

DIS

دعم المؤسسات الديمقراطية
Democratic Institutions Support Project

SUMMARY OF DIS PROJECT PAPER
GOVERNANCE AND DEMOCRACY PROGRAM
NEAR EAST BUREAU

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OVERVIEW

Goal	Create political and legal institutional environments that foster economic reform in the Near East region.
Purpose	Support the development of selected democratic political and legal institutions and organizations that contribute to policy reform and improved policy implementation in countries of the Near East.
Strategy	Concentrate resources on strengthening key democratic political and legal institutions that serve to increase public, legal, and administrative accountability of the executive bureaucracy.
Process	Provide the full range of necessary resources to "jump start" Mission GDP efforts and to catalyze development of GDP activities appropriate to host country conditions and broader Mission objectives. DIS provides a range of design and management resources and funding to reduce "costs" to Missions.
Approach	<p>Proceed according to a flexible planning framework that responds to current Mission progress in GDP activities, including:</p> <ul style="list-style-type: none">• Strategy development (political economy reviews, institutional assessments, and strategy/action plan preparation)• Project development (topical workshops, special studies, project design)• Institutional strengthening activities (host country activities and region-wide networking activities) <p>A list of illustrative institutional strengthening activities is attached.</p>
Duration	5 years
PACD	December 1996

Components The DIS project has three components funded separately under a single authorization:

(1) Technical Support

A small technical support unit in Washington, under the direction of the AID/W NE bureau, assists Missions with GDP strategy and project development, maintenance of GDP program performance information, and monitoring of NGO grants made under DIS. Under certain conditions the PTU supports selected institutional strengthening activities and other forms of program support.

(2) Bilateral Program Support

Funds are provided for Mission-generated institution-building activities. Following characteristics of note:

- Funds are under DIS authorization, but obligation and management are delegated to Missions.
- Intended primarily for Missions with well-developed GDP strategies but a shortage of OYB funds.
- Intended primarily for institution building activities, but Missions may use these funds for project design and management activities in selected cases.
- Mission proposals for transfers will be reviewed and selected semi-annually according to selection criteria. One solicitation is underway.

(3) NGO Component

This component provides funds for institutional strengthening activities by US-based NGOs, for cases where there is host-country interest, but where USG involvement (either directly with US direct hires or indirectly through a contractor) could be sensitive. Examples include elections observations and strengthening electoral institutions. It is anticipated that 5-12 grants of this kind will be made.

Additional details on each component are provided in separate sections of this document.

Inputs

Project Management

See attached chart showing the project management structure.

Core Contract

See attached chart showing organization of Project Technical Unit.

Requirements ("Q") Contract

Provides short-term and field-based long-term technical assistance for design, implementation and evaluation of GDP projects at the country level.

EOPS

Two types: those pertaining to the situation in countries in the region, and those that pertain to AID's internal capacity to work effectively in the areas of democracy and governance in the region. Namely:

- Selected political systems in the region are characterized by increased public access to information and increased public participation in the policy reform process.
- Selected public and constituent interest groups in participating countries are strengthened.
- Four NE Bureau countries have legal and judicial institutions that are more efficient and more effective in ensuring proper implementation of government policy.
- Three NE Bureau countries have more efficient parliamentary bodies that are more effective participants in government policy formulation and implementation.
- Increased intra-regional interactions occur among institutions and organizations that support more open and accountable governance.
- AID Missions in the region are better able to design and implement GDP activities in support of their policy reform objectives.

TECHNICAL SUPPORT COMPONENT

This component includes most of the project activity and supports all the project elements. It is being implemented by Chemonics International and supervised by a USDH NE/DR project director. It includes four main parts, described in detail below:

- Strategy development
- Project development
- Institutional strengthening
- Program support

1. Strategy Development

DIS provides assistance to Missions in preparing GDP strategies based on an analysis of likely outcomes of specific interventions, including:

- Political economy reviews
- Sector assessments

Methodologies for these reviews and assessments, which have been developed and are being tested in various countries, will be discussed and presented at this workshop. They provide the underpinnings for the development of Mission GDP strategy/action plans. A description of each follows.

Political economy reviews:

- Focus on the configuration of political economic interests and the role of these interests in government policy and in social and economic transformation.
- Examine current and potential relationships in the local context between economic and political liberalization.
- Summarize prevailing views on the likely impact of specific political and legal institutional improvements, specifically on prospects for economic reform.

Sector assessments:

- Focus on the role and technical capacity of selected democratic and legal institutions (e.g., parliament, elections commissions, courts administration).
- Identify major institutional strengths and weaknesses and what can be done to improve their efficiency and effectiveness.
- Solutions will provide the basis for defining concrete, on-the-ground activities.

Strategy/action plans:

- Final step in GDP strategy formation; they follow from a determination by senior USAID management of exactly where a Mission wants to focus its efforts. Will vary by Mission depending on their internal planning approaches and status of GDP planning and activity development.
- Utilize the results of both the political economy reviews and the sector assessments, clearly linking political and economic liberalization objectives.
- A recommended outline for strategy/action plans follows:
 - Short background section
 - Sections describing the major areas of program emphasis with specific objectives in those areas
 - Possible institutional strengthening activities
 - Modalities/funding sources
 - Management requirements and staffing
 - 2-3 year program development schedule
 - List of progress benchmarks/indicators fore each major area of program emphasis

2. Project Development

DIS provides assistance in developing activities to achieve country objectives as defined in the Mission GDP strategy. This may encompass new projects but will mainly involve redirecting activities under existing projects. The following support this process:

Special studies and workshops. These supplement ongoing or prospective project design and implementation efforts where additional analysis is required. They will have an applied focus of direct relevance to a Mission's project development interests. They may be combined with special topic workshops where more intensive review and examination of issues will lead to improved GDP institutional strengthening activity design and implementation.

Project design. This should evolve out of work on sectoral assessments and strategy action plans, as well as arise from ad hoc requests for assistance from Missions. Project will provide LT and ST assistance, using resources from both the core and the requirements contract, and writing or helping write concept papers, PIDs and PPs, as well as redesigns, where Missions can use existing mechanisms with relative ease and simplicity to serve GDP goals.

3. Institutional Strengthening

In general, Missions initiate and manage GDP activities. However, in selected cases it may be more efficient to fund and manage pilot activities directly through the technical

support component from AID/W. Two main types of activities are anticipated under this component:

Host-country institutional strengthening activities. To be supported when the time required to design a project, amend an existing project, or receive country approval for use of already projectized resources would be prohibitive. Generally, support is for *small-scale pilot activities of short duration* and are considered "sub-projects" implemented by the contractor in coordination with the Mission. An illustrative sub-project would be technical assistance for training a parliamentary research staff in use of an on-line database.

Region-wide institutional networking. On a limited and highly selective basis, DIS will support region-wide networking, including, for example, region-wide technical cooperation in key institution-building areas (such as facilitating translation into Arabic of existing computer software for law databases, case tracking, and law drafting systems), and regional meetings on democratic representation, rule of law, administrative accountability, etc.

Selection Criteria:

Criteria for selecting these activities include the following:

1. Activity responds to a key objective of a bureau-approved GDP Mission strategy or, if a strategy does not yet exist, it supports Mission policy reform objectives.
2. Clear rationale exists for not doing the activity within a Mission project.
3. Mission provides necessary staff for in-country management.
4. Activity does not support organizations which advocate anti-democratic or violent political change, or which support social policies which would reduce basic personal liberties.

4. Program Support

Three types of services are provided:

Mission-based technical assistance. Short-term and long-term technical assistance (PSC-type) will be provided, under the contractor's requirements contract, to Missions for design, implementation, and evaluation.

Bureau TA resources. Some long-term technical assistance will be available to provide technical input on key issues, e.g., the PTU could analyze the political dimensions of the NE Bureau water strategy.

Management Information Systems (MIS). Key indicators at the project and program level will be developed, baseline data collected, and progress monitored. Development in Mission governance programs and the NGO grants will also be tracked.

BILATERAL PROGRAM SUPPORT COMPONENT

Purpose	To provide an additional funding source to catalyze Mission governance programs. In some cases, these funds may be used for project design.
Form	Funds are under DIS authorization, but authority to obligate and responsibility for management will be delegated to the Missions.
Selection Criteria	<p>The focus is on Missions with:</p> <ul style="list-style-type: none">• Well-developed GDP strategies• Existing or new obligating mechanisms• Shortage of OYB funds for GDP activities• Adequate support staff for activity management <p>In cases where Mission GDP strategies are not finalized, activities must support Mission policy reform objectives, be less than 12 months duration, not commit the Mission to follow-on activities.</p> <p>Activity cannot support organizations which advocate anti-democratic or violent political change, or which support social policies which would reduce basic personal liberties.</p>
Contractor Role	To provide AID project manager with assessment of feasibility of proposed activity and to provide limited MIS tracking.

NGO COMPONENT

Purpose To supports important institutional strengthening activities in cases where there is host country interest, but where USG involvement either directly with USDH or indirectly through a contractor, could be sensitive.

Types of Assistance US-based NGOs working on key national institutions (e.g., elections observation and strengthening electoral commissions).

US-based NGOS working with selected local advocacy-oriented organizations (e.g., business associations or labor unions).

Number 5-12 grants within the first three years.

Selection Criteria

US-Based NGO grant proposals:

- Activities proposed must support DIS project objectives and preference will be given to proposals which support Mission GDP strategy.
- Grants should involve activities in 2 or more NE countries (single country NGO proposals will be passed on to the USAID mission involved for decision and action locally).
- NGOs must be AID-registered (except for AFL-CIO affiliates and others not required by law to register).
- NGO must have successfully implemented activities in the past similar to those proposed.
- NGO must have a track record in the NE region, preferably in the country or countries in which it proposes to work.
- The ceiling for a grant is \$500,000 and the minimum is \$200,000; NGOs can be considered for a continuation or new grant, depending on the results of the first grant. However, except under special circumstances the combined total grants with any one recipient should not exceed \$1,000,000.
- The proposed activity does not duplicate activities already being implemented under an existing grant or contract.
- Activities addressing human rights issues will not be considered under this project but will be referred to the NE Human Rights Project under FAA see 116(e).

- Activities proposed for individual countries where USAID Missions exist must have Mission approval otherwise State field Mission.
- Except in special cases, the NGO must meet standard AID requirements for NGO counterpart funding (i.e., a minimum of 25% of the NGO's funding must be derived from non-USG sources); and
- An NGO that is proposing to work with one or more indigenous NGOs must demonstrate that the proposed activities and institution(s) to be assisted meet additional criteria for local NGOs.

GDP Grant Fund Proposals Targeting Local NGOs:

- Must be to develop or strengthen local NGO's ability to participate in policy reform efforts and/or advocacy functions, not for service delivery.
- Can support policy formulation (research and analysis) and dissemination (printed materials, audio-visual materials, seminars and workshops, lectures) on major issues facing a country or a region within a country. Preference will be given to proposals aimed at stimulating greater dialogue and discussion on issues related to economic and social policy reform or improved policy implementation.
- Local NGO must have a financial management system in place and must be open to external audit.
- Proposed activity must be "implementable" under present legal codes. The NGO must not advocate violent social change and must not be opposed to equal personal or civil liberties.
- Local NGO must be registered as a legal entity in the country in which it is based. It must have a charter and Board of Directors. The Board must meet at intervals called for in the charter.

Contractor

Role To assist in refining and/or developing selection criteria and other grant procedures for this component, as well as reviewing applications and monitoring grant implementation.

ILLUSTRATIVE ELEMENTS OF BASIC PROGRAM AREAS UNDER NE GDP

PUBLIC ACCOUNTABILITY

Legislative institutions
Municipal/local elected councils
Independent parties
Electoral institutions
Advocacy-oriented Organizations
(business, labor, women &
minorities, consumers,
environmental groups, etc.)
Media professionalism & indep.
Public opinion polling
Independent think tanks

LEGAL ACCOUNTABILITY

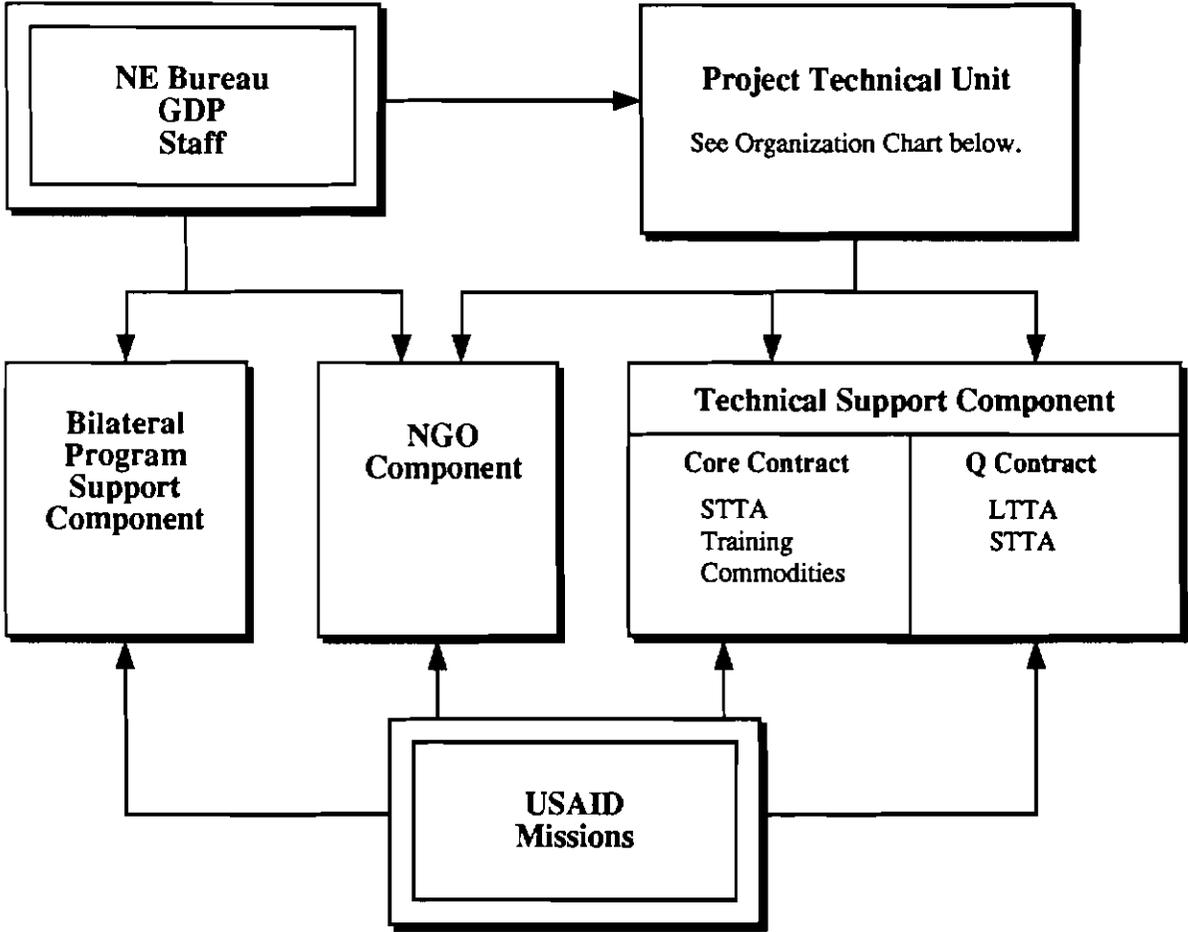
Judicial selection
Judicial education & training
Rules of legal procedure
Prosecutorial functions
Courts/case management
Legal services (quality & access)
Legal education
Access to law/reg. archives
Enforcement of judicial
decisions

ADMINISTRATIVE ACCOUNTABILITY

Internal auditing systems
Ombudsmen functions

Note: The above elements are illustrative only and are not intended as a menu of recommended activity areas for country GDP programs. Appropriate activities for a given country depend on history, existing institutions, and current development issues.

DIS Project Management



Project Technical Unit (PTU) Organization Chart

