

FY 1996 Progress by Strategic Objective

The following activities/interim results are listed by SO and indicate the next necessary steps to enable G/DG to achieve progress in implementing its approved strategy.

SO-1 *Rule of Law (ROL)* (FY 96):

1) Establish three new mechanisms to further ROL development for both G/DG and mission programs.
2) Conduct a ROL conference with participants from thirty countries to focus on lessons learned form the LAC experience.
3) Partner with the Department of Justice to utilize expertise in strengthening prosecutorial and investigative functions.
4) Partner with the Federal Judicial Center to train judges from an estimated thirty countries in administrative and procedural norms.

SO-2 *Governance* (FY 96):

1) Establish five new mechanisms to assist development for both G/DG and mission Governance programs.
2) Support anti-corruption activities through the funding of Transparency International, a non-profit organization which promotes anti-corruption advocacy groups in forty countries, including an international corruption index and an action plan to enable NGOs to promote government accountability.
3) Collaborate with AFR/SD to sponsor workshops in Mali, Zambia, Niger, and Guinea Bissau to establish more open and effective executive-branch operating procedures.
4) Assist missions in countries such as Paraguay and Ecuador in establishing both a dialogue and framework for subordinating the military sector to civilian command.

SO-3 *Elections and Political Processes* (FY 96):

1) Improve electoral administration through symposia for African, ENI and trilateral (USA-Mexico-Canada) election officials to professionalize election administration.
2) Support the IFES Resource Center in Washington which includes an international data bank, sample ballots, manuals, reports, and legal codes. This center is used throughout the world on a daily basis and is renowned for its

resources and expertise.
3) Support voter education programs in such diverse countries as Romania, Venezuela, and West Bank/Gaza.
4) Evaluate the electoral system in Mali with recommendations for reform including an implementation guide.
5) Support women's programs to increase voting and women candidates by expanding the Asia Foundation's regional Asia-Pacific Women in Politics program from a regional to a global program and implementing the "Global Women in Politics" program.
6) Establish a cooperative agreement with a consortium made up of IRI, NDI, and IFES, known as The Consortium for Elections and Political Processes Strengthening (CEPPS), which allows long-term planning and sustainable development through the integration of services provided by the three participating institutions. Provide rapid response and funding for the production of election-related materials.

SO-4 *Civil Society* (FY 96):

1) Increase the capacity of labor unions in 25 countries to monitor the application of labor laws and standards.
2) Continue increasing the percentage of women members in unions as evidenced by the 25% increase in the number of women members in unions in Bangladesh, Indonesia, and Sri Lanka.
3) Participate in public-sector institutional reform through union-led coalitions in 15 countries.
4) Collaborate with PPC to develop Agency policy guidance for strategies to strengthen civil society.
5) Establish a new mechanism to increase G/DG and USAID mission capacities to carry out Civil Society SOs.

SO-5 *Special Objective (Technical Leadership)* (FY 96):

1) Collaborate with ENI to develop and implement a DG program for Bosnia utilizing G/DG mechanisms.
2) Participate in all mission strategy reviews regarding DG issues to assure technically sound strategies and the integration of DG issues both within DG and throughout other mission sectoral programs.
3) Support the expansion of G/DG's information team to continue disseminating information and policy guidance through *Democracy Dialogue*, *Democracy Exchange* and *Democracy Report*. Produce a DG inventory of USAID and donor activities throughout the world and a data base for USAID

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activities which will be updated. Provide analyses and lessons learned for both G/DG and field missions.
4) Continue training DG professionals through workshops and the provision of manuals and other self-training materials.
5) Establish two new mechanisms to increase both G/DG and USAID mission capacities to carry out their SOs in the DG sector.

FY 1997 and FY 1998 Progress by Strategic Objective

Given both the base and reduced budgets for FYs 1997 and 1998 (see tables), the results reported for SOs in *Rule of Law, Governance,* and *Technical Leadership* remain unchanged as planned funding allocations for these SOs, at either the base or reduced levels, remain constant. The effect of reduced funding on the achievement of the SOs for *Civil Society (Labor)* and *Elections and Political Processes* is discussed in the preceding section regarding the threshold level for maintaining progress in meeting the Agency's DG SOs. Any reductions in planned funding would severely impede the results necessary for achieving these two SOs.

The following activities/interim results build on those previously indicated by SO activities/interim results for FY 96. They constitute continued progress in moving G/DG toward the total achievement of its strategy and in fulfilling its mandate.

SO 1 *Rule of Law* (FY 97 & 98):

1) Disseminate lessons learned in LAC ROL programs in other regions.
2) Initiate regional trend analyses to identify country-specific windows of opportunity for effective ROL interventions. These include topics such as reducing delays in judicial proceedings, legal reform initiatives, and public defender programs.
3) Review alternative dispute (ADR) mechanisms in various countries and develop models for court-annexed and community-based ADR systems.
4) Review and analyze case tracking and case management systems to standardize such practices.
5) Conduct an African conference focused on ROL strategies and implementation, to share lessons learned from practical experience.

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SO-2 *Governance* (FY 97 & 98)

1) Develop models for the devolution and decentralization of resources and authority including incentives to be used to encourage these trends.
2) Apply anti-corruption models in at least three countries and assess their impact.
3) Develop a practical methodology for increasing public participation in decision-making.
4) Identify models for strengthening the accountability of legislative bodies and collaborate with three USAID programs with DG governance components to test their effectiveness.
5) Initiate a global interactive Internet for legislators and providers of assistance to legislatures.
6) Facilitate the adoption of LAC's successful civilian-military dialogue for use in other regions and expand the Agency's ability to work more effectively in demobilization and re-integration initiatives.
7) Assist public institutions in implementing more effective and open policies through policy dialogue interventions in ten countries.

SO-3 *Elections and Political Processes* (FY 97 & 98)

1) Review political party assistance and recommend options for policy development regarding its use by USAID missions.
2) Review assistance to electoral commissions and develop guidelines for when and how to incorporate such a strategy.
3) Develop policy and guidelines, based upon USAID and other donors' collective experience in using elections to resolve conflicts and serve as an exit strategy
4) Update the current guide, *Managing Democratic Electoral Assistance,* and distribute to DG country teams.
5) Continue the development and testing of models to increase women's participation both as voters and candidates followed by the implementation of pilot programs in all regions to train women in voting and running for elective office.
6) Provide continued direct intervention through the Consortium for Elections and Political Processes Strengthening (CEPPS).

SO-4

Civil Society (Labor) (FY 97 & 98)

1) Integrate all labor grants into a single activity, thus allowing greater flexibility in labor's ability to focus efforts in different regions.
2) Further develop with labor the ability to program for results and expand

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programming to impact the achievement of the Agency's DG SOs,
3) Identify best practices for mission strategies to strengthen civil society by both enhancing the advocacy capacities of civil society organizations (CSOs), and simultaneously strengthening host-country incentives so that CSOs can achieve greater financial sustainability.
4) Assess the impact of donor-funded civic education programs such as legal education, human rights, and leadership training in order to compare different activities and provide guidance on enhancing the long-term impact of such programs with respect to changing values and behavior.
5) Assess different polling strategies to increase the effectiveness of civil society organizations in understanding and shaping public opinion to better impact the development of public policy.
6) Assess different strategies to enhance the role of the media in the promotion of democracy and sound governance.

SO-5 *Technical Leadership* (FY 97 & 98)

1) Establish common useful indicators for both G/DG and take the lead in establishing common indicators for all agency DG programs. Such an analysis will consider logistical and cost considerations for obtaining data and point out different methodologies and their relative effectiveness in meeting the needs for establishing baseline and indicators in DG.
2) Review various existing assessment methodologies, assess their effectiveness and recommend one or more approaches for use in DG assessments.
3) Place DG fellows in up to seven missions and five junior-fellows in USAID supported programs
4) Participate in DG assessments in an estimated six field missions.

B. Program Management Requirements: OE Expenses and Staffing

Because both the FTE level and available OE funds necessary for G/DG to function as originally envisaged never materialized, G/DG has already undertaken several initiatives to fulfill its mandate. By utilizing new mechanisms which are largely dependent upon delivery orders, G/DG has reduced the staff time required to maintain centrally funded activities. As an experimental lab, G/DG experimented with re-engineering and incorporated the use of teams to achieve maximum coverage. The implementation of G/DG's technical excellence mandate will be designed and monitored by G/DG but carried out through activities in its results package. Alternate ways of doing business include partnering with selected missions as a result of G/DG regional teams setting priorities with their regional bureau counterparts. Participation of staff as virtual team members with specific mission SO teams,

while not obviating the need for TDYs, has also served as an alternative to staff travel.

It should be stressed that although G/DG has managed to maximize its human and OE resources, additional reductions would impede G/DG's ability to continue in its present structure. Any further reduction in staff would decrease monitoring functions and would also impede G/DG's ability to function at full capacity. Additional OE cuts would seriously restrict TDYs and the ability of G/DG staff to maintain the first-hand knowledge resulting from direct field experience. While G/DG has managed to maintain its original vision and mandate despite the fact that full staffing levels never materialized and available funding has shrunk, the present levels are the bare minimum for maintaining a global presence and carrying out its intended mission.