

**AFRICA BUREAU: DEMOCRACY AND GOVERNANCE**  
**AFR USAID AND USG MISSION RESOURCE GUIDE**



**Prepared by Africa Bureau Office of Operations and New  
Initiatives, Warren Weinstein, Director (AFR/ONI)**

**July 1992**

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	Page
I. Overview.....	1
II. AFR Support to D/G Activities.....	2
III. D/G Activity Coordination Within AFR.....	3
IV. Assistance Available Under D/G Program.....	3
1. Assistance to USAID Missions.....	3
2. Direct Assistance to Support African Initiatives....	4
V. Additional D/G Services.....	4
1. Assistance to USAID Missions.....	4
2. Direct Assistance to Support African Initiatives....	4
 <b>ANNEXES:</b>	
Annex A: A.I.D. and AFR D/G Documentation.....	5
Annex B: Services Available Under AFR D/G Program.....	6
Annex B.1: Field-Based Governance Advisory Services.....	6
Annex B.2: ARD/MSI Services Contracts.....	7
Annex B.3: Legal Reform/Administration of Justice in Africa.....	8
Annex B.4: Africa Electoral Assistance.....	9
Annex B.5: Africa Regional Electoral Assistance Fund....	10
Annex B.6: Africa Bureau Information Center (ABIC).....	11

103

<b>Annex B.7:</b>	<b>Africa Democracy and Human Rights Fund Project.....</b>	<b>12</b>
<b>Annex B.8:</b>	<b>Program Performance Information for Strategic Management (PRISM).....</b>	<b>13</b>
<b>Annex B.9:</b>	<b>Decentralization: Finance and Management Project (DFM).....</b>	<b>14</b>
<b>Annex B.10:</b>	<b>Africa Women in Development (AFWID).....</b>	<b>16</b>
<b>Annex B.11:</b>	<b>Gender in Economic and Social System (GESYS).....</b>	<b>17</b>
<b>Annex B.12:</b>	<b>Implementing Policy Change (IPC).....</b>	<b>19</b>

## **I. Overview**

This guide is intended principally for use by USAID Mission personnel when putting into operation A.I.D. and Africa Bureau (AFR) policies, strategies, and guidelines and incorporating democracy and governance (D/G) factors into Mission portfolios. The guide concerns Mission activities from strategy (e.g., CPSP) through specific projects, whether stand-alone D/G projects or specific sectoral projects incorporating D/G themes.

The guide is also intended to inform U.S. Embassy personnel on A.I.D. D/G policies and activities as well as to indicate D/G funds accessible by the Embassy through A.I.D. channels.

The four principal themes of the AFR D/G program are:

1. **Supportive response to African initiatives --**
  - for more participatory, decentralized, democratic governance;
  - to establish the enabling environment/rule of law essential for sustainable development;
  - to encourage and support an effective civil society; and
  - to ensure civil and political rights;
2. **Integration of democracy and governance themes such as participation, transparency, and accountability into the overall A.I.D. program and project portfolio in Africa;**
3. **Systematic consultation, networking and dialogue so that African voices can be heard, and African perspectives can figure into, the AFR process for refinement of a democracy and governance strategy; and**
4. **Democracy and governance performance to be considered as a factor in allocating funds under the Development Fund for Africa (DFA).**

Annex A to this resource guide lists A.I.D. and AFR policy documents on D/G.

Annex B identifies D/G support services available to USAID Missions.

## **II. AFR Support to D/G Activities**

In FY 1990 and FY 1991, AFR and the USAID Missions developed the principles and themes now composing the AFR strategic approach to D/G matters. In 1991 and 1992, AFR has also committed discrete central resources in support of democracy and governance activities:

- On July 31, 1991, the AA/AFR approved the Democracy and Human Rights Project (698-0541), at \$5.5 million over 3 years, to provide small grant resources (up to \$100,000 per activity) for country-level activities, as well as funds for pre-electoral assessments and assistance through an A.I.D.-wide cooperative agreement to the International Foundation for Electoral Systems (IFES);
- On July 31, 1991, the AA/AFR authorized the AFR Democracy/Governance Program Development and Support Facility (698-0542), funded at the level of \$4.5 million, to support African democracy and governance initiatives through strategy and program development, promotion of African dialogue and networking, and applied research; and
- In June 1992, AFR also established the Africa Regional Electoral Assistance Fund (698-0486), funded at the level of \$12.5 million over 4 years, to provide support to African countries in preparing for and sustaining the democratic electoral process.

The Africa Bureau anticipates that the principal funding for democracy and governance activities in Africa will come through the bilateral OYBs of the USAID Missions in Africa. These activities in some instances will be stand-alone projects and, perhaps more often, will represent D/G contributions to Mission strategic objectives in social service, economic, and natural resource sectors. Thus, as part of its D/G program, AFR has, over the course of FY 1992, put into place a variety of resources and support mechanisms intended to:

- (a) Assist USAID Missions in Africa -- often in conjunction with a country democracy/governance team including the Embassy and USIS -- in giving specific content to AFR country strategies; and
- (b) Make more systematic the African consultative process that supports the AFR strategy.

### **III. D/G Activity Coordination Within AFR**

Responsibility for coordinating AFR D/G strategy within the Bureau resides in the Democracy and Governance Unit of the Office of Operations and New Initiatives (ONI/DG). AFR/ONI/DG's basic focus is to assist field Missions in this new area for AFR. At the same time, AFR/ONI/DG serves as the technical resource for the Bureau in development of strategies and programs, and coordinates the Bureau D/G activities with other USG agencies, PVCs/NGOs, Congress, and other donors.

### **IV. Assistance Available Under AFR D/G Program**

Annex B lists, in its separate sheets, the services and resources that may be accessed through AFR/ONI/DG by USAID Missions as part of the AFR Democracy and Governance Program. The services and resources fall broadly within two categories:

- **Assistance to USAID Missions** in the form of D/G strategy assessment/development (e.g., to include in the CPSP process), and support at various stages of the project design/implementation/evaluation continuum; and
- **D/G assistance to African governments or non-state institutions**, coordinated through USAID Missions.

As indicated in the summary sheets in Annex B, funding for some of the AFR D/G assistance is available (in whole or in part) from central AFR D/G sources. This is mainly for electoral and human rights activities normally outside of Missions' strategies and programs under the DFA. Other assistance facilitated by ONI/DG requires buy-ins from Mission OYBs.

Principal resources available to USAID Missions under the AFR D/G Program are as follows:

#### **1. Assistance to USAID Missions**

- (a) **Field-Based Long-Term D/G Advisors** (See Annex B.1, PSCs.)
- (b) **Strategic Assessments, Project Designs** (See Annex B.2, ARD Contracts.) (NOTE: Project designs, training, and evaluation must be Mission funded.)
- (c) **Law/Justice Assessments, Project Designs** (See Annex B.3, Checchi/Howard Univ. Contract.) (NOTE: Assessments, designs, training, and evaluation must be Mission funded.)

- (d) **Electoral Assessments** (See Annex B.4, IFES Cooperative Agreement, and Annex B.5, Africa Regional Electoral Assistance Fund.)
- (e) **D/G Information, Research** (See Annex B.6, Africa Bureau Information Center.)

**2. Direct Assistance to Support African Initiatives**

- (a) **Human Rights Project Funding** (See Annex B.7, Democracy and Human Rights Project.)
- (b) **Electoral Assistance** (See Annex B.4, IFES Cooperative Agreement and Annex B.5, Africa Regional Electoral Assistance Fund.)
- (c) **D/G Information, Research** (See Annex B.6, Africa Bureau Information Center.)

**V. Additional D/G Resources**

In addition to the resources made available directly through AFR D/G resources, AFR/ONI/DG can assist USAID Missions (and African governments and non-state institutions) gain access to other A.I.D. resources and facilities that can further Mission D/G objectives. Among these additional resources are the following:

**1. Assistance to USAID Missions**

- (a) **Developing D/G Strategic Objectives and Indicators** (See Annex B.8, PRISM Project.)
- (b) **Decentralization Assessments, Designs** (See Annex B.9, DFM Project.)
- (c) **Africa Women in Development** (See Annex B.10, AFWID.)
- (d) **Gender Focus in Assessments/Design** (See Annex B.11, GENESYS Project.)

**2. Direct Assistance to Support African Initiatives**

- (a) **Decentralization Programs** (See Annex B.9, DFM Project.)
- (b) **Public Administration/Policy Reform** (See Annex B12, IPC Project.)

**A.I.D. and AFR D/G Documentation**

**The following documents are available on request from the Africa Bureau Information Center (ABIC). (See Annex B.6.)**

**1. A.I.D. Policy Paper**

*Democracy and Governance*, USAID Policy, November 1991  
Directorate for Policy, U.S. Agency for International  
Development, Washington, D.C.

**2. Africa Bureau**

(a) *The Concept of Governance and Its Implications for  
A.I.D.'s Development Assistance Program in Africa*, June  
1992, ONI/DG (Dr. Robert Charlick, ARD)

(b) *AFR Strategy On Democratization*  
Cable 08 January 1991, Reference State 331899

(c) *Guidelines for A.I.D.-Funded Democracy/Governance  
Activities in Africa*  
Cable 18 May 1992, Reference State 164030

(d) *Africa Regional Electoral Assistance Fund (AREAF)  
Project*  
Cable 02 July 1992, Reference State 210786

(e) *Field Manual for Democracy and Human Rights Fund*

(f) *Background documents on the Africa Regional Electoral  
Assistance Fund (AREAF)*

**3. In addition, illustrative copies of scopes of work and design documents resulting from these various services (described in the following annexes) can be obtained on request from the Africa Bureau Information Center. Copies of project papers and logframes from AFR D/G-related projects as well as all project-related documentation on the A.I.D. Development Information System database are also available.**

**Services Available Under AFR D/G Program**

Annex B.1

**Title of Activity**      **Field-Based Governance Advisory Services**

**Description**              AFR/ONI and/or REDSO-funded governance advisory services for USAID Missions

**Assistance to USAID**      1.    D/G strategic assistance (e.g., CPSP).  
   2.    Develop scopes of work for D/G assessments, designs.  
   3.    Assist in D/G assessments, designs, evaluations.

**Funding Source(s)**      AFR/ONI and/or REDSO.

**Services Available**      Senior governance advisors, resident in region.

**Implementors**              Individual PSCs.

**Contacts**      **REDSO/ESA**      Prof. Joel D. Barkan, Governance Advisor  
   Nairobi, Kenya  
   Telephone: (254-2) 331-160 (off.)  
   Telephone: (254-2) 767-206 (res.)  
   Facsimile: (254-2) 330-945

**REDSO/WCA**      (position to be filled by September 1, 1992; further information to follow)

**ONI/DG**              AFR/ONI/DG  
   Robert Shoemaker or Jennifer Windsor  
   Telephone: (202) 647-3943 or  
   (202) 647-0443  
   Facsimile: (202) 647-7430



**Title of Activity**      **Legal Reform/Administration of Justice in Africa**  
Checchi/Howard IQC  
Contract No. AOT-0542-I-00-2006-00

**Description**              Technical assistance to USAID Missions, and at request of Missions, TA to African institutions in the areas of legal reform and administration of justice.

**Assistance to USAID**      1.    Assessments and strategy development.  
   2.    Project pre-design and design (e.g., PID/PAIPs, PP/PAADS).  
   3.    Evaluations.  
   4.    Technical assistance to African institutions.

**Funding Source(s)**      Mission buy-in.

**Services Available**      Expert personnel in the following fields, among others:

constitutional law	commercial law, tax, banking
land law	labor law
arbitration/mediation	structure of judicial systems
legal/judicial education	development of bar associations
development of legal aid clinics	court administration

**Implementors**              Prime Contractor: Checchi and Company Consulting, Inc.  
   Subcontractor: Howard University School of Law

**Contacts**      **ONI/DG**              **AFR/ONI/DG**  
   Robert Shoemaker or Jennifer Windsor  
   Telephone: (202) 647-3943 or  
   (202) 647-0443  
   Facsimile: (202) 647-7430

**Other**                      Checchi:  
   Patrick Meagher, Project Manager  
   Telephone: (202) 452-9700  
   Facsimile: (202) 466-9070

Title of Activity Africa Electoral Assistance  
Cooperative Agreement No. PDC-0023-A-00-1089-00

Description Cooperative Agreement to non-profit foundation to provide technical support for electoral processes in Africa.

Assistance to USAID 1. Pre-electoral assessments.  
2. Technical assistance in electoral preparations.  
3. Election monitoring.

Funding Source(s) Cooperative Agreement (on request from local election officials through U.S. Embassy/USAID).  
  
Mission buy-in. (No central funds available.)

Services Available 1. Expert personnel in following fields:  
electoral processes  
civic education  
2. Information and materials on elections.  
3. Electoral process training.

Implementors International Foundation for Electoral Systems (IFES)

Contacts ONI/DG AFR/ONI/DG  
Jennifer Windsor  
Telephone: (202) 647-0443  
Facsimile: (202) 647-7430

Other IFES  
Keith Klein, Project Manager  
Telephone: (202) 828-8507  
Facsimile: (202) 452-0804

<u>Title of Activity</u>	<b>Africa Regional Electoral Assistance Fund (AREF)</b> Cooperative Agreement No. 698-0486
<u>Description</u>	Cooperative Agreement to provide electoral assistance to support free and fair local and national elections and referenda throughout sub-Saharan Africa.
<u>Assistance to USAID</u>	The particular form of assistance to the Mission in any one country may vary from a one-time election system assessment to a full-scale, comprehensive assistance program beginning months before an election and running through the consolidation period after the election.
<u>Funding Source(s)</u>	Centrally-funded Cooperative Agreement. Accessed on request from U.S. Embassy, USAID, or from Africans themselves, and channelled through USAID/ONI/DG or directly to Cooperative Agreement partnership.
<u>Services Available</u>	Technical assistance and training in all stages of electoral process.
<u>Implementors</u>	African-American Institute, Inc. (AAI) International Republican Institute (IRI) National Democratic Institute (NDI)
<u>Contacts</u>	<u>ONI/DG</u> AFR/ONI/DG Jennifer Windsor Telephone: (202) 647-0443 Facsimile: (202) 647-7430
<u>Other</u>	AAI: Carl Schieren Telephone: (202) 667-5636  IRI: Ed Stewart Telephone: (202) 408-9450  NDI: Eric Bjorland Telephone: (202) 328-3136

**Title of Activity** Africa Bureau Information Center (ABIC)  
Cooperative Agreement No. PDC-0232-C-00-0068-00

**Description** Information center within A.I.D. Africa Bureau to access and disseminate development information (including on D/G) to A.I.D./Washington, USAID Missions, and non-governmental organizations.

**Assistance to USAID** Research, information, and document services.

**Funding Source(s)** AFR Central funding.

**Services Available**

1. Document services (including D/G reference collection and all A.I.D. project-related documents).
2. Research services.
3. D/G newsletter.
4. Database services: A.I.D., World Bank, U.N., and commercial databases.
5. Focus country profiles.
6. D/G resource database (institutions, organizations, and experts).

**Implementors** Academy for Education Development, Inc., under supervision of A.I.D. Center for Development Information and Evaluation (CDIE).

**Contacts** **ONI/DG** AFR/ONI/DG  
Robert Shoemaker or Jennifer Windsor  
Telephone: (202) 647-3943 or  
(202) 647-0443  
Facsimile: (202) 647-7430

**Other** Africa Bureau Information Center:  
Patricia Mantey  
Lisa Peterson  
Telephone: (202) 736-4131  
Facsimile: (202) 647-7430

Title of Activity Africa Democracy and Human Rights Fund Project  
Project No. 698-0541

Description Funding of Section 116(e) Democracy and Human Rights projects.

Assistance to USAID and USG Missions Fund small country-level activities in support of civil and political rights.

Funding Source(s) Section 116(e), central funds of \$2 million annually for Africa. Ceiling of \$100,000 per activity.

All activities based on specific requests from African government or NGO. Proposals generated by USG missions in the field and approved in Washington.

Services Available Funding only.

Implementors Implementation by Embassy or NGO/PVO within country.

Project management oversight by Embassy, with support of USAID controller.

Contacts ONI/DG AFR/ONI/DG  
Jennifer Windsor  
Telephone: (202) 647-0443  
Facsimile: (202) 647-7430

Title of Activity **Program Performance Information for Strategic Management (PRISM)**  
Contract No. PDC-0085-C-00-1141-00  
Contract No. PDC-0085-Q-00-1142-00

Description **Project to provide analytic and evaluation services to USAID Missions and host countries in design, implementation, and institutionalization of program performance and evaluation systems to improve strategic management of development assistance.**

Assistance to USAID 1. **Assist Missions to refine strategic objectives and to articulate strategies to achieve those objectives.**  
2. **Assist Missions to identify performance indicators and to obtain and use data.**  
3. **Maintain and make available PRISM database.**  
4. **Design and conduct program performance information management workshops.**

Funding Source(s) 1. **18 PPIS design/implementation activities annually, through central funds.**  
2. **Additional PPIS mission through USAID Mission buy-ins.**

Services Available **Expert personnel in monitoring and evaluation, strategic management, and information systems development in the following fields:**

**agriculture  
trade and investment  
democracy and governance  
environment/natural resource management  
macroeconomic studies  
health/population/child survival  
education**

Implementors **Prime Contractor: Management Systems International, Inc., under supervision of CDIE.**

**Subcontractors:  
Research Triangle Institute  
Labat-Anderson, Inc.**

Contacts **AFR/DP Joan Atherton, Telephone: (202) 647-2964  
POL/CDIE/SDS Gerald Britain, PRISM PO  
Telephone: (703) 875-5810**

**Title of Activity**     **Decentralization: Finance and Management Project (DFM)**  
Contract No. DHR-5446-Z-00-7033-00

**Description**     DFM addresses the issues surrounding sustainable provision, use, and finance of public services and natural resources. Core staff conduct research and provide technical assistance and training on the design and operation of decentralized institutional arrangements, sustainable systems of governance, management, and financing of goods and services involving citizen/consumer participation.

- Assistance to USAID**
1. Assist Missions in assessment and analysis of decentralization policies and local governance issues.
  2. Assist Missions in the design of policies and programs in support of local self-governing institutions related to the provision of public services and natural resource management.
  3. Provide host country research institutions, governmental, and non-governmental organizations with conceptual and analytical approaches for policy analysis and problem solving capabilities.

**Funding Source(s)**     R&D Core Funding.  
Mission/Central Bureau buy-in.

**Services Available**     Expert personnel -- for studies and applied research, project/program design and evaluation, training host country personnel, short-and long-term technical assistance -- in the following fields:

institutional analysis and design	political science public finance
institutional economics	political economy
public administration	

**Implementors**     **Prime: Associates in Rural Development, Inc.**  
**Subcontractors: Workshop in Political Theory and Policy Analysis, Indiana University;**  
**Metropolitan Studies Program, Maxwell School, Syracuse University.**

Contacts

R&D/EID

Tom Mehen or

Joseph Beausoleil

Tel: (703) 875-4422

Facsimile: (703) 875-4949

Associates in Rural Development

Louis Siegel or David Green

Telephone: (802) 658-3890

Facsimile: (802) 658-4247

**Title of Activity**      **Africa Women in Development (AFWID)**  
**Contract No. AFR-0529-C-00-0070-00**

**Description**      Provides long-term technical assistance through three field-based regional advisors and one Washington-based advisor whose activities and responsibilities fall within the Africa Bureau mandate to improve participation of African women in the range of economic and social development issues that affect the lives and livelihoods of all Africans.

**Assistance to USAID** 1.      Establishing and improving databases on gender issues maintained by host countries, private organizations, or A.I.D.  
2.      Conducting or affecting program assessments, project and program designs, reviews, and evaluations.  
3.      Developing a monitoring and information system integrated within Africa Bureau-wide systems and identifying analyses to be undertaken.  
4.      Incorporating gender in policy discussions with host governments in AFWID focus countries, equally applying to all of the above.

**Funding Source(s)**      No cost to Missions. Three regional advisors placed at REDSO/ESA, REDSO/WCA, and USAID/Gaborone.

**Services Available**      Expert personnel in gender analysis in following fields:

agricultural development  
education  
environment and natural resource  
management  
political science  
sociology

**Contacts**      John McEnaney, Project Officer, AFR/ONI  
Telephone: (202) 647-0302  
Facsimile: (202) 647-7430

Title of Activity      **Gender in Economic and Social Systems  
(GENESYS)  
Contract No. PDC-0100-Z-00-9044-00**

Description      **Core Contract: Support the A.I.D. Office of Women in Development in carrying out its mandate to mainstream gender concerns in development planning and action within the Agency's "way of doing business."**

**Requirements Contract: Long- and short-term technical assistance, research, and training for Missions and Bureaus in gender issues in three key sectors (agriculture, natural resources management, private enterprise) plus A.I.D. support for Democratic Initiatives.**

Assistance to USAID

1. Project and program design and implementation.
2. Monitoring -- supporting development of gender-integrated tracking systems and management information systems.
3. Project and program evaluation and assessments from a gender perspective.
4. Applied and targeted research, design studies, etc.
5. Training -- applying concepts and tools for integrating gender in development. Workshops, seminars, modules, etc. by Mission, sector, or other foci for USAID Missions and/or their contractors, collaborating PVOs, and government officials.

Funding Source(s)

**Mission buy-in: for all services, cost-shared assistance (each dollar of Mission or Bureau money is matched by one dollar of funding from R&D/WID.)**

Services Available      **Expert personnel in the following fields:**

political science	public finance
public administration	urban planning
municipal development	institutional development
law	management
private sector	economics
anthropology	sociology
demography	

**Implementors**

**Prime Contractor: The Futures Group (TFG)**

**Subcontractors:**

**Development Alternatives, Inc. (DAI)**

**Management Systems International (MSI)**

**Contacts    R&D/WID**

**Martin Heweill, Project Officer**

**or**

**Nina Bowen, WID Liaison for Africa**

**Telephone: (703) 875-4668**

**Facsimile: (703) 875-4633**

**GENESYS**

**Pietronella van den Oever, Project Director**

**Telephone: (202) 775-9680**

**Facsimile: (202) 775-9694 or -9699**

**Title of Activity**    **Implementing Policy Change Project (IPC)**  
Core Contract: DHR-5451-C-00-0109-00  
Requirements Contract: DHR-5451-Q-00-0110-00

**Description**    Core contract focuses on participatory approaches and strategic management to improve the prospects of successful policy implementation. The project also features research and networking components.

Requirements contract allows USAID Missions to access IPC consortium's technical assistance.

**Assistance to USAID**

1. Diagnostic missions to determine political and management obstacles to implementing specific policies.
2. Assessments of country's institutional capacity to carry out specific policy changes.
3. Support and guidance to host country implementing organizations.
4. Collection of baseline data.

**Funding Source(s)**

A limited number of initial activities in Africa USAID Missions may be core funded. Most technical assistance provided through Mission buy-ins.

**Services Available**

Expert personnel in the following fields:

public administration	management
economics	public policy
political science	private sector

**Implementors**    Prime contractor: Management Systems International (MSI)

**Subcontractors:**

International Development Management Center  
(University of Maryland)

Abt Associates

Development Alternatives, Inc. (DAI)

**Associated Organizations:**

Institute for Public Administration

Research Triangle

Deloitte and Touche

Thunder & Associates

International Management Development

Institute (University of Pittsburgh)

Contacts RD/EID

Jeanne North or Pat Isman  
Telephone: (703) 875-4587 or  
(703) 875-4625  
Facsimile: (703) 875-4949

Other

Larry Cooley, Project Director (MSI)  
Telephone: (202) 484-7170  
Facsimile: (202) 488-0754