DRAFT

DEMOCRACY AND HUMAN RIGHTS FUND
OPERATING MANUAL

SECTION A

MANUAL PURPOSE AND CONTENT

The purpose of this Manual is to provide guidance to field Missions as to the objectives of the Democracy and Human Rights Fund and procedures and regulations to be followed.

It is written as a step-by-step guide as in most instances Embassy Democracy and Human Rights (DHR) officers do not have experience with project design or implementation, nor do they have detailed knowledge of A.I.D. regulations.

The manual is in draft form. It will be revised during FY 1993 to reflect field comments and additional guidance currently being developed.

The manual is divided into sections, each of which addresses a specific issue or set of issues. It is in binder form so that additional information can be added, or sections replaced, as required.

Most sections have a series of annexes which provide additional information on specific issues raised in the body of the section. In addition, a series of appendices provide more general background information or overall guidance.

A summary easy reference guide is included as Section B.

The manual is intended to provide guidance on a series of general issues and explain the main procedures to be followed. It cannot, by definition, deal with specific issues, and therefore in several instances merely refers DHR officers to seek guidance from other sources.

Additionally, material and information provided in the manual will be augmented with, and superseded by,

cabled information from AF/RA and AFR/ONI/DG as additional guidelines and procedures are developed.

In instances in which information contained in this manual is not consistent with cabled guidance, the guidance provided by cables, either from AF/RA or AFR/ONI/DG, should be followed.

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SUMMARY EASY-REFERENCE GUIDE AND CHECKLISTS

This section is a summary of the rest of the manual, and is intended to provide information in an easily accessible form. Other sections where more detailed information can be obtained are referenced throughout the section.

Sample document formats and checklists are included as Exhibits at the end of the section. The checklists are intended as a management tool to help ensure that all required information is obtained, and all required actions taken, at various stages of activity management.

I. Overview of the Democracy and Human Rights Fund Project

See Section C for further details.

A. Purpose

The Democracy and Human Rights Fund (DHRF) Project is intended to:

- provide an easy access, quick disbursing mechanism in support of the transition to greater democracy in Africa; and
- fund short-term, small, discrete activities.

All activities financed using DHRF funds should:

- be based on specific requests from African governments or non-governmental organizations;
- be completed within one year of obligation of funds through an Activity Agreement.

The maximum amount which can be provided under the DHRF is $100,000, but the average cost of activities is $25,000.

B. Management

All DHRF activities are likely to be management intensive, but larger, more complex activities will place a greater management burden on field Missions.

Because of management issues, small activities costing under $25,000 are preferable to larger, longer-term activities.

All DHRF activities should be managed by the Embassy democracy and human rights (DHR) officer.

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However, the USAID Controller must record all financial transactions, and provide clearance on all documents which involve funding. Other USAID staff can also provide specific expertise.

USAID and USIS both have additional sources of funding for DHRF activities. Further details are provided in Section G.

C. Eligible Activities

Categories of activities eligible for funding under the DHRF are:

- human rights
- legal
- constitutional
- civic education
- electoral
- media support.

Section D provides more information on the range of activities which fall under these general categories.

D. Ineligible Categories

DHRF funds cannot be used to fund:

- vehicles;
- purchase of property;
- long term leasing of property;

or

- to support the police or the military;
- for propaganda purposes;
- to support political parties.

E. Field Missions

Field Missions should establish field Democracy and Human Rights (DHR) Committees1/ to review and approve all proposed activities.

F. Inter-Agency Review

Proposed activities should be sent to the inter-agency Democracy and Human Rights (DHRF) Committee in Washington for review and concurrence or approval.

As indicated in Appendix 1, Action Memorandum on Streamlined Procedures, the DHRF Committee review will be less rigorous for activities under $25,000 than for larger, more complex activities.

1/ DHR Committees are the field Democracy and Human Rights committees. The DHRF Committee is the Washington-based, inter-agency committee which approves use of DHRF funds.

II. Proposal Development, Review and Approval

A. Grantee Organizations

In each country, potential grantee organizations should submit proposals for review by the field DHR Committee.

At a minimum proposals should, at this stage, contain the following information:

- grantee organization information;
- name and title of person responsible for the activity;
- details of the organization, including membership, size and other funding sources;
- context and rationale for the activity;
- purpose of activity and intended impact;
- brief description of activity, including schedule; and
- estimated cost and amount requested from USG.

Many potential grantee organizations lack experience in writing proposals. The format included as Exhibit A at the end of this section can be provided to assist them.

B. Field Review of Proposals

DHR officers should review proposals and ensure sufficient information is included to facilitate review by the field DHR Committee.

The field DHR Committee should review proposals and select activities for submission to Washington for funding.

The field DHR Committee should ascertain the extent to which proposed activities:

- conform to the DHR Program Plan and the overall Mission strategy on democracy and governance;
- promote democracy and human rights in the country;
- can be successfully implemented by the organization proposing them;
- place an undue management burden on the Embassy DHR Officer.

Following field DHR Committee review, Missions should submit proposed activities to the Washington DHRF Committee for review.

A proposal submission checklist is included for reference as Exhibit B at the end of this section.

C. Washington DHRF Committee Review of Proposals

The DHRF Committee (formerly known as the 116(e) Committee) meets to review proposals approximately four times a year, once during each quarter of the fiscal year.

Field DHR Program Plans should be submitted for DHRF Committee review midway during the first quarter.

The DHRF Committee will review field proposals during each of its quarterly meetings.

It will review proposals in accordance with field Mission DHR Program Plans. Small activities (under $25,000), will be approved in principle, and a single budget allowance will be sent to field Missions.

Proposals for activities in the $25,000-$100,000 range will be subject to more detailed review. Particular attention will be given to prospective grantees' ability to adequately manage and account for DHRF funds.

Individual budget allowances will be sent to the field for each approved activity in the $25,000-$100,000 range.

Approximately half of the funds available each fiscal year will be allocated by the DHRF Committee during its first quarterly meeting.

Remaining funds will be allocated during other meetings. A small portion of funds will be retained to fund activities developed late in the fiscal year.

These funds will be allocated during the final quarterly meeting, provided that the DHRF Committee is assured that they can be programmed by the end of the fiscal year.

D. Submission Procedures

Field Missions should submit DHR Program Plans and descriptions of proposed activities for DHRF Committee review by unclassified cable.

All cables should:

- Use the "KDEM" tag to ensure adequate distribution;
- be clearly addressed for "AF/RA; also for HA, A.I.D AFR/ONI/DG, and USIA/AF";
- be cleared by the field DHR Committee; and
- be cleared by USAID.

Cables describing proposed activities should contain the following information:

- the political context in which the activity will take place;
- the connection of the activity with democracy/human rights;
- how the proposal ranks against other proposals also being submitted by the Mission;

- a brief description of the activity which includes its potential impact, sustainability, community or participant support, timing and duration;
- cost of the activity and amount requested from the U.S.;
- a brief description of the implementing organization, including its capacity to manage the activity;2/ and
- the capacity of the Mission to manage the activity.

E. Review Criteria

The DHRF Committee will consider the following when reviewing proposals:

- connection to political liberalization and human rights;
- conformity with Mission DHR Project Plan;
- potential impact;
- cost effectiveness;
- grantee financial managerial ability; and
- the management burden placed on Embassy DHR Officers.

F. Approval Process

Following DHRF Committee review of proposals, an approval cable and a budget allowance cable will be sent to the field.

2/ Particular attention should be given to the prospective organization's capacity to effectively manage funds. It is possible that a financial review of organizations will be required prior to grant award. If organizations do not have adequate financial records and cannot adequately manage funds, responsibility for the management of funds will lie with the DHRF officer.

The approval cable, sent out by AF/RA, communicates DHRF Committee decisions. If activities are approved, DHR officers can work with organizations to finalize proposals. Receipt of an approval cable does not mean that funds can be obligated.

The budget allowance cable provides funding information.

Funds can be obligated once the budget allowance cable is received.

A single budget allowance cable will be sent for all small (under $25,000) activities approved at the first DHRF Committee meeting.

Individual budget allowance cables will be sent for each activity in excess of $25,000 as such activities are approved by the DHRF Committee.

There will be some delay between funding decisions being taken by the DHRF committee and the budget allowance cable being sent to the field, due to the large number of budget allowance requests handled by AFR/DP. Missions should assume that the process will take about one month.

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III. Grant Award

Once the budget allowance cable has been received, an agreement can be entered into with the grantee organization to provide funds for agreed-upon activities.

A. Activity Agreement

All activities need to have a DHR Activity Agreement, which must be signed by the grantee representative and the Ambassador or the Ambassador's designate.

Before it can be signed, each Activity Agreement must have:

- an activity agreement number
- fiscal data
- all required clearances

Activity agreement numbers and fiscal data are provided by the USAID Controller.

DHR Activity Agreements should have four sections:

- A standard Agreement Letter
- Attachment 1, Special Terms and Conditions
- Attachment 2, Activity Description
- Attachment 3, Standard Provisions

Section E provides information on how to fill out the Agreement Letter.

Attachment 1 of the Activity Agreement should indicate any special terms or conditions to be met, and describe reporting requirements.

Attachment 2 should contain a brief description of the activity, together with a budget and schedule for implementation.

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Standard provisions are available from USAID regional legal advisors, from Handbook 19, and from this manual.

AFR/ONI will inform field Missions of changes to the standard provisions.

A standard format DHR Activity Agreement is provided as Exhibit C, at the end of this section.

B. Obligation of Funds

Once the DHR Activity Agreement has been signed by the grantee organization representative and the Ambassador or the Ambassador's designate, the obligation of funds must be recorded.

A copy of the signed agreement should be given to the USAID Controller who will enter the obligation into the financial records.

An obligation cable should be sent to Washington to ensure that the obligation is recorded there.

The cable should include the date of the agreement, the amount, the activity completion date, the name of the grantee, and a very brief description of the activity.

One copy of the signed agreement should be given to the grantee, and another copy pouched to AF/RA.

A copy of the agreement should also be filed in the DHR file opened for the activity by the Embassy DHR officer.

A checklist for grant award and obligation of funds is provided as Exhibit D at the end of this section.

IV. Implementation of Activities

Section E, Implementation of Activities provides additional information on roles, responsibilities, and procedures to be followed to ensure adequate implementation of funded activities.

A. Adherence to, and Amendment of, DHR Activity Agreements

DHR Activity Agreements are contractual documents which indicate specific activities to be financed using DHRF funds.

The terms and conditions specified in DHR Activity Agreements should be followed, funds used for the purposes indicated, and activities completed in the time and for the cost stipulated.

Grantees often do not understand this, and assume that they have greater flexibility in the use of funds.

DHR officers should ensure that grantees understand the contractual nature of agreements, and also maintain close contact throughout the implementation of activities.

It will be necessary in some cases to deviate from proposed schedules or change the nature of activities because of circumstances.

In such instances, DHR Activity Agreements should be amended to reflect changes.

A standard DHR Activity Agreement Amendment is given as Exhibit E at the end of this section, and further discussion of amendments is provided in Section E, Implementation of Activities, 1. Management of DHRF-Funded Activities and Section E, Annex B.

B. Record Keeping and Reporting

Grantees and DHR officers are required to keep records and report on DHRF-funded activities.

Grantees

Grantees should keep both progress and financial records. In many cases grantees will need assistance to establish adequate financial record-keeping systems, and should be encouraged to keep all invoices, receipts and documents pertaining to financial transactions on file.

Grantees should submit progress and financial reports. These are discussed in Section D, Monitoring, Reporting, Close-Out and Evaluation of Activities, following.

DHR Officers

DHR officers should establish records for funded activities. Such records should contain:

- DHR Activity Agreements
- Amendments to DHR Activity Agreements
- Purchase orders, contracts or invitational travel documents pertaining to activities
- Communications with grantees
- Communications with the DHRF Committee in Washington
- Cables relating to activities
- Financial and procurement records and documents
- Progress and financial reports.

DHR officers should report on the progress of individual activities to field DHR Committees during their regular, scheduled meetings.

Missions are required to report on the progress of activities to the DHRF Committee. These reporting requirements are discussed in Section D, following.

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C. Financial Management and Procurement

Financial management and accountability of funds are extremely important, and DHR officers must ensure that all funds are properly accounted for.

Additional information is given in Section E, 3. Financial Management and Procurement, and Section F, Financial Management and Procurement Issues.

Additional guidance regarding requirements to ensure financial accountability will be sent to field Missions by AF/RA and AFR/ONI/DG.

Key points for financial management are that:

- A.I.D. regulations are followed;
- expenditures are supported by adequate documentation;
- proper financial records are kept; and
- funds are expended for the purposes they were intended.

Management of Funds

Most frequently, grantee organizations will not be given funds to manage directly, and the pro forma method of payment will be used. This means that:

- Grantees obtain pro forma invoices (written price quotations) from at least three vendors;
- Selection is made on the basis of cost, availability, and quality;
- vendors supply goods and submit receipts for payment;
- DHR officers approve payment; and
- checks are sent directly to vendors.

This method places the burden of accountability for funds on DHR officers, who should ensure that proper financial procedures are followed, and adequate records kept.

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Procurement of Services

A similar procedure is followed for procurement of services, whereby the Embassy or USAID enters into direct contracts with firms or individuals to procure specified services, and makes payment directly to such firms or individuals once the services have been performed.

Free and Open Competition

In all cases, the principles of free and open competition should be followed, so that organizations should obtain quotations from at least three sources before making a selection.

Payment Procedures

DHR officers must complete either SF1034 or FS-455 forms,3/ together with project officer approval sheets for all payments. These forms can be obtained from USAID Controllers.

Procurement Regulations

Section F, Financial and Procurement Issues, gives a more complete explanation of the following points which should be borne in mind:

Handbook 19 procurement regulations apply to DHRF funded activities. This means that:

3/ These are standard A.I.D. forms used to process payment for goods and services. They can be obtained from USAID Controllers, who can also explain how they should be used.

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- Goods and services should be procured in the country in which activities are taking place to the extent possible.4/

- In instances in which this is not possible an order of preference based on the A.I.D. Geographic Code should be followed. Section F gives details of this order of preference.

- If goods and services costing over $5,000 are to be procured from the United States, a small business notification waiver is required.

- A.I.D. decals are normally required on all equipment and commodities procured using DHRF funds. However, the regulations also permit that such marking requirements can be applied at the discretion of the Ambassador.

- The principles of free and open competition should be applied to all DHRF-funded activities.

- DHRF funds are subject to audit, and so sound financial management procedures should be followed and records kept.

- DHRF funds must be obligated during the fiscal year in which they are allowed. Funds should be obligated by the end of August each fiscal year, unless special authorization of the DHRF Committee is obtained.

- Funds should be expended by Grantees within one year of being made available under DHR Activity Agreements.

4/ It is possible that new "Buy America" regulations will be applied to the DHRF. Additional guidance regarding this will be sent to field Missions by AFR/ONI/DG.

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- DHR Activity Agreements can be extended beyond one year only with the concurrence of the DHRF Committee.
- If DHR Activity Agreements are extended beyond one year, funds must be expended at the very latest by the end of the next fiscal year.
- Funds from one fiscal year cannot be used to fund activities in another fiscal year.
- Activities cannot be split into components and funded over a number of fiscal years.
- Funds must be accounted for by receipts or other documentary proof that funds have been used.
- All unused funds must be returned, unless agreement is reached that they can be used for additional activities.
- DHRF funds should not be co-mingled with other funds provided by other donors.
- The amount obligated under each DHR Activity Agreement is the binding amount provided for each activity. Short-falls or excess funds may occur due to exchange rate fluctuations or differences between actual and estimated costs.

V. Monitoring, Reporting, Evaluation and Close-Out of Activities

A. Monitoring is the on-going assessment of activities.

Grantees should be encouraged to monitor their activities as a management tool, in order that potential problems might be identified and solutions found.

DHR officers should monitor individual funded activities to ensure that they are being implemented according to plan, and having their intended impact.

The field DHR Committee should monitor the DHR portfolio of activities to ensure that funded activities remain relevant to the situation within the country and contribute to the promotion of democracy and human rights.

The DHRF Committee will monitor the DHRF itself to ensure that funded activities represent the most effective use of funds and are consistent with the overall objectives of the DHRF.

The DHRF Committee cannot adequately monitor the use of the DHRF unless field Missions monitor funded projects and report on them in a timely manner.

B. Reporting is the way on-going monitoring is documented.

Grantees are required to submit periodic progress and financial reports, as well as close out reports.

In instances in which activities are implemented over a period of time, these should be submitted during the course of implementation.

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In instances in which funds are provided for a short-term activity, only a close out report will be required.

A sample grantee reporting format is given as Exhibit F at the end of this section.

DHR officers should report on the progress of funded activities to field DHR Committees in their regular, scheduled meetings, and keep copies of all reports on file.

Missions are required to submit the following to the DHRF in Washington:

- obligation cables for each funded activity;
- quarterly progress reports for all activities at the end of the first, second and third quarters of the fiscal year -- December, March, and June;
- an annual progress report for all activities at the end of the fourth quarter -- September;
- an annual financial status report at the end of the third quarter -- June; and
- close-out reports for each funded activity as activities are completed.

An examples of a field Mission reporting format is included as Exhibit G at the end of this section.

The DHRF Committee will not consider proposals for new activities in instances in which Missions have not adequately reported on previously-funded activities.

The DHRF Committee reports to Congress on the DHRF, and also prepares an annual summary report of funded activities which is sent to all field Missions.

C. **Evaluation of activities should be undertaken to assess the impact of such activities,** and to better understand factors which affected their implementation.

Evaluation of DHRF activities should contain an assessment of:

- the socio-political context in which activities were implemented;
- how funded activities contributed to the overall Mission strategy on democracy, governance and human rights;
- constraints to effective implementation;
- impact in terms of their contribution to the development of democratic societies.

An evaluation report format is included as Exhibit H at the end of this section.

D. **Close-Out of activities is very important.** Unless this is done, financial records cannot be reconciled and closed, and activities will be recorded as on-going even though they have been completed. This makes evaluation and reporting of the DHRF very difficult.

Grantees should submit close-out reports, which not only evaluate activities, but also indicate how funds have been expended.

DHR officers should ensure that all financial transactions have been completed, and inform the USAID Controller that activities have been concluded.

USAID Controllers can then reconcile their financial records, and de-obligate any unused funds.

Missions should submit close-out cables to the DHRF Committee for each funded activity as soon as the USAID Controller has closed the financial records.

A checklist for activity close out is included as Exhibit I of this section.

Annual Funding and Implementation Cycle

DHR Program Plan	Mid-first quarter
Development of Proposals	First quarter for first quarter funding consideration
	First quarter for second quarter funding consideration
	Second quarter for third quarter funding consideration
	Third quarter for final FY funding consideration
Implementation of Activities	On-going through individual activity completion dates
	Activities for a maximum of one year, unless specifically authorized by the DHRF Committee
Reporting to DHRF Committee	Obligation cables as funds obligated throughout fiscal year
	Periodic progress reports due end of January, April, June
	Annual report due end of September

	Annual financial status report due end of June
	Activity close-out reports as activities completed
DHRF Committee Meetings	Quarterly
Obligation Schedule	Approval cables sent within two weeks of DHRF Committee meetings
	Budget allowance cables sent within one month of DHRF Committee meetings
	DHR Activity Agreements signed throughout fiscal year. All funds to be obligated by end July.

Activity Selection, Funding and Close-Out Cycle

Action	Agent	Timeframe
Development of Mission DHR Program Plan	Mission Country Team DHR Committees	Mid-first quarter of FY
Selection of activities	Mission Country Team DHR Committees	By end of first, second and third quarters of FY
Activities cable for AF/RA action, AFR/ONI and HA info.	Field DHR Officer	As above
Review of activities	DHRF Committee	First, second, third, and fourth quarters of FY
Approval cable to Missions	AF/RA, cleared by HA, AFR/ONI, AFR/DP	Following quarterly meetings
Memo of approvals	AF/RA, sent to HA, AFR/ONI, AFR/DP	As above
Budget allowance request	AFR/ONI to AFR/DP	As above
Budget allowance cable sent to field	AFR/DP, cleared by AF/RA, HA, AFR/ONI	One month after request received
Fund cites given	USAID Controller	As required, following receipt of budget allowance cable

DHR Activity Agreement documents prepared	DHR Officer, cleared by USAID Controller	As activities finalized
Obligation cable sent to AF/RA; AFR/ONI; HA	DHR officer, cleared by USAID Controller	As grants obligated
Obligation entered into MACS	USAID Controller	As grants obligated
DHRF obligations recorded	AFR/DP; AFR/ONI; AF/RA	As obligations cables received
Disbursements tracked	DHR Officer; USAID Controller	As disbursements occur
Activities implemented	Grantee, monitored by DHR Officer	As scheduled
De-obligation/re-obligation of funds within Mission	USAID/Controller DHR Officer, with DHR Committee approval and DHRF Committee concurrence	As required but by end-May
Re-programming of funds between Missions	DHRF Committee approval; AF/RA decision cables to Missions; AFR/DP allowance cables	Decisions mid-June, approval cables to Missions end-June, budget allowances mid-July
Close out reporting cables to AF/RA for action; AFR/ONI; HA; AFR/DP info.	DHR Officer, cleared by USAID Controller	As activities closed out

Sample Grantee Proposal Format

Your proposal should follow the following format as far as possible. Attach whatever additional information you think is necessary.

1. Organizational Details

Name of organization:

Address:

Telephone Number:

Name of person responsible for the project:

2. Description of the Organization

Please give a brief description of the organization including information on how long the organization has existed, where it is based, membership, size, funding sources, and other activities undertaken.

3. Background Information

Please give a brief description of the context in which the activity is set, and the rationale for the activity. Indicate how the activity addresses issues of democracy and human rights.

4. Description of Activity

a. This section should state the purpose of the activity and what it is intended to achieve. It should also indicate the impact the activity is intended to have, and who will be involved in the activity.

b. This should give a brief description of the activity, including the schedule, duration and start date. It should also indicate the relationship of the activity to others undertaken by the organization.

c. Estimated cost, amount requested from the U.S. Government, and other funding sources.

d. Estimated budget format:

Budget Line-Item*	Amount (US$)
Total:	

*Budget line-items are individual cost items such as equipment, consultant fees, production of reports, etc. which make up the activity.

Proposal Checklist

a. The Grantee proposal

- contains all relevant information ____
- has a clear connection to democracy and human rights ____
- contains reasonable cost and scheduling estimates ____
- can be adequately undertaken by the grantee ____
- conforms to DHR Project Plan ____

b. Field DHR Committee approval

The activity has been approved by the field DHR Committee ____

c. Mission proposal cable:

- uses KDEM tag ____
- has been cleared by field DHR Committee ____
- has been cleared by USAID ____
- contains:
  background information ____
  discussion of connection to democracy/human rights ____
  discussion of connection to DHR Project Plan ____
  ranking of activity vis-a-vis others proposed by the Mission ____
  description of activity ____
  cost information ____
  management (particularly financial) information ____

Section B

Exhibit C

AGREEMENT BETWEEN

THE GOVERNMENT OF THE UNITED STATES OF AMERICA

AND

XXXXXXXXXXX[1]

Activity Agreement No: DHR-92-676-01[2]

Title: National Association of Lawyers, Training Seminars

Amount of Agreement: $10,000[3]

Authority: Pursuant to the Foreign Assistance Act of 1961, as amended, and in accordance with the General Agreement on Special Development Assistance between the Government of the United States of America and the Government of XXX dated XXXXX,[4] and in accordance with the standard provisions attached to this Agreement, the Government of the United States of America agrees to grant the Grantee under the terms of this Agreement an amount not to exceed ten thousand United States Dollars[5] to meet the costs of carrying out the activity described in this Agreement.

Agreement Completion Date: December 31, 1993.[6]

This Agreement consists of this title page and Attachment 1, Terms and Conditions, Attachment 2, Project Description, and Attachment 3, Standard Provisions.

For the National Association of Lawyers[7]	For the Government of the United States of America
_____	_____
Typed Name Title	Typed Name Ambassador
Date:	Date:

Fiscal Data[1]

Appropriation:
BPC:
Allowance:
Project:
Amount:
Res. Control No:
Ermk. Control No:

Funds Available:

Attachment 1

Terms and Conditions

This attachment should specify any special terms and conditions relating to the agreement, such as source/origin issues, method of payment, reporting requirements or specific procedures to be followed.

Attachment 2

Project Description

This attachment should consist of a brief description of the activities to be undertaken, together with a timeframe and budget.

Attachment 3

Standard Provisions

Attachment # _____ to
Individual Activity
Agreement Number: ____

STANDARD PROVISIONS FOR
SPECIAL DEVELOPMENT ASSISTANCE

A. The Embassy shall expend funds and carry on operations pursuant to this agreement only in accordance with the applicable laws and regulations of the United States Government.

B. The parties shall have the right at any time to observe operations carried out under this agreement. Either party during the term of an activity under this agreement and until three years after the completion of the activity, shall further have the right (1) to examine any property procured through financing by that party under this agreement, wherever such property is located, and (2) to inspect and audit any records and accounts with respect to funds provided by, or any properties and contract services procured through financing by, that party under this agreement, wherever such records may be located and maintained. Each party, in arranging for any disposition of any property procured through financing by the other party under this agreement, shall assure that the rights of examination, inspection, and audit described in the preceding sentence are reserved to the party which did the financing.

C. Any property furnished through financing pursuant to this agreement shall, unless otherwise agreed by the United States Government, be devoted to the project until completion of the project, and thereafter shall be used so as to further the objectives sought in carrying out the project. Unless otherwise agreed by the United States Government, _____ shall offer to return to the United States Government, or to reimburse the United States for, any property which it obtains through financing by the United States Government pursuant to this agreement which is not used in accordance with the preceding sentence.

D. The Individual Activity Agreement shall enter into force when signed. All or part of the assistance provided herein may be terminated by either party by giving the other party 30 days written notice of intention to terminate the agreement. Termination of the agreement shall terminate any obligations of the two parties, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to termination of the IAA. It is expressly understood that all implementing documents, such as purchase orders, requisitions, procurement actions, etc., must be initiated under this obligating Individual Activity Agreement by the agreed upon terminal date, but not later than one month from the effective date of the agreement, otherwise the cancellation provision stated in the preceding sentence will automatically become effective without the necessity of a written advance notice of intent to cancel.

1. Enter grantee organization name.

2. The following format should be used to number activity agreements:

Prefix	Fiscal Year	Country Code	Agreement No.
DHR	92, 93 etc.	676 etc.	01, 02, etc.

The USAID Controller will assign numbers. DHR stands for Democracy and Human Rights Fund. The fiscal year refers to the fiscal year in which funds are provided. Each country has a country code assigned to it. The agreement number is the number assigned to each particular activity agreement.

3. Enter amount of grant.

4. Enter details of this Agreement. If no agreement exists, and a decision has been taken not to enter into such an agreement, omit this reference.

5. Enter the amount of the grant.

6. Enter the date by which activities should be completed.

7. Enter name of the organization or government.

8. Obtained from the USAID Controller. Agreements need to have fiscal data indicated somewhere on them before they can be signed.

The appropriation, budget plan code (BPC) and allowance data are sent to the USAID Controller by AFR/DP. The USAID Controller will provide this information for each agreement.

The project is the DHR Project, 698-0541.

The reservation control number (res. cntl. no) and earmark control number (ermk. cntl. no) are accounting system numbers required and provided by the USAID Controller.

The Controller should certify that funds for the activity are available before an agreement is signed.

Section B

Exhibit D

Checklist for Grant Award and Obligation of Funds

a. The DHR Activity Agreement

- has been assigned a number by the Controller ____
- has fiscal data indicated ____
- has been cleared for funds availability by the Controller ____
- has been cleared ____
- includes:
  - a. Cover letter ____
  - b. Attachment 1, Terms and Conditions ____
  - c. Attachment 2, Project Description ____
  - d. Attachment 3, Standard Provisions ____

b. Copies of the DHR Activity Agreement have been

- given to the grantee organization ____
- pouched to AF/RA ____
- filed in DHR files ____
- given to the USAID Controller ____

c. An obligation cable to Washington:

- has been cleared by the Controller ____
- uses the KDEM tag ____
- contains information on:
  - date of agreement ____
  - amount of agreement ____
  - activity completion date ____
  - name of grantee ____
  - the nature of the activity ____

Section B

Exhibit E

AGREEMENT BETWEEN

THE GOVERNMENT OF THE UNITED STATES OF AMERICA

AND

XXXXXXXXXXX
(Grantee Name)

AMENDMENT NO. 1 (2/3 etc)

The Agreement between the Government of the United States of America and XXXXX (grantee name), dated XXXX (date of original agreement) is hereby amended as follows:

Indicate the changes to be made, citing both the section of the agreement to be changed and the nature of the change.

Except as amended herein, all terms and conditions of the Agreement remain in force and effect.

For: (grantee name)	For the Government of the United States of America
---	---
Name and Title	Name, Ambassador
---	---
Date	Date

Section B

Exhibit F

Suggested Grantee Activity Report Format

Activity Agreement Number:

Grantee Name:

Amount of Agreement:

Date of Agreement:

Activity Termination Date:

Financial Status of Grant:

(ie. amount of agreement funds used to date, amount advanced, amount available etc)

Activity:

(brief description of what the grant was for)

Activity Status:

(brief description of the status of the activity, including problems encountered and steps taken to overcome such problems)

Close out reports should also indicate an assessment of the success of the activity in terms of meeting its objectives and promoting democracy and human rights. Where possible some assessment of impact, and indication of reaction of participants should be made.

Section B

Exhibit G

Illustrative Format for DHRF Activity Reporting

Democracy and Human Rights Fund Project
698-0541

A. Overview of funded activities in terms of success in meeting individual objectives, and contribution to promotion of democracy and human rights.

B. Individual Activities

This section should include a brief description of each activity giving the following information:

Agreement Number:
Grantee Name:
Amount of Agreement:
Date of Agreement:
Activity Termination Date:
Financial Status of Grant:

(ie. amount of agreement funds used to date, amount advanced, amount available etc)

Activity:

(brief description of what the grant was for)

Activity Status:

(brief description of the status of the activity: what has been accomplished in regard to what was intended to have been accomplished, reasons for delays, major issues/problems, proposed steps to resolve issues/problems if still outstanding, extraneous factors which affected activity)

Mission Assessment of Activity:

(brief evaluation of activity in terms of a) accomplishing what was intended; and b) its contribution to the promotion of democracy and human rights within the specific country context)

Activities funded at levels greater than $25,000, should be reported more fully, and particular attention should be paid to the management, monitoring and assessment of impact of such activities.

Section B

Exhibit H

Evaluation Report Format

A. Individual activity details: eg. name of grantee, amount of grant, date of agreement, date activity completed.

B. Impact of activity, success of activity in meeting stated objectives.

C. Contribution of activity to promotion of democracy and human rights within country.

D. Contribution of activity to Mission strategy for promoting democracy, improved governance and human rights.

E. Comments/issues/lessons learned.

Checklist for Activity Close-Out

Activity has been completed	____
All outstanding bills have been paid	____
A grantee close-out report and evaluation has been received	____
The USAID Controller has closed out the financial records	____
An evaluation report has been completed for the activity	____
A close-out cable has been cleared by the USAID Controller and sent to Washington	____

OUTGOING TELEGRAM

AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

PAGE 01 OF 03 STATE 321120 0109372 0086 018343 AID1387
ORIGIN AF-00

ORIGIN OFFICE NONE-01
INFO AFEA-04 AFSA-03 AFCW-03 AFFE-02 OL-01 POSP-01 POID-01
GC-01 PRPC-02 IGPP-02 FABP-02 AFON-06 AFFW-02
/031 A0 01/1842Z

INFO LOG-00 AID-00 AMAD-01 CEA-01 CIAE-00 COME-00 CTME-00
C-01 DODE-00 ITCE-00 EB-00 EXME-00 E-01 FRB-01
HA-09 H-01 INRE-00 INR-01 IO-19 ITC-01 JUSE-00
LAB-04 L-00 ADS-00 NSAE-00 NSCE-00 OIC-02 OIO-00
OMB-01 OPIC-00 PA-02 PRS-01 P-01 RP-10 SIL-00
SWP-00 SP-00 SR-00 SSO-00 SS-00 STRE-00 STR-10
TRSE-00 USIE-00 /096R

DRAFTED BY: AF/RA:MJBIXBY:MJB
APPROVED BY: AF:FO:WDAMERON
AF/EX:AWINTER
EPS:RBRESLER
AF/C:RPRINGLE
AF/WAL:ARMCKEE
AF/RA:FANARRIS
AF/E:MCHESHES
AF/S:PCNAVEAS
AF/WF:JLEWIS

HA/BA:JKAUFMANN
HA/PP:CGLUNT
USIA/P/G:CGORE
USIA/AF:MROBERTSON
L/AF:LBYERLY
AID/AFR/AA:AROSENBERG
AID/AFR/ONI:WWEINSTEIN
AID/GD/AFR:ESPRIGGS
PA:LGARUFI
SP:RCABELLY
H:LGEORGE
S/S:WITON

S/S/O:PCHURCHILL
----------6879C7 0109482 /38
R 0109322 OCT 92
FM SECSTATE WASHDC
TO ALL AFRICAN DIPLOMATIC POSTS

UNCLAS STATE 321120

FOR CHIEF OF MISSION, PAO, AND AID MISSION DIRECTOR

E.O. 12356: N/A
TAGS: KDEM, PHUM, EAID, XA
SUBJECT: SUBMISSION OF DEMOCRACY AND HUMAN RIGHTS PROGRAM PLANS AND 116 (E) PROPOSALS FOR FY 93

REF: A) STATE 244835 B) STATE 206149 C) STATE 218786

1. ACTION REQUESTED PARA. 18. GUIDANCE FOR SEP POSTS PARA. 19. THIS IS A JOINT STATE-AID-USIA MESSAGE.

SUMMARY
---

2. SUMMARY: AT THE MAY 1992 AMBASSADORIAL SEMINAR IN WASHINGTON, A/S COHEN REQUESTED THAT POSTS SUBMIT A "DEMOCRACY AND HUMAN RIGHTS PROGRAM PLAN" EARLY IN FY 93. SUCH A PROGRAM PLAN WILL ALLOW POSTS TO INTEGRATE MISSION-WIDE DEMOCRACY AND HUMAN RIGHTS ASSISTANCE FOR FY 93. ANNUAL DEMOCRACY AND HUMAN RIGHTS PROGRAM PLANS ARE ALSO REQUIRED BY THE NEW STREAMLINED FY 93 116 (E)

PROCEDURES WHICH INVOLVE MORE FLEXIBILITY IN MANAGEMENT OF SMALL (UNDER DOLLARS 25,000) PROJECTS AND CREATION OF A

STATE 321120 0109372 0086 018343 AID1387

NEW 116 (E) HANDBOOK TO BE SENT TO POSTS SHORTLY. FYI: FURTHER GUIDANCE ON THE AFRICA REGIONAL ELECTORAL ASSISTANCE (AREAF) PROGRAM WILL FOLLOW, BUT POSTS MAY WISH TO REVIEW REF (C) WHICH PROVIDES AN INTRODUCTION TO AREAF. END FYI.

3. POSTS' DEMOCRACY AND HUMAN RIGHTS PROGRAM PLANS (HEREAFTER REFERRED TO AS PROGRAM PLANS) ARE DUE BY OVEMBER 15, 1992. WHILE THE LEVEL OF DETAIL WILL BE LEFT TO POSTS' DISCRETION (SEP POSTS WILL NECESSARILY PROVIDE LESS), THE PROGRAM PLAN SHOULD RUN 2 - 4 PAGES IN LENGTH AND SHOULD INCLUDE 1) A BRIEF ASSESSMENT OF CIVIL AND POLITICAL RIGHTS AND THE DEMOCRATIZATION PROCESS IN THE HOST COUNTRY, 2) A STATEMENT OF POSTS' GOALS FOR DEMOCRACY AND HUMAN RIGHTS ASSISTANCE INTEGRATING 116 (E). PUBLIC AND PRIVATE DIPLOMACY, USIS PROGRAMS, AND AID PROGRAMS, INCLUDING AREAF, 3) PLANS FOR LARGE 116 (E) PROJECTS RANGING BETWEEN DOLLARS 25,000 AND DOLLARS 100,000 AND 4) PLANS FOR SMALL 116 (E) PROJECTS UNDER DOLLARS 25'000.

4. SECTION IV OF THE PROGRAM PLAN, WHICH OUTLINES SMALL FY 93 116 (E) PROJECTS. WILL FORM THE BASIS OF A CONSOLIDATED BUDGET ALLOWANCE TO EACH POST IN JANUARY FOR THOSE PROJECTS. END SUMMARY.

PURPOSE OF DEMOCRACY AND HUMAN RIGHTS PROGRAM PLANNING
---

5. CREATION OF A PROGRAM PLAN WILL ASSIST POSTS TO ASSESS EVENTS IN THE HOST COUNTRY AND SET GOALS AND PRIORITIES FOR MISSION-WIDE DEMOCRACY AND HUMAN RIGHTS ASSISTANCE DURING THE FISCAL YEAR. LARGE 116 (E) PROJECT REQUESTS WILL BE EXAMINED AS THEY RELATE TO GOALS OUTLINED IN THE PROGRAM PLAN. THE PROGRAM PLAN WILL ALSO PROVIDE THE BASIS FOR THE WASHINGTON DEMOCRACY AND HUMAN RIGHTS (116 (E)) COMMITTEE TO ALLOCATE FUNDS TO POSTS FOR SMALL 116 (E) PROJECTS. THE PROGRAM PLAN IS NOT INTENDED TO CURTAIL FLEXIBILITY OR LOCK POSTS INTO PREMATURE PLANS; ADDITIONAL LARGE 116 (E) PROJECTS WILL BE CONSIDERED ON A QUARTERLY BASIS, AND ADJUSTMENTS TO SMALL PROJECT ALLOCATIONS WILL BE PERMITTED (SEE PARA. 9).

DEMOCRACY AND HUMAN RIGHTS PROGRAM PLAN FORMAT

- SECTION I: POLITICAL CONTEXT
---

6. SECTION I OF THE PROGRAM PLAN SHOULD BE 1 - 2 PARAGRAPHS IN LENGTH AND SHOULD SUMMARIZE THE STATUS OF THE DEMOCRATIZATION PROCESS AND CIVIL AND POLITICAL RIGHTS IN THE HOST COUNTRY. POSTS SHOULD SKETCH THE DIRECTION AND DYNAMICS OF THE POLITICAL TRANSITION AND FORESEEABLE DIFFICULTIES. AND SHOULD INCLUDE TRANSITION TIMELINES. HUMAN RIGHTS CONDITIONS SHOULD BE THE MAIN FOCUS FOR COUNTRIES NOT INVOLVED IN THE DEMOCRATIZATION PROCESS. WE RECOGNIZE THIS EXERCISE OVERLAPS WITH ANNUAL HUMAN RIGHTS

REPORTS, AND PERTINENT ASPECTS OF THE HUMAN RIGHTS REPORTS MAY BE SUMMARIZED IN THIS SECTION.

- SECTION II: ASSISTANCE GOALS AND STRATEGY
---

7. SECTION II OF THE PROGRAM PLAN SHOULD BE 2 - 3 PARAGRAPHS IN LENGTH AND SHOULD BRIEFLY OUTLINE THE

MISSION'S GOALS AND STRATEGIES FOR HUMAN RIGHTS AND DEMOCRACY ASSISTANCE, INTEGRATING NON-116 (E) EMBASSY INITIATIVES, USIA PROGRAMS, AND AID PROGRAMS, INCLUDING AREAF. THIS SECTION SHOULD IDENTIFY METHODOLOGY AND SPECIFIC AREAS OF EMPHASIS (E.G., PLANNING FOR ELECTIONS, STRENGTHENING CIVIL SOCIETY, ASSISTING WITH POST-ELECTION CONSOLIDATION, OR BUILDING DEMOCRATIC INSTITUTIONS).

- SECTION III: LARGE 116 (E) PROJECT PLANS

8. SECTION III OF THE PROGRAM PLAN SHOULD PROVIDE A SIMPLE, PRIORITIZED LIST OF LARGE 116 (E) PROJECTS (DOLLARS 25,000 - 100,000) THAT POST IS CONSIDERING OR HAS DEVELOPED. FOR EACH LARGE 116 (E) PROJECT, THE PROGRAM PLAN SHOULD IDENTIFY ONLY THE IMPLEMENTING ORGANIZATION, ACTIVITY BEING FUNDED, AND APPROXIMATE COST. DETAILED PROPOSALS MUST BE SUBMITTED SEPTEL IN THE LARGE 116 (E) PROJECT FORMAT PER THE CURRENT PROCEDURE (PENDING RECEIPT OF THE NEW HANDBOOK) BY DECEMBER 31. SLUG ALL PROPOSALS FROM HERE ON OUT "FOR AF/RA; ALSO FOR NA AID/AFR/ONI, AND USIA/AF." PROPOSALS SUBMITTED LATER WILL BE CONSIDERED AT SUBSEQUENT 116 (E) COMMITTEE MEETINGS. FYI: WHILE THE

COMMITTEE WELCOMES HUMAN RIGHTS - RELATED 116 (E) PROPOSALS FROM ALL COUNTRIES, FOR COUNTRIES NOT EXPERIENCING

ENCOURAGES A SPECIFIC FOCUS ON HUMAN RIGHTS PROJECTS. END FYI.

- SECTION IV: SMALL 116 (E) PROJECT PLANS

9. THE SMALL (UNDER DOLLARS 25,000) 116 (E) PROJECTS LISTED IN SECTION IV OF THE PROGRAM PLAN WILL FORM THE BASIS OF A SINGLE CONSOLIDATED SMALL PROJECT ALLOWANCE TO POSTS IN JANUARY. ALTHOUGH DETAILED PROPOSALS AND FINALIZED BUDGETS WILL NOT BE REQUIRED FOR SMALL PROJECTS, THESE PROJECTS SHOULD BE PRIORITIZED AND CLEARLY RELATED TO THE GOALS OF 116 (E) ASSISTANCE PER THE NEW HANDBOOK AND OVERALL MISSION STRATEGY OUTLINED IN THE PROGRAM PLAN AND SHOULD INCLUDE:

- A BRIEF DESCRIPTION OF THE IMPLEMENTING ORGANIZATION: HOW LONG IN EXISTENCE, MEMBERSHIP, SIZE, FUNDING SOURCES, NAME, ADDRESS AND TELEPHONE OF THE ORGANIZATION, AND THE NAME AND TITLE OF RESPONSIBLE PERSON(S).

- A BRIEF DESCRIPTION OF THE ACTIVITY THE ORGANIZATION INTENDS TO CARRY OUT WITH 116 (E) FUNDS, INCLUDING THE CONTEXT, RATIONALE, POTENTIAL IMPACT, AND PERSONS INVOLVED (NUMBER AND TYPE OF PARTICIPANTS, E.G., ORGANIZATION MEMBERS, TECHNICAL EXPERT, COMMUNITY MEMBERS, ETC.).

- DURATION AND PROPOSED START DATE OF THE ACTIVITY,

ESTIMATED COST, AND AMOUNT REQUESTED FROM THE USG AND OTHER SOURCES.

10. POSTS MAY SHIFT FUNDS BETWEEN SMALL PROJECTS WITHIN THEIR INITIAL ALLOCATION PROVIDED THAT EACH PROJECT ~~REMAINS BELOW DOLLARS 25,000. POSTS SHOULD NOTIFY THE~~ DEPARTMENT BEFORE MAKING ANY REALLOCATION. POSTS MAY NOT SHIFT FUNDS TO PROJECTS NOT LISTED IN THE PROGRAM PLAN.

11. WHILE IT IS IN POSTS INTEREST TO REQUEST EARLY FUNDING FOR THE MAJORITY OF THEIR SMALL PROJECTS IN THE PROGRAM PLAN (SINCE APPROXIMATELY HALF THE FY 93 FUNDS WILL BE AWARDED AFTER THE INITIAL REVIEW), FUNDS MAY BE GRANTED LATER FOR ADDITIONAL SMALL PROJECTS. POSTS SHOULD

USE THE FORMAT OUTLINED IN PARA. 9 WHEN REQUESTING ADDITIONAL SMALL PROJECT FUNDS. ADDITIONAL SMALL PROJECTS SHOULD BE SUBMITTED IN BATCH FORM FOR CONSIDERATION AT REGULARLY SCHEDULED COMMITTEE MEETINGS (SEE PARA. 12).

116 (E) SUBMISSION AND FUNDING TIMELINE

12. THE 116 (E) COMMITTEE WILL BEGIN A REVIEW OF PROGRAM PLANS FOLLOWING THE NOVEMBER 15 SUBMISSION DEADLINE.

- APPROXIMATELY HALF THE FY 93 116 (E) MONEY WILL BE ALLOCATED BY THE END OF THE FIRST QUARTER 1) THROUGH A CONSOLIDATED ALLOWANCE TO POSTS FOR SMALL PROJECTS UNDER DOLLARS 25,000, AND 2) AS AWARDS PER THE CURRENT REVIEW AND APPROVAL PROCESS FOR LARGE PROPOSALS RANGING FROM

DOLLARS 25,000 - 100,000 WHICH HAVE BEEN SUBMITTED BEFORE DECEMBER 31.

- THE COMMITTEE WILL MEET AGAIN IN LATE MARCH AND MID-JUNE TO CONSIDER LARGE PROJECT PROPOSALS AND CHANGES TO SMALL PROJECT PLANS (FYI: EXACT DEADLINES WILL BE COMMUNICATED TO THE FIELD BEFOREHAND. END FYI.). ALL FUNDS NOT OBLIGATED BY MAY 30 WILL BE TURNED BACK IN FOR REALLOCATION AT THE FINAL MID-JUNE MEETING. FINAL FY 93 FUND CITES WILL BE SENT TO THE FIELD BY MID-JULY AND ALL FUNDS MUST BE OBLIGATED (I.E., AN ACTIVITY AGREEMENT MUST BE SIGNED) BY THE END OF JULY.

FORMAL AND INFORMAL 116 (E) PROPOSAL GUIDELINES

13. THE DEMOCRACY AND HUMAN RIGHTS FUND PROJECT WAS AUTHORIZED IN JULY 1991 UNDER THE AUTHORITY OF SECTION 116 (E) OF THE FOREIGN ASSISTANCE ACT IN ORDER TO FINANCE SMALL, SHORT-TERM, HIGH-IMPACT, TARGETED ACTIVITIES IN SUPPORT OF DEMOCRATIC INSTITIONS, POLITICAL PLURALISM, AND HUMAN RIGHTS.

14. WHILE THIS CABLE PROVIDES THE INFORMATION NECESSARY FOR PROGRAM PLANS, IT DOES NOT PROVIDE EXHAUSTIVE FY 93 116 (E) MANAGEMENT GUIDELINES. SHORTLY, POSTS WILL RECEIVE A NEW 116 (E) HANDBOOK ON PROCEDURES AND A CABLE ADDRESSING SPECIFIC FINANCIAL MANAGEMENT ISSUES.

15. POSTS MUST ADHERE TO THE DOLLARS 25,000 AND DOLLARS

100,000 LIMITS FOR SMALL AND LARGE PROJECTS, RESPECTIVELY. ALL FY 93 FUNDS MUST BE OBLIGATED (I.E. ACTIVITY AGREEMENTS SIGNED) BY THE END OF JULY 1993 AND EXPENDED BY SEPTEMBER 30, 1994. FOR ACTIVITY CLOSE-OUT INSTRUCTIONS' POSTS SHOULD REFER TO THE 116 (E) HANDBOOK.

16. GRANTS TO TRAIN MILITARY OR POLICE, OR TO OTHERWISE ASSIST LAW ENFORCEMENT FORCES, ARE PROHIBITED BY LAW. 116 (E) POLICY GUIDELINES STATE THAT 116 (E) FUNDS ARE NOT TO BE USED AS:

- ~~GRANTS FOR BUILDING CONSTRUCTION (INCLUDING REPAIR AND~~ MAINTENANCE);
- GRANTS FOR LONG-TERM TRAINING OR TECHNICAL ASSISTANCE.

17. UNLESS SPECIFICALLY AND CONVINCINGLY JUSTIFIED' THE COMMITTEE IS RELUCTANT TO FUND:

- CONFERENCE PER DIEM AND TRANSPORTATION COSTS;
- CONFERENCES OF WORKSHOPS WITHOUT CLEAR CONTENT OF

SHORT-TERM GOALS.
- MAJOR DUAL-USE CAPITAL EQUIPMENT. PARTICULARLY FOR USE BY GOVERNMENTS;
- TRAVEL OUTSIDE OF AFRICA;
- SALARIES AND OPERATING EXPENSES WHEN LONG-TERM OR NOT SEEN AS DIRECT START-UP COSTS;
- GRANTS TO ORGANIZATIONS WITH NO OTHER MEANS OF SUPPORT;
- GRANTS TO GOVERNMENTS OR US NGOS EXCEPT IN THE CONTEXT OF HELPING LOCAL NGOS.

ACTION REQUESTED
---

18. POSTS ARE REQUESTED TO SUBMIT A DEMOCRACY AND HUMAN RIGHTS PROGRAM PLAN AS OUTLINED ABOVE NOT LATER THAN NOVEMBER 15, 1992. PLEASE SLUG ALL PROGRAM PLAN SUBMISSIONS "FOR AF/RA; ALSO FOR HA. AID/AFR/ONI, USIA/AF, AND (THE APPROPRIATE AF GEOGRAPHIC OFFICE DIRECTOR)." POSTS SHOULD USE KDEM, PHUM, EAID AND COUNTRY TAGS.

19. SEP POSTS SHOULD PLAN THEIR HUMAN RIGHTS AND DEMOCRACY PROGRAMS' ESPECIALLY 116(E) PROJECTS WHICH ARE MANAGED BY STATE OFFICERS, WITH MANAGEMENT AND PERSONNEL LIMITATIONS IN MIND. WHILE SEP POSTS SHOULD FOLLOW 116(E) PROPOSAL GUIDELINES PER PARAS. 8 AND 9, THEY MAY SUBMIT FAIRLY BRIEF PROGRAM PLANS AND SHOULD CONSIDER CONCENTRATING THEIR EFFORTS IN ONE OR TWO CRITICAL AREAS.

20. COMMENT: THE ABOVE ARE TRANSITIONAL PROCEDURES FOLLOWING CHANGES BOTH IN THE FUND AND IN AFRICA. WE EXPECT THAT REFINEMENTS WILL BE NEEDED. THESE NEW 116(E)

PROCEDURES WILL BE EVALUATED AT YEAR'S END. WE WELCOME POSTS' SUGGESTIONS AS THE PROCESS MOVES FORWARD. END COMMENT.
EAGLEBURGER

SECTION C

AFRICA DEMOCRACY AND HUMAN RIGHTS FUND

PROJECT 698-0541

I. Background

A. Purpose of the DHRF

The Democracy and Human Rights Fund (DHRF) Project (698-0541) was authorized in July 1991 under the authority of Section 116(e) of the Foreign Assistance Act to provide an easy access, quick disbursing mechanism in support of the transition to greater democracy in Africa.

The DHRF is intended to finance small, short-term, high-impact, targeted activities in support of building democratic institutions, promoting political pluralism, and protecting and upholding human rights in African countries.

As such, it is intended to complement other funding mechanisms which provide support for larger, multi-year initiatives as part of overall USG country strategies to promote improved governance and increased democracy.

The DHRF Project replaces the Human Rights Fund for Africa (698-9801), under which such activities were previously funded.

B. DHRF Funding

As currently authorized, the DHRF Project is funded at a level of $5.5 million over a three-year period. Funds will be obligated through September 30, 1993, and all disbursements must occur by the end of the project, September 1994.

The DHRF Project originally had two components: a) central funds for technical assistance provided by the International Foundation for Electoral Systems (IFES) for electoral planning (which are now exhausted); and

b) funds for support of small, short-term activities.

This manual concentrates on the component providing support for small activities.

C. **Human Rights Policy Determination**

The funds provided under this project are to be utilized for focussed activities consistent with the priorities of Policy Determination 12, on Human Rights. (See Appendix A). This Policy Determination encourages activities which promote:

- research and discussion of civil and political rights;
- awareness of civil and political rights;
- adherence to the rule of law through a legal framework conducive to civil and political rights;
- free and democratic electoral systems;
- development of democratic principles and institutions that promote human rights;
- development of human rights organizations; and
- increased access of women and ethnic groups to the judicial system and to political processes.

II. General Principles

A. **Funded Activities**

All activities funded under the DHRF must be based on specific requests from African government or non - governmental institutions.

Requests for Democracy and Human Rights Fund (DHRF) Committee approval must be generated by USG Missions in the field.

Activity descriptions must be supported by an assessment of the country context.

Proposed activities should conform to the Mission Democracy and Human Rights Program Plan, which should be submitted to the DHRF Committee for review by the end of the first quarter of the fiscal year.

All DHRF-funded activities must have a substantive link to the promotion of democracy, such as effective civil society, rule of law, or free and fair electoral processes.

B. Management of DHRF-Funded Activities

All DHRF-funded activities should be managed by the Embassy, with support from the USAID Controller.

Given that Embassy staff are not assigned full-time to the management of DHRF activities, and that such activities tend to be management intensive, it is likely that a relatively small number of activities will be funded in each country in any one year.

The managerial burden placed on Embassy staff should be taken into account when proposing activities for DHRF Committee concurrence.

C. Duration of Activities

Unless specifically authorized, all DHRF-funded activities should be completed and all funds expended within one year of obligation of funds. Funds are obligated by the signing of an agreement.

Missions should inform the DHRF Committee of circumstances which cause unavoidable delays in project implementation, or necessitate the suspension or cancellation of activities, in a timely manner.

D. Grant Amounts

The maximum grant which can be made using DHRF funds is $100,000. It is probable that most grants will be for substantially less than this.

Proposed grant funding levels should be based on

need, accurate budget estimates, and the capacity of the proposed grantee to adequately manage the funds.

The DHRF employs an expedited review process for proposals of $25,000 or less, and a more extensive review and approval process for proposals in the $25,000-$100,000 range.

III. The Democracy and Human Rights Fund Committee

The DHRF Committee consists of representatives of the State Department's Africa (AF) and Humanitarian Affairs (HA) Bureaus, and A.I.D.'s Africa (AFR) Bureau. USIA has observer status.

The purpose of the DHRF Committee is to ensure inter-agency discussion of USG-funded activities in support of democracy and human rights in Africa, with specific reference to activities funded under the DHR Fund.

In previous years, the DHRF Committee approved all proposals and allocated funds to field Missions for human rights activities. Under this project, increased responsibility for developing proposals and deciding priorities has been delegated to the field.

The DHRF Committee will review field DHR Project Plans and activity proposals. A less rigorous review process will be followed for general proposals from the field for all activities of $25,000 or less. More extensive review and approval will still be required for activity proposals for $25,000-$100,000.

Additional guidance on review procedures can be found in the Action Memorandum on Streamlined Procedures, Appendix 1.

The review and approval process under the DHRF Project is managed by State AF/RA in consultation with other DHRF Committee members.

All proposals and queries regarding the review and approval process should be directed to AF/RA. AF/RA is also responsible for on-going monitoring of funded activities and liaison with State desk officers, and

serves as the Chair and Secretariat of the HR Committee.

A.I.D. AFR/ONI/DG is responsible for the overall management of the DHRF Project, and for monitoring and reporting project progress. It is also responsible for liaising with A.I.D. country desk officers, providing advice on A.I.D. financial and procurement regulations, and ensuring that funding information is given to field Missions.

All queries regarding A.I.D. regulations and procedures should be directed to AFR/ONI/DG.

IV. USG Field Missions

A. Democracy and Human Rights Program Plans

Field Missions are required to produce a Democracy and Human Rights Program Plan on an annual basis. This plan should be part of the USG country strategy on democracy and governance.

Democracy and Human Rights Program Plans should be submitted to the DHRF Committee by the end of the first quarter each fiscal year. Further guidance on DHR Program Plans will be provided by AF/RA and AFR/ONI/DG.

B. DHRF Activities

Previously, most activities funded under the Human Rights Fund for Africa were managed by Embassies, with little USAID involvement. The DHRF will still be managed primarily by Embassy staff, but close liaison should be maintained with the USAID Controller's Office regarding financial management procedures and use of funds.

The USAID Controller should clear all grant agreements prior to signing, and USAID clearance should be obtained for all proposals forwarded to the DHRF Committee for review.

More activities eligible for funding under the DHRF are likely to be developed as African countries

engage in political liberalization. This will, however, necessitate careful assessment of the potential impact of activities, priority ranking of proposals, and consideration of other USG funding options.

Activities funded under the DHRF should be seen as part of the USG overall strategy to support democratization and improved governance in individual African countries. Where possible therefore, such activities should complement activities funded from other sources.

Democracy and Good Governance in Africa, by David Shin, and Tim McCoy, provides additional information on other funding sources for democracy and governance activities.

C. Field DHR Committees

In order to ensure exchange of information and maximize potential for assistance, Missions are encouraged to form Democracy and Human Rights (DHR) Committees comprised of Country Team members.

Both USAID and USIS should be adequately represented on the DHR Committee to ensure that activities funded under the DHRF are coordinated with any other democracy/governance programs funded by them.

DHR Committees[1] are responsible for reviewing proposals and making funding decisions to be forwarded for review by the DHRF Committee in Washington.

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[1] DHR Committees are the field democracy and human rights committees. The DHRF Committee is the inter-agency committee in Washington which is responsible for approving activities financed under the Democracy and Human Rights Fund.

SECTION D

ACTIVITITES IN SUPPORT OF DEMOCRACY AND HUMAN RIGHTS ELIGIBLE FOR FUNDING UNDER THE DHRF PROJECT

I. Purpose of the DHRF

The DHRF is intended to fund directly political activities which promote political pluralism and human and civil rights, rather than activities which have a longer-term, more developmental focus.

Thus, while some activities associated with improved governance, such as strengthening the legal system, are eligible for funding, others, such as civil service reform, would more properly be funded using other mechanisms.

The DHRF project is intended to fund small, relatively discrete, high-impact, short-term activities.

It is not intended to fund the on-going activities of organizations or government bodies, even though these may be in support of democracy or promotion of human rights.

Similarly, it is not intended to fund the long-term institutional development of civil or government bodies, although it is recognized that such institutional development is crucial to the sustainability of democratic initiatives.

It is, however, possible to fund activities which form part of a larger program, or which contribute to the institutional development of organizations, provided that such activities have a discernable impact in and of themselves, and issues regarding the sustainability of programs and organizations are adequately addressed.

II. Ineligible Uses of DHRF Funds

Vehicles should not be funded using DHRF funds, nor should property be purchased or leased on a long

term basis. Rental of premises to hold workshops or training courses is acceptable. Similarly, funds can be used to fund transportation to and from training events or meetings.

Missions should, however, exercise caution and seek guidance from the USAID Controller when funding workshops, seminars, or international travel, to ensure that A.I.D. regulations governing travel and per diem are followed.

DHRF funds cannot be used to support the activities of the police or the military. Nor can funds be used for propaganda purposes, or to support specific political parties.

III. Illustrative Areas of Activity for Funding

Support of democracy and political and civil rights encompasses a range of areas. Annex A of this section provides a more complete discussion of general areas and specific activities. General categories for funding are:

- electoral;
- human rights;
- legal;
- constitutional;
- civic education; and
- media support.

In general, funding of activities which have a cumulative impact is preferred, as are those which involve capacity building, even though the activities themselves should stand alone. Thus, training workshops are preferable to seminars, unless the seminars result in publications which have a wider circulation, or are deemed likely to make a substantive

contribution to the promotion of political pluralism.

Similarly, commodity procurement is acceptable if it can be determined that the commodities will contribute to the dissemination of information or be used for a range of purposes which cumulatively contribute to the process of change.

In certain cases, it might be advantageous to fund the start-up costs of an activity, if it appears that recurrent costs are likely to be met from another source, or the activity has the potential to generate income once the initial funding has run out.

Although funding attendance of regional or international conferences is not a high priority of the DHRF Committee, it is recognized that in certain cases this could be most useful. Missions should closely link any such proposed activity to the process of political liberalization and the promotion of human rights, and where possible, indicate the potential spin-off effect such travel might have.

IV. Lessons Learned

Annex B of this section provides more detailed information about lessons learned from the experience of implementing DHRF projects in the past. In brief, they center on:

- ownership of activities by implementing organizations, and involvement of participants at all stages;
- the cumulative impact of activities, and issues affecting such impact;
- recognition that DHRF activities are management intensive, and the need for clear guidance and procedures;
- limited institutional capacity of most

grantee organizations, and the need for organizations to undertake manageable activities;

- need for greater sharing of information and experiences between countries; and

- need for activities to have a clear, demonstrable connection to the promotion of democracy and human rights.

Section D

ANNEX A

Illustrative Areas of Activity for Funding Under the DHRF

The following is intended to indicate in greater detail general areas which conform to the DHRF funding categories, and also to suggest potential types of activity. It is not exhaustive, and in several cases activities could be included in more than one category.

A. Respect for Human Rights

Discussion

In terms of human rights the DHRF concentrates mainly on promotion of, and respect for, political and civil rights and their role in democratic societies. Such rights can be divided into "freedom from" and "freedom to".

Among the former are freedom from torture and degrading or inhuman treatment, detention without trial and arbitrary imprisonment, harassment for political beliefs, and the like. Among the latter are freedom of information, religion, assembly, speech, association, movement within and outside of one's country, participation in the political and economic life of the country, and the right to participate in the process of governance.

Activities which promote respect for human rights, disseminate information about civil and political rights and responsibilities, and protect such rights are eligible for funding under the DHRF.

Human rights abuses have decreased in recent years throughout most of Africa, and a number of countries have included a broad range of political and civil liberties in constitutions amended or introduced as part of the process of political liberalization. However, in many cases, there is a need for legislation

to make such provisions meaningful. A legislated commitment to human rights also helps prevent retributive justice following changes of government.

Illustrative Activities

Illustrative activities for funding under the DHRF include support for activities of lawyers' associations or civic rights groups which inform citizens of their rights; assistance to develop an unbiased, non-partisan, and independent media; and activities designed to improve public access to legislative and regulatory procedures in cases of abuse.

Additionally, expertise to advise governments on specific legislation could be provided, although legislative reform or drafting of new legislation would in most cases be too large and long-term an undertaking for DHRF funding.

In all cases, relatively self-contained activities, such as printing of information, holding workshops, or specific research are preferable to on-going support of organizations or institutions. In certain cases, computer procurement or printing equipment purchases to facilitate publication of information materials would be eligible for funding.

While publication of documents is acceptable, care should be taken to ensure that the number of such documents corresponds to the levels of literacy in a country, and that documents are also translated into indigenous languages where appropriate. Additionally, mechanisms for effective distribution need to planned ahead of time.

B. Political Pluralism

Discussion

Building democratic societies is a slow, and

somewhat tentative process. It requires political will on the behalf of governments, and commitment from societies. It also requires public and private sector capacity building and the development of a political culture based on understanding of the process of governance and civic responsibility. Above all, the process of democratization must be defined, adopted and assimilated by Africans themselves if it is to be sustainable.

In several cases, African countries have developed constitutions which enshrine the concept of multi-party democracy. In others, the process of developing new constitutions involved considerable debate about popular participation. In yet others, national conferences have provided a basis for open discussion and consensus building regarding the political process to be adopted.

While elections alone do not ensure democracy, some form of elected government based on principles of universal suffrage is essential, as is a constitutional limit to tenure of government office. Given the past experience of most African countries, people have little understanding of the electoral process, and oftentimes little faith in the political party system. There is need therefore for the electoral process to be seen to be free and fair.

Election laws which ensure representation, public awareness of the electoral process and voter rights, participation of all registered parties in the electoral process, and the existence of an independent election monitoring body are essential. In addition, political parties must have access to resources and the media, and be able to generate resources.

Illustrative Activities

USG assistance for the electoral process in African countries will generally come from funding sources other than the DHRF, particularly the Africa

Regional Electoral Assistance Fund (AREAF).

However, certain small scale, discrete activities could be funded using DHRF funds. These include voter education campaigns, production of information materials, and seminars for the press on non-partisan and objective coverage of elections.

Additionally, specific assistance for constitutional reform, dissemination of information pertaining to constitutions, and specific support for national conferences could be eligible for submission for HR Committee concurrence.

The DHRF cannot be used to fund the activities of political parties, or for propaganda purposes.

C. Respect for Law

Discussion

Respect for, and adherence to, the rule of law are of central importance to sustainable democracy. Citizens must have faith that their rights will be respected, that they will be protected from arbitrary punishment, and that legal protection and redress are afforded promptly and fairly to all.

In several instances in Africa, legal systems need to be developed or revised to meet new demands being imposed upon them. Specialized training for legal professionals and basic training for para-legal personnel are often required, and systems of customary and statutory law need to be reconciled. Increasingly, the need for an independent, qualified judiciary is recognized.

Activities which promote respect for the rule of law, increase the number and quality of legal and para-legal personnel, improve access to the legal system, raise public awareness of and faith in the legal

process, and enhance the independence of the judiciary are eligible for funding under the DHRF.

Illustrative Activities

Illustrative activities include seminars or workshops on legal reform; training sessions and training and information manuals for para-legal workers; information materials on the legal system and how to access legal services for dissemination to the general public; support for lawyers' associations; promotion of legal aid services; and establishment of systems to improve court functioning and record keeping; and provision of legal reference materials and basic legal texts to enhance the quality of legal services.

In the past it has been seen that provision of commodities, such as computers, typewriters and photocopiers, though generally not preferred by the HR Committee, has played a substantial role in improving the provision of legal services. It should be ascertained, however, that grantees have made adequate provision for maintenance of equipment and supplies of materials in order to ensure that such commodities will be used to their maximum advantage.

D. Effective and Efficient Legislatures

Discussion

Democracies are characterized by some form of an independent, elected legislative body, responsible for lawmaking. Many African countries have had some sort of legislative body, but in most cases these have enjoyed little autonomy or independence from the executive branch of government, and have had little real authority.

Most of the recently enacted or revised constitutions make provision for the election of

legislative bodies, and enshrine the concept of autonomy, but there is in many cases a need for greater understanding of how elected legislatures work in democratic societies.

Developing the capacity of legislatures to respond to their constituents and undertake their responsibilities of lawmaking, budget approval, and oversight of government functions efficiently and effectively is a long-term process. However, certain activities which facilitate the process could be funded under the DHRF.

Illustrative Activities

Illustrative activities include training seminars, short term-consultants to provide expertise on specific issues; and provision of equipment or materials to enhance record-keeping and research and analysis facilities. Additionally, activities which facilitate the production of information materials regarding the role and function of the legislatures, or publication of legislation and proceedings, could be funded.

As with other substantive categories, activities should be finite, and where possible it should be ensured that maximum use will be made of all equipment procured with DHRF funds.

E. Conflict Resolution

Discussion

Conflict in Africa has been a serious impediment to economic progress, a drain on human and financial resources, and a threat to the process of democratization.

Governments throughout Africa are increasingly concerned about developing peaceful means to settle regional and domestic conflicts, but conflict

resolution requires the consensus and participation of society as a whole.

Opposing factions in armed struggles need to negotiate and adhere to peace agreements; governments need to accept and safeguard the rights of all citizens, regardless of ethnicity or religious beliefs; and citizens need to have faith in and accept the rule of law.

Conflict resolution, particularly in societies which have suffered war or civil strife, or in countries in which ethnic tensions and questions of national identity have not been resolved, is a long-term process.

However, activities which promote increased understanding between sectors of society or different religious and ethnic groups, or which advocate equitable access to resources, or provide advocacy services can do much to increase understanding and build a climate of tolerance.

Such activities, to the extent that they are short-term or discrete components of longer-term activities, could be funded using DHRF funds.

Illustrative Activities

Illustrative activities include production of civic information materials; workshops to improve understanding and cooperation between different groups; and technical assistance for training workshops and production of training materials.

F. Strengthening Civil Society

Discussion

Strong civil societies are characterized by individuals who are informed of their rights and have a

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stake in upholding a set of values, and by countervailing institutions which challenge and provide a check on government.

In this sense, civil society is weakly developed in most African countries, although constitutionally many countries now allow greater freedom of information and association, and the breakdown of authoritarian regimes provides a climate conducive to the development of civil society.

Functioning civil societies require a constitutional and legislative base which permits and protects freedom of association; an independent legislature, judiciary, and private business sector; freedom of and access to information; and a wide range of independent non-governmental institutions.

Such institutions encompass professional associations, community groups, civic associations, labor unions, human rights organizations, public policy analysis institutions, non-governmental organizations serving particular interests, religious bodies, academic institutions, and civil rights pressure groups.

Activities which promote the development of a strong civil society could be funded under the DHRF. However, given the wide range of potential activities, their connection to political and civil rights should be clear. Many activities which contribute to the deepening and expansion of civil societies could be funded from non-DHRF sources including the self-help fund or USAID projects.

Illustrative Activities

Illustrative activities for DHRF funding include workshops and training sessions for labor union negotiation; support for specific research or publications of public policy analysis institutions; publications of civil rights pressure groups; support

for activities of community groups concerning issues such as land tenure and use, or equitable access to resources; and publication and dissemination of information on civic or community issues.

G. Other Issues

There is a wide range of other issues which need to be addressed if truly democratic societies are to be promoted. Many of these fall more properly into the category of governance, although they have a clear connection to political liberalization, pluralism, and participatory, competitive societies.

They include decentralization of government functions, participation of local authorities and non-governmental entities in the process of governance, inclusion of traditional authorities into local government structures, and a limited governmental role in society and the economy.

Additionally, the accountability and transparency of government, control of corruption, equitable access to resources, effective and equitable provision of public services, and transparency of budgetary procedures are essential elements of functioning democracies.

It is likely that USG support for activities which address such issues would come from sources other than the DHRF, although in some instances specific activities could be eligible for consideration, given their connection to civil and political rights.

These could include activities which promote equitable access to resources such as land; assistance to develop legislation concerning property or other rights; specific activities to combat corruption; and research on issues of decentralization, traditional authorities, or local participation.

Other issues pertaining to the creation of

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democratic, elected governments for which USG support is more likely to come from other sources include civilian control over the military, reduction of military involvement in government, and demilitarization, demobilization and disarmament of societies.

Support for elections can be provided under the A.I.D. centrally-managed Africa Regional Electoral Assistance Fund. Information about this can be obtained from A.I.D. AFR/ONI/DG.

Previous DHRF Experience

1. Lessons Learned

A number of lessons can be learned from a review of field Mission reporting and evaluation cables and discussions with persons involved with the DHRF:

Ownership and Involvement

- Activities are only successful when they are designed and implemented by indigenous organizations. On rare occasions when activities have been proposed to organizations by Embassy staff, they typically were not successfully implemented, however relevant the idea.

- The most successful activities are those which build on community or participant involvement, are endorsed by a wide range of people, and are based on a readily identified need.

- While Embassy staff can provide input and specific guidance where required, activities must be managed by grantee organizations themselves. This develops the capacity of organizations to implement activities, and avoids perceptions that activities are dominated by outside entities.

Cumulative Effect

- Activities can have a cumulative effect, leading to new activities, or expanding the range of people involved. In one instance, a series of guides to the law was produced and printed using DHRF funds. These

- Conversely, both grantee organizations and DHR officers can over-estimate the potential cumulative effect of activities. Care should be taken to fully understand the circumstances in which an activity is funded in order that this might be avoided. Issues such as accessibility, literacy, social customs, and use of indigenous as opposed to official languages, can all affect the impact of activities.

Management Issues

- Almost without exception, DHRF funded activities are management intensive and involve a lot of work on behalf of DHR officers. However, if activities are carefully thought through at the proposal stage a number of potential problems can be avoided.

- Most management problems occurred because DHR officers were confused about procedures, or misunderstood requirements. On occasions, Embassies tried to obligate funds to international organizations such as UNICEF, and found themselves caught in a series of procedures and regulations which were both time consuming and ultimately counter productive. In some cases, they followed Handbook 13 guidance and were unable to obligate funds because grantee organizations did not meet required standards.

- In several instances DHRF funds were successfully used to co-fund activities with other donors, provided all parties understood that DHRF funds could only be used for selected components and could not be co-mingled with other funds to provide general support.

- Careful financial management on behalf of DHR

officers and USAID Controllers is essential. In the past funded activities have not been properly closed out, leaving obligated funds unexpended and advances outstanding. DHR officers should check with USAID Controllers on financial management issues when in doubt, and USAID Controllers should clear all documentation relating to financial transactions or use of funds.

Grantee Institutional Capacity

- Most grantee organizations are fledgling and unused to project planning or implementation. Grantees should be encouraged to see proposal writing as a management tool which can save them problems later. The most successful activities were the ones which were well planned and implemented according to realistic schedules.

- Fledgling organizations generally experience most difficulty in budgeting accurately and estimating the time and level of effort required to undertake activities. Assistance to think through these issues can be very helpful.

- Most grantee organizations do not have adequate financial management or administrative systems. In some cases institution building could be facilitater by providing assistance to establish systems and train personnel would be most useful. Generally, such institution building is beyond the scope of the DHRF project, but other donors frequently have more flexibility to provide this type of assistance.

- Given the institutional weaknesses of most grantee organizations, small-scale, individual activities are more likely to be

the most successful. Larger, or longer-term activities can present cost and scheduling problems which place an undue management burden on organizations.

- In some instances, newly formed organizations try to undertake too ambitious a program, with the result that activities are not adequately thought through or implemented. Grantees should be encouraged to start small, and grow based on experience, rather than to expand quickly or try to meet too broad a range of needs.

Information Sharing

- There is need for information sharing between Missions in order that lessons learned might be adequately communicated, and successful activities, as well as problems encountered, shared. Generally, there is a dearth of information about what is happening in other countries, both on the part of DHR officers and grantee organizations.

- Several Missions strongly recommended individuals or institutions which had implemented seminars or training sessions under the auspices of grantee organizations. Such information could be useful to other Missions when faced with a request not only to fund activities but also to recommend technical assistance personnel.

Connection to Civil and Political Rights

- All DHRF-funded activities had a clear connection to political and civil rights. However, many proposals which were rejected by the HR Committee implied a tendency for Embassies to under-estimate the need for DHRF-funded activities to have a clear,

demonstrable connection with democracy and human rights. The following section provides a description of selected activities regarded as successful and an excellent use of DHRF funds, as well as samples of proposed activities rejected by the HR Committee.

- In the majority of cases, activities funded in FY 1991 were concerned with rule of law, promotion and protection of rights, civic education and freedom of information and media. However, other activities, such as training for legislatures were considered to be very successful. Several activities in support for election planning or voter education were also funded and considered successful. Annex B provides a listing of DHRF activities by category.

2. Examples of Successful Activities

This section draws upon evaluation reports submitted by Missions for completed DHRF-funded activities. Activities were selected to represent a variety of different areas. Although several apparently very successful activities were undertaken in some areas, only one from each area has been selected for illustrative purposes. The fact that other activities have not been included in no way implies that they were considered to be less useful or successful than those described.

No election support or election planning activities have been included, although a number of such activities were funded in FY 1991, mostly through the cooperative agreement with IFES. For the future, such activities will be funded through the Africa Regional Electoral Assistance Fund (AREAF), information about which can be obtained from AFR/ONI/DG.

a. In Guinea-Bissau, two constitutional experts spent two weeks working with Guinea-Bissau counterparts

responsible for revising the constitution. All participants in the activity agreed that it had been an excellent source of technical assistance to explore issues and propose options. In this case, the excellence of the technical assistance personnel, both of whom spoke Portuguese, was central to the success of the activity.

Funds were obligated to both the Guinea-Bissau Constitution Revision Commission for logistical arrangements, and to the consultants through direct contracts.

b. The U.S. Embassy used DHRF funds to support the transition from single party rule to multi-party democracy in Zambia in a variety of ways. One such use was a small grant to a multi-donor supported conference organized by University of Zambia students. The conference brought together leaders of major political parties at a time when deadlock between the government and the opposition threatened to forestall the election process. As a result of the conference, agreement on a number of crucial issues was reached, including agreement on a new constitution. By allowing opposing parties to reach consensus or compromise, the threat of boycott of the elections was removed.

c. A seminar for Gabonese journalists was held at the American Cultural Center to provide basic training in political reporting and election campaign coverage. The seminar was conceived and co-organized by the Gabonese chapter of the Association of African Women Professionals in Communications. USIS contracted for the consultants. Attendance at the seminar was so great that the organizers were forced to hold two sessions per day.

Not only were technical issues covered, but journalists began to develop an interest in mutual support and strategies to improve the quality and quantity of information available to the public. The proceedings were also heavily covered in the press. Following the seminar, participants were invited to

attend an evaluation session to review the seminar and plan next steps.

d. The Embassy in Antanarivo provided equipment and supplies to the Organizing Committee for the National Forum. Not only was the equipment utilized extensively during the National Forum, providing documentation to the delegates, but once the Forum was over the equipment was moved to the Christian Council of Churches headquarter and used to prepare a summary of the Forum debates. The Christian Council plans to work with other non-governmental organizations to produce civic education materials using the equipment.

e. The African Jurists Association Workshop, funded by a small grant, permitted prominent Beninese legal experts to work with the Ministry of Justice to work on re-drafting of a number of Benin's legal codes for submission to the newly-elected National Assembly. Although the workshop could not hope to address the range of legal codes requiring revision, it not only served as a planning session but a number of codes were actually drafted.

f. A small grant was provided to co-fund the first ever seminar on the role of justice in the development of the Central African Republic. The seminar which brought together both government and private sector representatives, as well as members of the legal profession, was intended to focus attention on the constraint to development posed by the inefficiencies of the legal system.

Among the items discussed were civil law, social and labor law, the impact of illegal activity and corruption, training of legal personnel, and management of public finances. Following extensive debate of oftentimes politically sensitive issues, a number of action-oriented recommendations were made. While the long-term impact of the seminar is hard to predict, the frank and open discussion of such issues was a valuable starting point for reform.

3. Reasons for Rejected Proposals

Proposals were rejected by the DHRF Committee for a variety of reasons:

- They were more properly funded from other sources, such as self-help, AREAF, or USAID projects.
- They did not meet established criteria, were in excess of $100,000, or did not adequately address management issues.
- They were not considered cost-effective, and the activities they proposed required an excessive use of funds.

FY91-92 AFRICA DEMOCRACY AND HUMAN RIGHTS ACTIVITIES[1]

Legal Assistance FY 92

• **$47,000 for a *Rule of Law Conference* in Benin.** This project aimed to provide direct contact between two experienced American jurists and most of the career magistrates of Benin in order to discuss topics including judicial training, the independence of the judiciary, due process of law, rules of evidence and trial procedure, constitutional review, and the role of the media.

• **$25,000 for womens legal seminar conducted by Women Jurists of Benin.** The *Women's Jurist Association* led by Grace D'Almeida, the only woman to sit on the high council of the Republic, is an organization dedicated to promoting the legal and constitutional rights of women in Benin. This conference, entitled "The Role and Commitment of Women in the City and in the World," will present the legal guide prepared by the Association which outlines the justice system of Benin, the rights of women, and the use of legal institutions.

• **$5,000 to cover the remaining costs to print copies of the proceedings on the role of justice in the development of the C.A.R.** The document describes the weaknesses in the C.A.R. legal system, including the lack of any coherent civil code defining inheritance and family rights and the problems women face in seeking equal justice.

• **$3,500 to finance the publication of a brochure explaining the legal rights of women in the C.A.R.** related to the areas of female excision and food taboos.

• **$16,000 for women jurists in the C.A.R.**

• **$7,600 for the publication and distribution of pamphlets on legal issues affecting women in Cameroon.** The pamphlets will be drafted by volunteers from the

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[1] All amounts authorized under the African Human Rights Fund Project (698-9801) or the Africa Democracy and Human Rights Fund Project (698-0541). The FY 92 list of activities will be amended after post comments and additional information about a number of activities funded late in the year is obtained.

Association of Female Jurists, and will be aimed at promoting awareness of women's rights in general in Cameroon, and of the work of the Association itself.

• **$4,800 for legal texts for the new legal aid clinic run by the Association of Women Jurists in Cameroon.** The clinic in Douala would be in addition to the clinic currently run by AWJ in Yauonde.

• **$21,000 to the *Ivorian Movement of Democratic Women* (MIFED) for a womens legal center** to provide working class women with legal assistance and civic education in Cote d'Ivoire. MIFED is a non-partisan organization dedicated to improving the situation faced by Ivorian women as well as working for the establishment of democracy in Cote D'Ivoire. This project will attempt to sensitize women to their rights under Ivorian law, especially in the areas of family disputes, property disputes, and legal questions related to commercial activity. Also, the center will provide legal advice and serve as a source of information about how to approach government agencies. As a long term goal, the project seeks to make poorer women active participants in a democratic system.

• **$3,000 for the provision of law texts to the Supreme Court in Guinea.**

• **$55,000 to the African Center for Democracy and Human Rights Studies (ACDHRS) in the Gambia** for a magistrates training workshop.

• **$10,000 to the Bar Association in Madagascar** for a law library.

• **$44,000 for two Rule of Law in Traditional Courts seminars in Malawi.** There is a widespread feeling among legal professionals in Malawi that the traditional court system is poorly equipped to carry out the broad judicial powers granted it under the 1970 law. Given the scarcity of trained lawyers in Malawi, due process and the right to a fair trial will depend on the abilities of judges at the traditional level to carry out their responsibilities. The workshops are designed to instill a greater respect for defendant's rights as well as upgrade the court's ability to carry out its broad responsibilities.

• **$30,000 for a fund for legal aid defense** and political action to be used to strengthen rule of law and freedom of expression iniatives in **Malawi,**

specifically as related to political detentions.

• **$11,000 for *Niger Bar Association* for a basic law library.** Providing a basic law library will promote the strength of this important private sector legal organization and improve the overall standards of the legal profession. The Bar is the only Nigerian organization mandated to instill a code of ethics and behavior to help make the judicial process responsive to the rights of the citizens that use it.

• **$29,000 to the *Legal Research and Resource Development Centre* for a project to increase the level of awareness of human rights among women** and to provide free legal assistance to needy women in Nigeria. A large portion of Nigerian women do not exercise their rights due to their ignorance of these rights and lack of access to legal aid services, largely due to poverty. The project will develop and apply content material and methodologies of legal education that will encourage the understanding of the legal system and basic human rights principles among women. Financial assistance will contribute to a research study of the legal needs of women, an enlightenment campaign through workshops and seminars, the establishment of a legal aid clinic, and the training of volunteers within the area to assist in the education of others.

• **$20,000 to assist the Sao Tomean Ministry of Justice in equipping a legal reference center for the legal community.** The courts in this country have few resources and both lawyers and judges have a limited knowledge of the law. The reference center's primary purpose would be to increase the amount of legal knowledge in Sao Tome and as a result, encourage a fair and informed court system.

• **$25,000 to send an expert to assess scope of codification effort in Uganda.** Ugandans working at all levels of the legal profession indicate that a key constraint on competence is the lack of a single reliable source of Ugandan law in important areas. Funding is for the first stage of an effort to codify commercial, corporate, criminal, and human rights law, publish the codes, and establish a system to update codes when necessary.

• **$25,000 for books for the Makerere University Law School in Uganda.** These books will be available to the entire legal community and serve to increase both the knowledge and fairness of the court system.

• **$15,000 to support the purchase of tape**

recorders for the High Court Justices in Uganda. Under the current system, Ugandan judges have to take notes of court proceedings by hand, which slows down the judicial process within the country. The provision of tape recorders will be a small but effective first step in strengthening judicial effectiveness within Ugandan.

• **$13,000 for seminars at the High and Supreme Courts, the Ministry of Justice, and the University of Zimbabwe Law School on the role of the courts and legal professionals** in a pluralistic society. The workshops, taught by American experts, aim to show how the American courts are being incrementally reformed to improve their performance and how lawyers' conduct and performance is reviewed to ensure that their clients receive adequate representation.

• **$75,000 to support the Women in Law and Development in Africa (WILDAF) project to train a corps of 15 women to assist organizations interested in developing legal literacy programs in Francophone and Anglophone Africa.** WILDAF is an Africa regional network of organizations and individuals using law to improve the status of women in 15 countries and is headquartered in Zimbabwe. The women trained will be able to assist rural and illiterate women to understand their legal rights through the publication of books with drawings that illustrate the legal resources open to them.

FY 91

$40,000 to the Supreme Court to train judges, public prosecutors and legal librarians, and to provide reference texts and assorted equipment in Benin.

$18,000 to provide a judicial administration expert to study the Burundi court system and to recommend improvements in the administration of justice.

$16,700 for a seminar on the justice system and the civil code in the C.A.R.

$16,000 for a magistrates training program to strengthen district tribunals conducted at ACDHRS in the Gambia.

$80,000 to provide books for a law library at the University of Conakry in Guinea.

$10,000 to provide a computer for a library catalogue and legal codes for a law library at the University of Conakry in Guinea.

$5,300 to the Malian Association of Young Lawyers (AJAM) for a national forum on legal reform.

$26,000 to the Malawi Law Society for technical equipment.

$15,000 to the Union des Travailleurs Mauritanien (UTM) to produce booklets for human and workers rights, and a layman's guide to law.

$10,000 for a compilation of annual statues, law codes and related materials for the Justice Ministry's Department of Research and Legislation in Mozambique.

$71,000 for a program to train judges in Mozambique.

$17,000 to provide support to the court system in Mozambique.

$6,000 to the Namibian Legal Assistance Center for the purchase of legal reference materials.

$5,000 to provide legal reference materials to the office of the Attorney General in Namibia.

$16,500 to the Nigerian Institute for Advanced Legal Studies (NIALS) to design and implement a rule of law workshop.

$10,000 to the Rwandan Council of State to provide legal texts and reference materials.

$10,000 for the publication of Supreme Court decisions in Rwanda.

$40,000 for legal reference materials for the courts in Sierra Leone.

$5,000 for rural courts material support in Sierra Leone.

$15,000 to provide training for local court personnel in Sierra Leone.

$3,500 to the Council of Swaziland Churches to assist in the production of brochures and a newsletter for a legal aid education project.

$2,000 to the Supreme Court for an uninterrupted power supply system in Uganda.

$85,000 to help in the codification of Zambian court rulings.

$25,000 for training workshops for regional magistrates conducted by the Harare Legal Resources foundation in Zimbabwe.

$22,000 to the National Assembly to establish a legislative resource center in Madagascar.

$100,000 to publish documents related to the proceedings of Togo's national conference.

Human Rights **FY 92**

• **$10,000 to fund the Inter-African Committee to conduct research and print materials on the dangers of female circumcision in Benin.** The IAC will conduct research in ten different regions throughout the country in order to assess the severity of this problem in several areas. After the research is completed, IAC will distribute bulletins and posters which focus on the drawbacks of circumcision.

• **$42,000 for the *Burkinabe Human Rights Movement*. (MBDHP)** The Burkinabe Movement for the Rights of Man and Peoples is dedicated to Burkina Faso's evolution to democracry. Funding will enable the organization to develop its local chapters, publish and circulate a journal, and acquire basic office equipment to strengthen its institutional capacity.

• **$5,000 for a seminar on human rights and academic freedom** in Burkina Faso. This project is a response to the frequent human rights violations suffered by academics including arbitrary dismissals and firings, disappearances, and assassinations. The project proposes to sensitize the public and government to the importance of academic freedoms.

• **$25,000 to fund an umbrella regional organization in Burkina Faso to support national human rights groups in their work.** The Burkinabe Movement for the Rights of Man and Peoples (MBDHP) is coordinating this conference in order to encourage human rights NGOs in Africa to unite and thereby increase their effectiveness. Funding will contribute

to the group's two-day organizing congress where organizers hope to bring together representatives of thirty African human rights groups.

• **$20,000 to fund a Human Rights Calendar for the English Club, a student organization at the University of Burundi.** The project is design to promote awareness of human rights, especially to the Kirundi-speaking, rural population of Burundi through seminars for students, production and distribution of the calendars, and public service announcements over the radio.

• **$9,000 for the** *National Committee of Human Rights and Liberties* **of Cameroon** in order to access the expertise of an experienced human rights group organizer to define its operating policies, develop clear objectives to meet its goals, and begin to carry out effective investigations. Implementation of the project will help turn the Committee into an effective advocate for human rights and civil liberties in Cameroon.

• **$9,000 for seminar on inter-ethnic conflict** in Cameroon. The seminar will be conducted by *Tribus San Frontiers* (TSF) [Tribes Without Borders], a group of young professionals interested in maintaining Africa's cultural diversity while minimizing inter-ethnic conflict.

• **$14,600 to fund activities to stop violence against women.**

• **$41,000 to provide support to the** *Comorian Human Rights League*. The Comorian Human Rights League has been active in confronting the government on several issues including prison conditions, illegal detention, trade unions, as well as other activities.

• **$27,150 to the Committee on Human and People's Rights in Ghana** to publicize human rights under the new constitution and to convene a national conference on human rights.

• **$25,000 for a seminar for government officials and others on refugees in Kenya.** In light of Kenya's dire refugee situation, the Moi University Refugee Studies Center, has organized a program for a seminar in order to acquaint participants with the international conventions which govern refugee law, and provide some discussion of the experience of other countries faced with the same administrative problems which confront Kenyan officials.

• **$22,000 to the *Constitutional Rights Project* (CRP) for a publication designed to draw public and government attention to police practices** violating Nigeria's laws, and to define police powers and the rights of criminal suspects in an effort to increase public and official awareness of limitations on police powers. Certain police practices continue to be a major source of human rights abuse in Nigeria. The CRP, established in 1990 by Clement Nwankwo, largely focuses on rule of law issues such as the strengthening of the judiciary and democratic institutions. Financial assistance will contribute to the production costs of this publication which will be distributed among government officials, police authorities, the bar association, politicians, legislators, the media, local and international human rights organizations, and diplomats.

• **$57,000 to fund Haguruka's projects to familiarize women to their civil, political, and human rights** in Rwanda. Haguruka is an apolitical organization created to promote the application of international declarations and conventions on human rights, civic and political rights, and the rights of women and children in Rwanda. In this project, Haguruka will prepare an information brochure outlining women's rights and obligations, train 80 selected women activists in one-week workshops on the role of women in a democracy, and have these women act as trainers and resource persons interacting with the government and the local community.

• **$5,600 to the Liason Unit Non Governmental Organizations in Seychelles to bring in a human rights expert from Benin to the to present lectures on human rights.** The lectures will be disseminated widely, including through the national media and will includes topics such as the proper role of the military in protecting the human rights of its citizens.

• **$25,000 to FIDA/Uganda for the establishment of a will writing and registration service** in Uganda. Will writing and registration is not easily accessible to the average Ugandan, especially women. As a result, the combination of traditional practice (which discriminates against female heirs) and aggressiveness by surviving relatives usually determines the settlement of the estates. The Uganda Chapter of FIDA is seeking to establish a formal will writing and registration service that would be available to all Ugandans.

$20,000 to the Burkinabe Movement for the Rights of Man and Peoples (MBDHP) to increase journal circulation and outreach activities, and to provide office equipment and training in Burkina Faso.

$18,000 to provide a consultant to assist with the development of a human rights conference in Burundi.

$12,000 to the Cape Verdean Institute for Minors for a project to promote children's rights.

$10,000 to help in the establishment of a newspaper dedicated to human rights issues, managed by the National Committee on Human Rights, in cooperation with the National Lawyers Association in Cape Verde.

$8,000 to support indigenous NGOs in a publicity campaign to reduce violence against women in Cape Verde.

$11,400 for a workshop to train union representatives in the CAR.

$65,000 to support the Chadian Human Rights League.

$25,000 to support the Comite National des Droits de L'Homme (CONADHO), a human rights group in the Congo dedicated to sensitizing the government and the public to human rights issues.

$20,000 to the Association of Women African Communicators of Congo.

$21,000 for a human rights project to translate the Ivorian constitution and basic human rights documents into local languages and to disseminate them through audio-visual means and publications.

$82,000 to the African Center for Democracy and Human Rights Studies (ACDHRS) for a conference facility in The Gambia.

$7,000 to the International Federation of Women Lawyers (FIDA) to publish pamphlets in local languages with the aim of promoting increased awareness of widowhood rights and wills in Ghana.

$45,000 to the International Federation of Women's

Lawyers, Kenyan Chapter (FIDA/K) for an education project to increase government awareness of the needs of women in prison.

$70,000 to the International Commission of Jurists/Kenya (ICJ/K) to hold seminars on human rights and basic freedoms including freedoms of expression, assembly, and association and to publish a quarterly newsletter on democracy and human rights.

$43,500 to the Federation of Women Lawyers for activities in support of women's rights, including training workshops and distribution of materials in Lesotho.

$30,000 to the Malawi Law Society to conduct workshops on assorted issues related to the delivery of justice and human rights.

$20,000 to the National Institute for Juridical Assistance (INAJ) to put on a public education program about basic civil rights, the results of which are to be translated and distributed throughout the northern provinces of the country in Mozambique.

$20,000 to the Rwandan Human Rights Association (ARDHO) for institutional support.

$10,000 to the Zairean League for Human Rights (LZDH) for support for human rights reporting, and newspaper publishing.

$8,000 to Voice of the Voiceless (VSV) to support the publication of a newsletter in Zaire.

<u>Electoral Assistance</u> FY 92

- $10,000 for basic election commodities for the Comoros.

- $55,000 to NDI for seminars to train GERDDES in Benin and Cote d'Ivoire in the basics of financial management.

- $11,000 to provide the GERDDES office in Gabon with material support to expand its institutional capacity within the country.

• **$20,000 to fund the use of computers in Ghana's voter registration process.** The registration system in Ghana is widely considered to be fraught with various problems of such a magnitude that they threaten the credibility of any election.

• **$100,000 to the International Commission of Jurists/Kenya (ICJ/K) and the International Federation of Womens Lawyers/Kenya (FIDA/K) to fund the establishment of a domestic monitoring program** in Kenya through the coalition group of the National Elections Monitoring Unit (NEMU).

• **$100,000 to provide services, trainers and selected commodities to the** domestic monitoring effort of NEMU in Kenya.

• **$75,000 for a voter education program for Lesotho's upcoming general elections.** The Voter Education SubCommission of the Lesotho Council of NGO's will implement the program aimed at educating all sectors of Basotho society on the meaning of democracy, the elements required for free and fair elections, the manner of voting, and respect for the outcome of a fair ballot. Money will contribute to posters, artwork, seminars, a media campaign, and office infrastructure.

• **$85,000 to provide for the printing of ballots for Lesotho's upcoming elections.**

• **$70,000 to provide ballot boxes for Niger's elections.**

• **$2,200 for Tanzanians to participate in NDI's regional electoral training conference** in Burundi.

• **$25,000 to *GERDDES* for training of local election observers in Togo.** GERDDES is a regional organization with other chapters throughout Africa and has conducted election-related activities in other countries such as Benin. This project is geared towards providing effective domestic monitors for the upcoming series of local, legislative, and presidential elections.

• **$7,000 for the *National Womens Lobby* and *YWCA* electoral training workshop in Zambia.** The groups will conduct a training workshop for grassroots participants (women and youth) on electoral processes and civic responsibilities.

• **$14,000 to FODEP to monitor the local elections**

in Zambia. FODEP is the successor organization to ZEMCC which was considered highly successful in providing domestic monitoring for the national elections in October, 1991.

FY 91

$17,000 for an election observation mission, organized by the African-American Institute, for the first round of elections held in mid-March in Benin.

$16,000 for an election observation mission, organized by the African-American Institute, for the second round of presidential elections held at the end of March in Benin.

$32,000 for a pre-election assessment performed by the International Foundation for Electoral Systems (IFES) in Lesotho.

$25,000 to the International Foundation for Electoral Systems (IFES) for a pre-electoral assessment in Mali.

$12,000 to support the Commission on Multipartyism in Tanzania.

$200,800 to the National Democratic Institute for International Affairs and the Zambia Independent Monitoring Team to support a major domestic and international effort to ensure free and fair presidential and parliamentary elections in October.

<u>Media Support</u> **FY 92**

• **$15,000 for the Union of Journalists to produce pamphlet and periodicals on the state of press liberties in Cote d'Ivoire.** The purpose of the project is to inform journalists of developments affecting their profession, in particular, attacks on press freedom. The Union of Journalists was formed in November of 1991 for the purpose of defending the freedom of the press, providing legal aid to journalists arbitrarily arrested or sued, promoting support for the privately owned press, developing a code of journalistic ethics, and improving the quality of Ivorian journalism through training seminars and awards for excellence.

• **$550 for cost overruns in a journalism seminar**

in Gabon.
There were marginal cost overruns encountered in a 116 (E) funded project in 1991 to organize a seminar for Gabonese journalists in election reporting techniques.

• **$13,000 to the Association of Editors in Guinea for a journalism seminar.** The Association is sponsoring a one week seminar led by a U.S. journalist designed to improve the professional skills of the twenty Guinean journalists participating.

• **$3,000 for a *Desktop Publishing* Workshop** in Malawi. The workshop is directed towards independent publishers seeking to acquire low-cost desktop technology, and public relations officers from a variety of non-governmental organizations which are currently attempting to develop newsletters. Lacking trained personnel, many of these publishers and organizations have in the past been unable to effectively use the technology at their disposal.

• **$12,000 for a journalism seminar through the *Togolese Association for a Free Press* (ATCP) and the *Union of Editors of Independent Journals* (UTEJI) for a seminar on principles in journalism** including a special unit on covering local elections. Both groups have active contacts with international journalism groups and have sought to promote freedom of the press in Togo. The goal is to foster the development of a more professional and responsible press, as an essential element in a successful democratic transition.

• **$1,000 for radio programming in Togo.**

FY 91

$40,000 to sponsor a journalist training seminar, focusing on assorted issues involving the free press in Cameroon.

$15,000 to the Gabon Chapter of the Association of Professional African Women in Communication (APAC-Gabon) to hold two journalism seminars and to provide material support.

$4,200 to the Journalists Association of Malawi for a journalist training workshop.

$16,200 to assist the Journalists Association of Malawi in starting a journal and newsletter.

$22,000 to the Sao Tome Journalism Association for institutional support.

Constitutional Reform and Democratic Institution Building

FY 92

• **$30,000 for a constitutional forum** in Madagascar organized by the Malagasy Christian Council of Churches (FFKM), which represents 50% of the churches operating in Madagascar. It has played a major role in mediating the nation's political crisis and has worked diligently preparing for the forum, which could have long term effects on the development of democracy in Madagascar.

• **$10,000 for the translation of the draft constitution into local languages in Togo.** Though Togolese voters will soon be asked to vote on a new constitution, no official text has yet been published. This project is designed to assist voters in understanding the proposed constitution by encouraging debate of its provisions through the production of the written constitution in the two principle local languages. Non-partisan groups, including the DDD (an organization active education and human rights activities) will distribute the texts.

• **$100,000 to educate parliamentary leaders and ministerial staff on legislative functions in Namibia.** Currently, the parliament suffers from a lack of experience in parliamentary politics in general and in the legislative process in particular, which restricts the national assembly's ability to review and scrutinize the policies, administration and day-to-day decisions and actions of government. NDI is responsible for the administration and oversight of the program. Primary areas of focus include general management principles, legislative drafting, press statements and releases, and relations with other government institutions.

• **$100,000 to fund training and education of parliamentary leaders and ministerial staff on procedural matters and constituent relations.** This project, as well, will be managed by NDI. Primary areas of focus include legislative procedures, policy debate and oversight, constituent services, professional ethics, responsibilities to the parliament, the political party, and the public, and

time management.

FY 91

$13,000 to provide a constitutional law expert to consult with the new constitutional commission in Burundi.

$42,000 for technical assistance and other support for the constitutional reform efforts organized by the Constitutional Revision Committee in Guinea-Bissau.

$25,000 for a constitutional expert in Mali.

<u>Civic Education</u> **FY 92**

• **$39,000 to the Kituo Cha Sharia (Legal Advice Center) in Kenya for a civic education radio campaign for the upcoming elections.**

• **$35,000 for a civic education project** in Madagascar. The project's manager, *The National Observatory of Democracy* (OND), is a newly registered civic action organization that draws its membership from all points on the political spectrum. OND will try to counter the exploitations of corrupt politicians through public information spots on the national radio, the publication and distribution of a brochure on voting basics, and the printing and distribution of posters. Money will contribute to radio time, printing costs, transportation expenses, and office supplies.

• **$55,000 for a civic education training project in Mali.** Under the program, village level leaders would be trained on how to provide information and education about democracy and civic responsibilities to Malian citizens.

• **$12,000 to the *Legal Research and Resource Development Centre* (LRRDC) for a project to promote legal awareness and human rights education in Nigeria's rural areas** through the dissemination of education materials, including pictorial handbooks, pamphlets and games. The LRRDC is an independent, non-profit NGO established for the promotion of respect for human rights principles through education, research, and the initiation of projects. Though all citizens are guaranteed a number of human rights, 80% of Nigerians who live in rural areas or urban slums do not know of

the existence of these rights or how to enforce them. Through the publication of materials in the form of pictoral handbooks, pamphlets, and games, information on the use of the legal system can be disseminated to these citizens. Volunteers will also be trained to provide legal counselling services within their communities.

• **$43,000 for Printing of Constitution and other documents in Niger including** Supreme court decrees, the law on political parties, and the electoral code to increase public awareness of their new rights.

• **$70,000 for a multimedia democracy support program in Niger.** The purpose of the project is to broaden public understanding of the democratic process and to encourage and facilitate increased public participation in the upcoming elections through training workshops, media productions, and study visits to the U.S.

• **$52,000 for civic education in Rwanda.**

• **$1,000 for *DDD* a nonpartisan group active in civic education and human rights in Togo** for a series of weekly public information programs on democratic principles and the electoral process. This project is designed to provide information on basic democratic principles and the electoral process via Radio Togo.

FY 91

$55,000 to the National Democratic Institute for International Affairs to conduct a multi-national mission to visit Cameroon to evaluate the democratization process.

$20,000 to the Volunteers for the Defense of Democracy (VDD) for a civic education project in the Congo.

$25,000 to the National Council of Women for a rural women's education project in Kenya.

$15,000 to the Nigerian Association of University Women for a civic education program.

$66,000 for the publication of civic instruction booklets covering basic democratic rights and distribution to public schools in Senegal.

SECTION E

MANAGEMENT OF DHRF-FUNDED ACTIVITIES

A.I.D. regulations require that certain procedures be followed by both grantee organizations and project managers throughout the grant cycle, from submission of proposals to evaluation of funded activities.

DHRF activities are governed by A.I.D. Handbook 19, rather than Handbook 13, which provides guidance for most A.I.D. grants. The USAID Mission should have copies of Handbook 19 for reference, and the USAID Controller, Regional Legal Advisor, and Contracts Officer should be able to provide specific information and guidance on specific issues.

DHRF activities are managed by Embassy DHR Officers, who are encouraged to seek advice from such persons as required. Other USAID staff, such as project development officers and commodity management officers, could also provide specific guidance and advice.

Additional guidance will be sent to the field by AF/RA and AFR/ONI.

This section summarizes issues which need to be considered at different points in the project management cycle, and also indicates record keeping and reporting requirements.

The section is divided into the following sub-sections:

- Proposal development, submission and approval.
- Grant award and obligation of funds.
- Implementation of activities.
- Monitoring, reporting, evaluation and close-out of activities.

Section E

Each sub-section contains information on the roles and responsibilities of both grantees and DHR officers, procedures to be followed, and regulations to be observed, as well as suggestions of issues to be considered.

Section E

Proposal, Submission and Approval Procedures

I. Democracy and Human Rights Program Plan

Missions are required to submit a Democracy and Human Rights (DHR) Program Plan during the first quarter of the fiscal year.

DHR Program Plans should outline the USG overall strategy for promoting human rights and political pluralism in individual countries for the upcoming year.

DHR Program Plans can be updated or revised according to events, but all activities funded under the DHRF should be consistent with, and supportive of, individual DHR Program Plans.

II. Proposals

All grants made or activities funded should be in response to project proposals received from organizations or government bodies, and should conform to Mission DHR Program Plans.

In many cases, organizations have good ideas, but require assistance to translate them into coherent project proposals. Proposals need not be very detailed, but should contain sufficient information to enable DHR Committees to take funding decisions and be reasonable assured that projects will be adequately managed and achieve their objectives.

Obviously, more complex activities will require more detailed proposals than single activities such as a workshop. Similarly, more costly activities require that proposals include more information about project management and potential impact, as well as more detailed descriptions of actual activities to be undertaken.

Section E

A. Proposals under $25,000

Requests for funding under $25,000 should include the following information:

Grantee Information

- Name, address, telephone number etc.
- Name and title of person who will be responsible for the activity and for liaising with the DHR Officer.
- Brief description of organization or governmental entity.

  This should give some indication of how long the organization has been in existence, where it is based, membership, size, funding sources etc. (in the case of non-governmental organizations).

Background Information

- The context in which the activity is set and rationale for the activity.

  This can be a brief statement, but should be stated in terms of democracy/human rights.

Description of Activity

- Purpose of the activity and what it is intended to achieve.

  Indication of potential impact and who will be involved in the activity.

  Extent of participant or community involvement (to the extent that the activity is participatory).

- Brief description of the activity, duration, proposed start date (if not an on-going activity).

- Estimated cost of activity, amount requested from USG, and other sources of funding.

This information could probably fit onto a single page.

Additional and background information should be obtained by DHR officers in discussions with the potential grantee.

B. Proposals for $25,000 - $100,000

Proposals requesting this amount of funds should follow the same basic format as smaller proposals, but contain more specific information and a more detailed description of activities.

They should contain at a minimum:

Grantee Information

- Name, address, telephone number etc.

- Name and title of person who will be responsible for the activity and for liaising with the DHR officer.

- Brief description of organization or governmental entity.

  This should give some indication of how long the organization has been in existence, where it is based, membership, size, funding sources etc. (in the case of non-governmental organizations).

- Grantee management structure, especially as

regards financial management.[1]

This is particularly important if the organization is to be given responsibility for management of funds.

Background Information

- The context in which the activity is set and rationale for the activity.

  This should be stated in terms of democracy/human rights.

- The particular issue or problem the activity is intended to address should be briefly described in the case of larger activities.

Description of Activity

- Purpose of the activity and what it is intended to achieve.

  Indication of potential impact and who will be involved in the activity.

  Extent of participant or community involvement (to the extent the activity is participatory).

- Description of the activity, duration, proposed start date (if not an on-going activity).

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[1] Ability to adequately manage funds is a key factor in funding consideration. It is possible that Missions will be required to perform financial reviews of prospective grantees prior to making a grant award. Further information regarding both the necessity for, and content of, financial reviews will be communicated by AF/RA and AFR/ONI/DG as procedures are developed.

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Relationship of this activity to other activities undertaken by the organization.

This section should indicate implementation details and timing of each component if the proposal is for more than one activity.

- Sustainability of the activity, particularly if funding is sought for a discrete component of a larger activity, or for commodities or training in support of a longer-term activity.

- Estimated cost of activity, amount requested from USG, and other sources of funding.

  Larger proposals should contain illustrative budgets with budget line-items.[2] While such budgets are essentially estimates, line-item amounts should be as firm as possible, and based on some sort of financial and cost analysis.

- Activity management details, including responsibility for implementation and monitoring.

Proposals for activities in the $25,000 - $100,000 range should contain a clear statement of how such activities promote human rights or support political pluralism and the creation of more open, democratic societies.

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[2] Budget line-items are the breakdown of a general budget into individual items. A general budget of $18,000 for production of training materials could be broken down into budget line-items of $5,000 fees for writing of materials, $10,000 for printing, and $3,000 for distribution. Breaking budgets into individual line-items is useful for more costly activities as it permits development of more accurate cost estimates and provides a financial management tool.

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C. Roles and Responsibilities

Grantees are responsible for developing proposals.

However, DHR officers are responsible for ensuring that all proposals contain the required information, and that sufficient information is obtained about both the potential activity and the organization to allow the DHR Committee to make initial funding decisions.

If other members of the Mission or DHR Committee work with organizations to develop proposals, it is the responsibility of DHR officers to ensure that such persons understand what is required.

Missions may find it useful to develop a standard request for funding format which organizations could fill out to ensure both that all required information is received and that proposals are submitted in a relatively standardized format.

As part of the proposal development/initial response to proposals stage, DHR officers or other Mission staff should visit grantee organizations and discuss proposed activities.

Attention should be given to the administrative and financial management capacity of potential grantees, particularly when funding is requested for longer or more costly activities.

III. Field DHR Committee Review of Proposals

A. Procedures

Once proposals are completed, they should be reviewed by the field DHR Committee, which should be made up of Embassy, USAID and USIS staff.

It is possible for the DHR Committee to make initial funding decisions based on brief concepts or

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ideas papers, rather than proposals, for proposed activities under $25,000, should the details of the activity not have been fully worked out at the time such initial decisions have to be taken.

Prospective grantees would then be responsible for developing complete proposals with reasonably firm budgets. In such cases, however, it is desirable that as much information regarding the details of the activity, how it is likely to be implemented, and the estimated cost is provided to the DHR Committee.

Proposals, rather than ideas papers, should be developed for review by the DHR Committee for activities in the $25,000 - $100,000 range.

For record keeping and reporting purposes, it is desirable that review procedures be standardized within Missions to the extent possible. Review of proposals is facilitated if they are submitted in a standard format, and circulated to DHR Committee members by DHR officers in advance of meetings.

The DHR officer, or the person endorsing a particular proposal should submit a brief statement describing the linkages between the endorsed activity and the USG Mission's overall strategy on democracy and governance, particularly the DHR Program Plan. The statement should also indicate how the activity contributes to the process of political pluralism and promotion of human rights.

Given the need for adequate project management and appropriate use of funds, the financial management and administrative capacity of the organization should also be discussed.

B. Roles and Responsibilities

DHR officers should be responsible for receiving all proposals or ideas papers and for circulating them to DHR Committee members prior to review meetings.

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DHR officers are also responsible for keeping files of proposals received, noting action taken on proposals, and keeping records of decisions taken at review meetings.

The DHR Committee should, to the extent feasible, be comprised of country team members. The USAID Controller should be a member of the Committee.

The DHR Committee is responsible for taking initial funding decisions and making recommendations to the Ambassador. Such decisions should then be sent to Washington for concurrence and funding approval by the DHRF Committee. The "KDEM" tag should be used for all cable correspondence relating to the DHRF, and cables should be clearly addressed "for AF/RA; also for HA, A.I.D. AFR/ONI/DG, and USIA/AF".

If more than one proposal is considered, the field DHR Committee should rank proposals in order of priority, in case funding is not available for all selected activities.

C. Issues

Obviously, field Missions have the best understanding of the importance or utility of activities within the context of the political situation and USG Mission objectives in any given country.

However, given the need for scarce resources to be used to their maximum advantage and for accountability and sound management, certain issues could usefully be considered at this stage. Among these are:

- Connection to civil and political rights and promotion of democratic principles and institutions, and the extent to which the proposed activity will contribute to the development of such principles and institutions.

- Connection of activity to DHR Program Plan.
- Objectives of the activity, and the extent to which such objectives are reasonable and attainable within the country context.
- Rationale for funding the particular activity as opposed to other potential activities.
- Managerial and administrative infrastructure of the organization is sufficient to ensure sound management and financial accountability, or if not, what measures can be taken to ensure that weaknesses do not negatively affect the implementation of the activity.
- The organization is likely to continue beyond the duration of the activity, or if not, that mechanisms exist to ensure that resources provided will be used to their maximum advantage.[3]
- There is evidence of participant support, in the case of participatory activities, or, in the case of non-participatory activities, that there is broad-based support.
- The organization or activity is funded from other sources, and that the funds requested are commensurate with the activity, and based on reasonable and reasonably firm cost estimates.

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[3] It could desirable in certain instances to fund a single activity, or organization which is intended to serve a specific purpose and is not intended to last for a long time. In such cases, however, it is useful to ascertain that resources are used to the maximum extent, and that if commodities are funded there are mechanisms to ensure that such commodities are used for a similar purpose after the activity is over.

- The proposed timeframe and duration are suitable and adequate for the activity to be accomplished, and that the proposing organization is the most suitable potential implementing agency.

- USG Mission management capability, including the management burden placed on DHR officers and support staff to ensure adequate financial management and procurement procedures are followed.

- The extent to which DHRF funds are the most suitable funding mechanism for the activity, as opposed to other USG funding sources, or possibly other donor or private funding mechanisms.

IV. Democracy and Human Rights Fund (DHRF) Committee Review of Proposed Activities

A. Procedures

Following Mission DHR Committee review of proposals, the approval of the DHRF Committee in Washington must be obtained, and funding allocations made.

Descriptions of activities should be submitted to AF/RA, using the "KDEM" tag, for one of the quarterly funding meetings.

Missions should submit proposals for DHRF review as early as possible during the fiscal year. The DHRF Committee intends to allocate approximately half the funds available each fiscal year during its first quarterly meeting.

Given the competition for funds, it is possible that insufficient funds will be available to fund all activities suggested by field Missions, and therefore

the DHRF Committee will have to make funding decisions between both countries and individual activities.

The DHRF Committee will reserve some funds for the final quarterly meeting for activities developed late in the fiscal year. It will also allocate unused funds and funds returned from the field during the final meeting of the fiscal year.

Funds will only be allocated to field Missions during the final meeting of the fiscal year if the DHRF Committee is assured that such funds can be reasonably and responsibly obligated by the end of the fiscal year.

The DHRF Committee will consider proposals in the light of their:

- connection to field DHR Program Plans;
- connection to political liberalization and human rights;
- potential impact;
- cost effectiveness
- grantee financial and managerial ability; and
- the managerial burden placed on field Missions.

Given the need to assure adequate financial management and accountability, particular attention will be given to the ability of grantees to manage and account for funds.

Descriptions of proposed activities should be sent by cable using the "KDEM" tag, addressed "for AF/RA; also for HA, A.I.D. AFR/ONI/DG, and USIA/AF".

B. DHR Program Plans

Field DHR Program Plans should be submitted for DHRF Committee midway through the first quarter.

C. Proposal Review

The DHRF Committee will review field proposals

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during each of its quarterly meetings. Proposals will be reviewed in accordance with field Mission DHR Program Plans.

i. Activities under $25,000

The DHRF Committee will approve small activities (under $25,000) in principle, and a single budget allowance for all such activities approved will be sent to the field.

Missions will then be free to obligate funds as appropriate and when pre-funding requirements, such as financial reviews, have been completed.

However, although these streamlined procedures allow Missions to submit concepts or ideas, as opposed to fully developed proposals, for activities under $25,000, Missions are advised to provide as much information as possible in order that proposed activities might be fully considered.

ii. $25,000-$100,000 Activities

The DHRF Committee will apply more rigorous approval procedures for activities in the $25,000 - $100,000 range, which means that Missions should ensure that sufficient information and justification for activities is provided, as insufficient information could result in activities being rejected, or delayed until the next fiscal year.

Descriptions of proposed activities should contain the following information:

- Background statement which places the activity in the context of the current country situation as it pertains to democracy and human rights.

- Indication of how the activity supports

democracy or human rights.

This section should indicate why both the type of activity (eg. freedom of the press, voter education) and what it proposes to do (eg. promoting outreach, facilitating production of materials) is important.

This section should also indicate how the proposed activity fits in with the USG Mission DHR Program Plan and general country team strategy for supporting democracy, governance and human rights.

- Ranking of proposed activity against other proposed activities in order of priority, with reasons for choice.

- Brief description of the activity and anticipated impact.

  This section should indicate general support for the activity, and address issues of sustainability and potential spin-off effects.

  It should also indicate the anticipated timing and duration of the proposed activity.

- Brief description of the implementing organization, and how the proposed activity fits in with other activities it is undertaking, or how it relates to the rest of government policy, in the case of government entities.

  In instances in which USIS will be the implementing institution, or in which contracts will be awarded to U.S. entities to provide specific services, this section should indicate why this choice has been made, which organization or host country government institution requested the

assistance, and what general support for the proposed activity exists within the country.

- Estimated cost of activity, amount of funding requested from USG, and other sources of funding.

  To the extent possible, budget estimates should be accurate, and based on specific cost information.

  For activities with more than one component, or which cost over $25,000, the budget should be divided into budget line-items.

- Brief description of how the activity will be managed, both by the grantee and by the DHR officer. Particular attention should be paid to the financial management capacity of potential grantees.

A budget allowance for each approved activity in the $25,000-$100,000 range will be sent to field Missions Following DHRF Committee approval.

D. Roles and Responsibilities

DHRF Committee Funding Decisions

AF/RA is responsible for coordinating the DHRF Committee review of proposals, and for sending information cables to field Missions advising them of HR Committee funding decisions.

These cables will normally be sent within a few days of the DHRF Committee meeting. Should additional information be required, AF/RA will request such information from Missions for review at the next DHRF Committee meeting.

Receipt of the DHRF Committee funding decision cable does not mean that funds can be obligated, but rather that activities can be pursued and developed as

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required.

Budget Allowance Cables

An advice of budget allowance cable is required before funds can be obligated. Following DHRF Committee funding decisions, AFR/ONI has to inform AFR/DP of such decisions in writing, and request that budget allowances be sent to field Missions.

Given the procedures which must be followed, at least one month after DHRF Committee approvals is required before such budget allowance cables can be sent to the field by AFR/DP.

As indicated above, a single budget allowance will be sent to field Missions following DHRF Committee approval in principle of activities under $25,000. Individual budget allowance cables will be sent for activities in excess of $25,000.

E. The following chart summarizes the process which should be followed from receipt of proposal to receipt of budget allowance cable:

Action	Person/Entity Responsible
Initial proposal	Potential Grantee
Submission of proposal to Field DHR Committee	DHR Officer
Review of proposals, ranking, and initial funding decisions	DHR Committee
Development and submission of proposals for DHRF Committee review	DHR Officer, clearance of DHR Committee

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Coordination of DHRF Committee review process	AF/RA
Concurrence/approval of proposed activities and funding decisions	DHRF Committee
DHRF Committee decisions communicated to field Missions	AF/RA
Budget allowances requested	AFR/ONI
Budget allowance cables sent to field Missions	AFR/DP

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Section E

Grant Award and Obligation of Funds

I. Grant Award

A. Procedures

Pre-Grant Award

Once DHRF Committee concurrence or approval has been obtained, DHR officers can proceed to work with potential grantees to more fully develop proposals, discuss project activities and prepare grant award documents.

Prior to any grants being awarded, DHR officers should be assured that all technical and management issues have been addressed, that budget estimates are firm, and that grantees understand procurement and financial management procedures to be followed.

Particular attention should be paid to financial management capacity and the financial systems employed by prospective grantees. Additional information regarding pre-grant award financial reviews will be sent to the field by AF/RA and AFR/ONI/DG.

DHR Activity Agreements

In general, funds will be obligated to non-governmental organizations or host-country government entities through a DHR Activity Agreement. This does not necessarily mean that the grantee will manage the funds, as in many cases grantees will not be deemed grantworthy[4] due to lack of adequate financial management procedures. (See Implementation of

[4] Organizations are considered to be grantworthy if they have adequate financial and administrative systems and have the ability to implement such systems effectively. USAID Controllers can undertake assessments of organizations to determine if they can manage USG funds as required.

Activities, following, for more information).

However, grantees should be aware that the DHR Activity Agreement is a contractually binding document, and that funds are provided in the amounts specified in the activity agreement budget for the specific activities described in the agreement.

Many grantees do not fully understand this, and problems can occur when they either overspend on elements of the funded activity, or attempt to use funds for purposes other than those specified in the activity agreement.

In some cases, it could be that funds will be given to USIS or to a contractor to undertake specific activities.

In such cases, Missions should still enter into a general DHR Activity Agreement with the organization or government body which requested the assistance, even though all funds would go to whichever institution or person was providing the assistance. In these instances, the DHR Activity Agreement would still be the obligating document.

Where possible a standard DHR Activity Agreement format should be used for all DHRF grants. A sample activity agreement format, together with an explanation, is given in Annex A of this section.

Standard Provisions, as included in Annex A, must be attached to all DHR Activity Agreements, and constitute a part of the agreement.

Other Obligating Documents

In exceptional instances, Missions might prefer not to enter into an activity agreement with a host country entity, but to directly give the funds to USIS or enter into a contractual arrangement with a person or institution to provide specific goods or services.

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In such cases, the agreement with USIS, or the contract or purchase order (only for activities under $25,000) would be the obligating document. (Implementation of Activities, following, gives more information).

Required Information and Clearances

Before a DHR Activity Agreement or any other obligating mechanism can be executed, funding data must be received from the USAID Controller.

The Controller's office will assign an activity agreement number, and will provide fund cites, including a budget plan code, and earmark and commitment numbers. The Controller will also certify that funds for the activity are available.

No DHR Activity Agreement should be signed without such information being received from the Controller's office, and listed on the agreement document.

Clearances should be obtained for all DHR Activity Agreements or other obligating documents, prior to their being signed. The USAID Controller should clear all activity agreements, as should at least one other member of the DHR Committee.

For agreements in excess of $25,000, it is recommended that another USAID clearance, together with the clearance of the USAID legal advisor where possible, be obtained. This is to ensure that all necessary financial management, procurement, and reporting issues have been adequately addressed.

B. Roles and Responsibilities

The primary responsibility for finalizing proposals, preparing activity agreement documents and ensuring that grantees understand the contractual nature of the agreement rests with the DHR officer.

The DHR officer is also responsible for ensuring that all required clearances are obtained on DHR Activity Agreements or other obligating documents. If other contractual documents such as purchase orders or contracts are used to obligate DHRF funds, the DHR officer is advised to seek guidance from USAID as to the preparation of such documents.

The USAID Controller is responsible for providing fiscal information and for certifying availability of funds.

DHR Activity Agreements should be signed by the Ambassador, or the Ambassador's designated representative. Purchase orders and contracts should be signed by the USAID Mission Director or other officer certified to sign such documents.

II. Obligation of Funds

A. Procedures

Once signed, a DHR Activity Agreement or other obligating document should be sent to the USAID Controller, who will enter it into the accounting system.

A.I.D. uses a financial system called MACS, in which all financial information pertaining to obligations and expenditures is kept. It is essential that all financial transactions, or any actions which affect finances, are entered into this system. Unless this happens it will be impossible to access funds.

The USAID Controller will explain financial procedures and the MACS system in further detail.

Following signing of a DHR Activity Agreement or other obligating document, a cable should be sent to Washington. The cable should indicate the date of the agreement, name of grantee, amount of agreement, brief description of the activity and termination date of the

agreement.

The cable should be sent to AF/RA, HA, AFR/ONI and AFR/DP, using the "KDEM" tag in order that the action may be entered into the financial tracking system, and the obligation recorded.

Unless this is done, AFR/DP will assume that funds have not been used, and that they are thus potentially available for re-programming. The information will also enable the DHRF Committee to track funds obligated against funds allocated to Missions, and thus know the balance of funds available for other activities.

A copy of the DHR Activity Agreement or other obligating document should be pouched to AF/RA, for record keeping purposes.

B. Roles and Responsibilities

DHR officers are responsible for ensuring that a copy of the signed DHR Activity Agreement or other obligating document is provided to the USAID Controller.

The Controller is responsible for ensuring that financial information is entered into the MACS system, and that the obligation is recorded.

DHR officers should draft cables informing Washington that activity agreements have been signed, but the clearance of USAID Controllers must be obtained.

DHR officers should then send a copy of each DHR Activity Agreement to AF/RA, where files will be established, and copies provided to other members of the DHRF Committee as required.

All members of the DHRF Committee and AFR/DP will enter details of obligation of funds into their own financial and activity tracking systems.

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III. Actions and Responsibilities

The following table indicates actions required and persons responsible for the grant award and obligation of funds.

Action	Person/Entity Responsible
Proposal finalized	DHR officer; grantee
Grant agreement or other obligating document drafted	DHR officer; possibly USAID contracts officer in the case of contracts or purchase orders
Grant or other obligating document number provided	USAID Controller
Fiscal data provided	USAID Controller
Availability of funds certified	USAID Controller
Grant agreement or other obligating document cleared	USAID Controller; members of DHR Committee; possibly USAID Regional Legal Advisor
Grant agreement or other obligating document signed	Ambassador (or designate); USAID Mission Director or contracts officer in case of contracts or purchase orders
Copy of grant agreement forwarded to USAID Controller	DHR Officer
Funds obligated	USAID Controller
Grant or other obligating document award cable sent to Washington	DHR officer, with USAID Controller clearance

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Copy of signed grant or other obligating document pouched to AF/RA	DHR officer

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Section E

Implementation of Activities

I. Management of DHRF-Funded Activities

A. Procedures

DHRF funds are provided for specific activities which have been agreed upon between the USG and grantees, and which are specified in activity agreements.

In instances in which an obligating document other than an activity agreement has been used, funds are provided for the specific goods and services indicated in the purchase order, contract, or other document.

To the extent possible, funded activities should be undertaken according to the schedule and within the budget specified in the activity agreement. Obviously in some cases circumstances will mean that changes are inevitable, but in many instances fledgling organizations do not fully understand the importance of planning and of developing accurate budget and time estimates, and thus do not plan sufficiently when developing proposals.

Grantees should be aware that they cannot change activities, or use funds for purposes other than those specified in the activity agreement. This is less likely to be a problem with activities costing less than $25,000 than with those in the $25,000 - $100,000 range which probably have more components to be implemented over a longer timeframe.

Accurate planning at the proposal stage can help overcome cost and scheduling difficulties at the activity implementation stage.

Should it be necessary to significantly deviate from the activity as described in the activity

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agreement, grantees should understand that agreement for the changes has to be reached with the USG.

In this instance, the DHR officer should seek approval or the DHR Committee for any proposed changes before agreeing to them with the grantee.

Depending on the changes, it may also be necessary to seek DHRF Committee approval or concurrence. It is unlikely that such approval or concurrence would be required for activities funded at under $25,000, but it should be sought for substantive changes in activities funded at levels over $25,000.

Significant or substantive changes include substantial changes in the scheduling of activities, cost changes of over 15 percent between budget line-items, requirements to use funds for goods or services not specified in the activity agreement, or changes in the nature of the activity itself.

When changes are approved it is most likely that the DHR Activity Agreement or other obligating document will need to be amended.

The contractual document should be consistent with what is actually happening, so if funds are used for different purposes, or the timeframe of an activity is extended, such changes should be indicated in the activity agreement.

It is particularly important to remember that funds obligated for DHRF activities should be used within one year of obligation, so that activities should not be re-scheduled beyond that time.

It might be necessary to change the activity termination date specified in the agreement, if such date is less than one year from the date of obligation, as no activities should be implemented beyond the date specified in the agreement.

A standard DHR Activity Agreement Amendment, which

indicates changes to the original should be used. A sample of an activity agreement amendment is given in Annex B.

The same procedures which exist for obligation of funds should be followed when agreements are amended: the DHR Committee and the USAID Controller should clear the amendment document, a copy should be given to the USAID Controller in order that the changes might be recorded, and a copy of the amendment sent to AF/RA.

USAID staff can give guidance as to procedures to be followed for amending obligating documents other than activity agreements.

In some instances, purchase orders might be voided and re-issued, rather than amended. Contracts are likely to be amended to reflect changes, but the person who negotiated the original contract should be responsible for amending it.

B. Roles and Responsibilities

Obviously, grantees are primarily responsible for implementing funded activities.

DHR officers are, however, responsible for ensuring that funds are spent for the purposes for which they were granted, and that any changes are documented.

DHR officers are also responsible for ensuring that activity agreements or other obligating documents are amended as required.

USAID Controllers are responsible for ensuring that any changes affecting financial management of activities, or the duration of the activity agreements, are entered into the MACs system.

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II. Record Keeping and Reporting

A. Procedures

It is important that adequate records and reports of funded activities are kept, as these are required for reporting purposes, and also to ensure that future DHR officers have a record of activities funded, problems encountered, and results achieved.

Grantees should keep basic books and records for the duration of the funded activity, and for a period of at least three years afterward, in case of audit.

In many cases, fledgling organizations will require assistance to establish record keeping systems and financial records, as well as to understand how to use such records as management tools.

In some cases funds for such institution building could be available either as part of larger DHRF-funded activities or from other sources. In others, DHR officers will have to ensure that grantees understand the need to keep records and make suggestions on an informal basis.

Grantees should be encouraged to report on activities, both because such information is required by DHR officers, and also because analysis and reporting is a management tool.

In instances in which DHRF funds are provided for discrete, short-term activities, only a close-out report will probably be required. In other cases, in which funding is provided for longer term activities, periodic reports should be prepared by grantees.

Such reports should indicate what has been accomplished during the reporting period, problems encountered, and plans for the next period. They should be accompanied by a brief financial status

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report which indicates funds expended.

Given that many grantees will be unaccustomed to preparing such reports, a standard format might be useful. An example of a report format is included as Annex C.

Although the requirement to report on activities might at first seem to be placing an undue burden on grantees, it can in fact assist them to better plan and manage activities, and thus serves as an institution building mechanism.

DHR officers should establish records and record keeping procedures. Each post should decide on the procedures and systems to adopt, but at a minimum records of obligating documents and any amendments thereto, communications between DHR officers and grantees or the DHR Committee, copies of all financial and procurement documents, progress reports, and financial status records should be kept for each funded activity.

Periodic progress reports and close-out reports should be made to the DHR Committee, and sent to AF/RA.

Progress reports should be submitted for DHRF Committee review on a quarterly basis. An example of a report format is included in Annex D.

Such reports allow Missions to learn from and share experiences with other Missions, and also provide information to the DHRF Committee to enhance its understanding of issues and problems faced in implementing activities, as well as improve its understanding of what works and is useful in the field.

The DHRF Committee should also receive an annual report at the end of each fiscal year.

B. Roles and Responsibilities

Grantees have responsibility for establishing and keeping adequate progress and financial tracking systems, as well as for establishing administrative procedures.

Grantees should be encouraged to share information and discuss management issues with one another in instances when useful systems have been established.

DHR officers have primary responsibility for establishing DHRF fund record keeping systems and for reporting on funded activities.

The USAID Controller will keep financial status records, but DHR officers are responsible for ensuring that all required information is given to the Controller's office to ensure that it is entered into the MACS system.

The Controller can provide copies of MACS reports as required, and DHR officers are encouraged to discuss management issues with Controllers on a regular basis and to agree on the frequency with which MACS reports will be provided.

The USAID Controller will also provide information on how to use MACs reports.

III. Financial Management and Procurement

A. Procedures

Adequate management of funds is perhaps the greatest problem facing grantees and DHR officers.

It is essential that grantees have reasonable financial management and record keeping systems and the ability to use them if they are to be deemed grantworthy.

In many instances they will not, at least in the

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beginning, and thus much of the responsibility for financial management will rest with DHR officers and their staff.

The main issues concerning financial management are that:

- A.I.D. regulations are followed;
- expenditures are supported by adequate documentation;
- financial records are kept; and
- funds are expended for the purposes they were intended.

If grantees are deemed grantworthy, funds can be provided directly to them for management. As indicated elsewhere, awards in excess of $25,000 should not be made to grantees which cannot pass a grantworthiness test, unless the funds are for large procurement or contracting actions which can easily be managed.

Should awards be made to grantees which are deemed to be grantworthy, there are two main ways in which activities can be funded: cost reimbursement and advance of funds.

A.I.D. usually prefers the cost reimbursement method, whereby grantees use their own resources to pay for activities and claim reimbursement for expenditures.

It is unlikely that organizations in receipt of DHRF funds will have an adequate cash flow to permit them to operate on a cost reimbursement basis. It is therefore probable that cash advances will be made.

In such instances, grantees request an advance to cover immediate expenditures, and once funds are expended submit documentation to clear the advance and if necessary request another.

As most grantees are unlikely to be considered grantworthy, funds cannot be provided directly to them

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for management. Therefore, most of the financial management burden will fall on DHR officers and their staff.

Probably the easiest way to manage funds is for DHR officers to approve payment for goods and services, and for checks to be made payable to vendors.

In this case, grantees should obtain pro forma invoices (written quotations) from vendors, following which a vendor is selected, goods or services provided, and payment made directly to the vendor by the Embassy.

Pre-positioned checks are another mechanism which can be used, but this is frequently found to be less useful a method than pro forma invoices and direct payment.

Whether or not grantees are considered grantworthy, and thus given funds for direct management, grantees and DHR officers should be aware of A.I.D. procurement regulations.

Such regulations are in support of free and open competition, and thus quotations should be obtained from at least three sources prior to procurement of goods, or informal competition followed in the case of services.

This is standard practice to ensure that the best quality of goods or services is obtained for the lowest price, and also to guard against corruption or nepotism.

Procurement under the DHRF should, where possible, be "off the shelf", which means that goods and services should be obtained in-country.[5] However, procurement from other sources is permitted, especially in the case of services, where procurement in country is

[5] AFR/ONI/DG will inform Missions if "Buy America" regulations are to be applied to the DHRF.

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impossible.

In such cases, an order of preference of host country, United States, selected free world (A.I.D. Geographic Code 941), and finally special free world (A.I.D. Geographic Code 935), should be followed.

A fuller discussion of financial and procurement issues is given in Section F, Financial and Procurement Issues.

B. Roles and Responsibilities

Grantees have primary responsibility for financial management and procurement in instances in which funds are provided directly, although in such cases DHR officers are responsible for ensuring that they understand the A.I.D. regulations to be followed.

In instances in which grantees are not deemed grantworthy, DHR officers have primary responsibility for ensuring that funds are used properly and in accordance with A.I.D. regulations. In such cases, however, grantees should be encouraged to undertake as much responsibility as possible, by establishing and keeping proper financial records, and following sound procurement practices which support free and open competition.

DHR officers would thus be responsible for approving pro forma invoices and arranging direct payment to vendors, but grantees themselves would be responsible for undertaking much of the procurement preparatory work.

In all cases, USAID Controllers are responsible for providing advice pertaining to use of funds and financial transactions, while other USAID staff, such as regional legal advisors, commodity management officers and contracts officers could provide advice on specific procurement issues.

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Section E

AFR/ONI/DG should be contacted for guidance on A.I.D. regulations.

Section E

Monitoring, Reporting, Evaluation and Close Out of Activities

I. Monitoring

DHRF funded activities should be monitored on an ongoing basis by both DHR officers and grantees.

Monitoring is necessary at the individual activity level to ensure that funded activities are implemented according to plan, problems are identified and necessary modifications or adjustments made.

It is also necessary at the DHR Committee level to ensure that funded activities remain relevant to the changing situation within the country, and contribute to the promotion of democracy and human rights.

Finally, the DHRF itself must be monitored, to ensure that activities are funded in accordance with the aims and objectives of the DHRF, and that funded activities represent the most effective use of funds.

Grantees should be encouraged to monitor activities as a management tool, in order that problems might be identified and potential solutions found. They should also be encouraged to assess the impact of activities as objectively as possible and learn from their experience.

Monitoring of activities by DHR officers allows them to understand the problems faced by grantee organizations, as well as the difficulties of implementing certain types of activities. Such increased understanding can help in the assessment of future proposals, as well as inform the DHR Committee of the impact different types of activities can have.

Ongoing monitoring of activities by DHR officers can also permit potential problems to be discussed and

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solutions found, or for agreement documents to be amended to take extraneous factors into account in a timely fashion. It is also necessary if DHR officers are to be able to adequately report on progress to both the DHR and HR Committees.

The DHRF Committee needs to monitor progress of the DHRF in order to take management decisions, ascertain the extent to which funded activities are meeting the intent of the DHRF, and provide guidance to the field.

II. Reporting

Grantees are required at a minimum to submit close-out reports, and should also submit periodic progress reports for activities implemented over a period of time.

Although most on-going monitoring of individual activities will take place on an informal basis, records should be kept and reports produced as appropriate and required.

As indicated earlier, Missions should submit obligation and activity close out reporting cables, on a case by case basis. They should also, however, submit quarterly progress reports to the DHRF Committee, and an annual report indicating the status of all DHRF-funded activities. (Suggested formats for these reports are included as Annex D).

Missions are also required to submit a financial status report in June of each year to permit the DHRF Committee and AFR/DP to ascertain the status of DHRF funds.

The DHRF Committee reports to Congress on the DHRF, and facilitates sharing of information between Missions.

The following chart indicates reporting

responsibilities and schedule.

Action	Agent	Time
Progress Reports	Grantee	As required by agreement; close-out at end of activity
Financial Reports	Grantee	As required by agreement; close-out at end of activity
Status Reports	DHR officers to field DHR Committees	At scheduled committee meetings
Obligation Cables	Missions to DHRF Committee	As obligations occur
Periodic Progress Reports	Missions to DHRF Committee	End December, March, June
Annual Report	Missions to DHRF Committee	End September
Financial Status Report	Missions to DHRF Committee	End June
Activity Close-Out Reports	Missions to DHRF Committee	As activities completed
Report to Congress on DHRF	AFR/ONI for DHRF Committee	Annually
Summary Report of Funded Activities	AFR/ONI for DHRF Committee	Annually

III. Evaluation

It is hard to conduct meaningful evaluations in the short-term of activities which, by their nature,

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are intended to contribute to social change, and which are implemented in fluid political environments.

This is not to say that some assessment of the impact of such activities cannot be made, but rather that it must be understood that evaluation of DHR activities will in large part be subjective and based on assumptions.

It is possible to make meaningful assessments of DHRF activities provided that the context in which they are implemented is understood, the constraints to their success identified, and their impact seen in terms of their contribution to the development of democratic societies.

Evaluation of activities can be better performed if monitoring has been conducted on an on-going basis.

Formal evaluation of individual activities is probably not very useful in the case of small, discrete activities, although it might well be appropriate in the case of larger activities funded under the DHRF.

However, grantees should be encouraged to see evaluation of activities as a management tool and a learning experience, and to therefore attempt to evaluate activities as objectively as possible.

In many instances, grantee organizations view evaluation terms of "checking up", and therefore seek to prove that activities have been problem-free and successful.

DHR Committees should attempt to evaluate activities in terms of the extent to which they achieved their goals, but also in the context of both the overall Mission democracy and governance strategy as outlined in the DHR Program Plan and the situation pertaining in the country.

Although evaluations will be based on personal judgement and opinions, Missions should attempt to be

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as objective as possible, and state the assumptions on which their judgements are based. By so doing, both Missions and the HR Committee can learn from experience, and better judge the potential impact of proposed activities.

Missions should use annual DHRF status reports to evaluate both individual activities and the overall DHRF portfolio.

IV. Close-Out of Activities

Close-out of activities is extremely important, but many times forgotten as grantees move on to implementing other activities, and DHR officers to obligating other funds.

A. Procedures

When activities are completed, activity agreements should be terminated and records closed, except in instances in which it is decided that any un-used funds can be used for additional activities and activity agreements amended accordingly.

DHR officers should inform USAID Controllers when activities have been completed, and obtain final reports from grantee organizations. Controllers can then reconcile their MACS records and de-obligate any remaining funds. (See Section F, Financial and Procurement Issues for a more complete explanation of re-obligation of funds).

As financial accounts cannot be re-opened once they have been closed-out, or funds accessed once they have been de-obligated, it is very important to ensure that all financial transactions have been completed, and all vendors paid in full before agreements are closed out.

Agreements should be closed as soon as possible once funded activities have been completed.

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DHR officers should seek guidance from USAID Controllers in instances in which agreements cannot be closed due to problems of reconciling financial records or obtaining receipts.

B. Roles and Responsibilities

Grantees are primarily responsible for monitoring activities, and should also be required to report on activities, either formally or informally, as appropriate.

In cases in which formal reporting is not required, DHR officers should meet on a frequent basis grantees to discuss project progress.

DHR officers are responsible for reporting the status and progress of DHRF-funded activities to the DHR Committee. DHR Committee decisions made on the basis such reports should be recorded.

Missions are responsible for submitting obligation and activity close out reporting cables, on a case by case basis. They should also, however, submit quarterly progress reports to the DHRF Committee, and an annual report indicating the status of all DHRF-funded activities. (Suggested formats for these reports are included as Annex D).

Missions are also required to submit a financial status report in June of each year to permit the DHRF Committee and AFR/DP to ascertain the status of DHRF funds. Additional details of reporting requirements are given earlier in this section.

Missions should send annual status reports by cable, but should also pouch copies to AF/RA and AFR/ONI/DG. AFR/ONI/DG is responsible for compiling such reports and ensuring distribution to all field Missions to facilitate sharing of information. AFR/ONI is also responsible for preparation of annual reports to

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Congress on the DHRF, and for sending copies of reports to field Missions.

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Section E
ANNEX A

AGREEMENT BETWEEN

THE GOVERNMENT OF THE UNITED STATES OF AMERICA

AND

XXXXXXXXXXX[1]

Activity Agreement No: DHR-92-676-01[2]

Title: National Association of Lawyers, Training Seminars

Amount of Agreement: $10,000[3]

Authority: Pursuant to the Foreign Assistance Act of 1961, as amended, and in accordance with the General Agreement on Special Development Assistance between the Government of the United States of America and the Government of XXX dated XXXXX,[4] and in accordance with the standard provisions attached to this Agreement, the Government of the United States of America agrees to grant the Grantee under the terms of this Agreement an amount not to exceed ten thousand United States Dollars[5] to meet the costs of carrying out the activity described in this Agreement.

Agreement Completion Date: December 31, 1993.[6]

This Agreement consists of this title page and Attachment 1, Terms and Conditions, Attachment 2, Project Description, and Attachment 3, Standard Provisions.

For the National Association of Lawyers[7]	For the Government of the United States of America
_____	_____
Typed Name Title	Typed Name Ambassador
Date:	Date:

Section E
ANNEX A

Fiscal Data[8]

Appropriation:
BPC:
Allowance:
Project:
Amount:
Res. Control No:
Ermk. Control No:

Funds Available:

Attachment 1

Terms and Conditions

This attachment should specify any special terms and conditions relating to the agreement, such as source/origin issues, method of payment, reporting requirements or specific procedures to be followed.

Attachment 2

Project Description

This attachment should consist of a brief description of the activities to be undertaken, together with a timeframe and budget.

Section E
ANNEX A

Attachment 3

Standard Provisions

Section E
ANNEX A

1. Enter Grantee name ie. Supreme Court of Zimbabwe; National Association of Lawyers; Government of Benin etc.

2. The following format should be used to number activity agreements:

Prefix	Fiscal Year	Country Code	Agreement No.
DHR	92, 93 etc.	676 etc.	01, 02, etc.

The USAID Controller will assign numbers. DHR stands for Democracy and Human Rights Fund. The fiscal year refers to the fiscal year in which funds are provided. Each country has a country code assigned to it. The agreement number is the number assigned to each particular activity agreement.

3. Enter amount of grant.

4. Enter details of this Agreement. If no agreement exists, and a decision has been taken not to enter into such an agreement, omit this reference.

5. Enter the amount of the grant.

6. Enter the date by which activities should be completed.

7. Enter name of the organization or government.

8. Obtained from the USAID Controller. Agreements need to have fiscal data indicated somewhere on them before they can be signed.

The appropriation, budget plan code (BPC) and allowance data are sent to the USAID Controller by AFR/DP. The USAID Controller will provide this information for each agreement.

The project is the DHR Project, 698-0541.

The reservation control number (res. cntl. no) and

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earmark control number (ermk. cntl. no) are accounting system numbers required and provided by the USAID Controller.

The Controller should certify that funds for the activity are available before an agreement is signed.

Attachment # _____ to
Individual Activity
Agreement Number: ____

STANDARD PROVISIONS FOR
SPECIAL DEVELOPMENT ASSISTANCE

A. The Embassy shall expend funds and carry on operations pursuant to this agreement only in accordance with the applicable laws and regulations of the United States Government.

B. The parties shall have the right at any time to observe operations carried out under this agreement. Either party during the term of an activity under this agreement and until three years after the completion of the activity, shall further have the right (1) to examine any property procured through financing by that party under this agreement, wherever such property is located, and (2) to inspect and audit any records and accounts with respect to funds provided by, or any properties and contract services procured through financing by, that party under this agreement, wherever such records may be located and maintained. Each party, in arranging for any disposition of any property procured through financing by the other party under this agreement, shall assure that the rights of examination, inspection, and audit described in the preceding sentence are reserved to the party which did the financing.

C. Any property furnished through financing pursuant to this agreement shall, unless otherwise agreed by the United States Government, be devoted to the project until completion of the project, and thereafter shall be used so as to further the objectives sought in carrying out the project. Unless otherwise agreed by the United States Government, _____ shall offer to return to the United States Government, or to reimburse the United States for, any property which it obtains through financing by the United States Government pursuant to this agreement which is not used in accordance with the preceding sentence.

D. The Individual Activity Agreement shall enter into force when signed. All or part of the assistance provided herein may be terminated by either party by giving the other party 30 days written notice of intention to terminate the agreement. Termination of the agreement shall terminate any obligations of the two parties, except for payments which they are committed to make pursuant to noncancellable commitments entered into with third parties prior to termination of the IAA. It is expressly understood that all implementing documents, such as purchase orders, requisitions, procurement actions, etc., must be initiated under this obligating Individual Activity Agreement by the agreed upon terminal date, but not later than one month from the effective date of the agreement, otherwise the cancellation provision stated in the preceding sentence will automatically become effective without the necessity of a written advance notice of intent to cancel.

Section E
ANNEX B

AGREEMENT BETWEEN

THE GOVERNMENT OF THE UNITED STATES OF AMERICA

AND

XXXXXXXXXXX
(Grantee Name)

AMENDMENT NO. 1 (2/3 etc)

The Agreement between the Government of the United States of America and XXXXX (grantee name), dated XXXX (date of original agreement) is hereby amended as follows:

Indicate the changes to be made, citing both the section of the agreement to be changed and the nature of the change.

Except as amended herein, all terms and conditions of the Agreement remain in force and effect.

For: (grantee name)	For the Government of the United States of America
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Name and Title	Name, Ambassador
---	---
Date	Date

Section E
ANNEX C

Suggested Grantee Activity Report Format

Activity Agreement Number:

Grantee Name:

Amount of Agreement:

Date of Agreement:

Activity Termination Date:

Financial Status of Grant:

(ie. amount of agreement funds used to date, amount advanced, amount available etc)

Activity:

(brief description of what the grant was for)

Activity Status:

(brief description of the status of the activity, including problems encountered and steps taken to overcome such problems)

Close out reports should also indicate an assessment of the success of the activity in terms of meeting its objectives and promoting democracy and human rights. Where possible some assessment of impact, and indication of reaction of participants should be made.

Section E
ANNEX D

Illustrative Format for DHRF Activity Reporting

Democracy and Human Rights Fund Project
698-0541

A. Overview of funded activities in terms of success in meeting individual objectives, and contribution to promotion of democracy and human rights.

B. Individual Activities

This section should include a brief description of each activity giving the following information:

Agreement Number:
Grantee Name:
Amount of Agreement:
Date of Agreement:
Activity Termination Date:
Financial Status of Grant:

(ie. amount of agreement funds used to date, amount advanced, amount available etc)

Activity:

(brief description of what the grant was for)

Activity Status:

(brief description of the status of the activity: what has been accomplished in regard to what was intended to have been accomplished, reasons for delays, major issues/problems, proposed steps to resolve issues/problems if still outstanding, extraneous factors which affected activity)

Mission Assessment of Activity:

(brief evaluation of activity in terms of a) accomplishing what was intended; and b) its contribution to the promotion of democracy and human rights within the specific country context)

Activities funded at levels greater than $25,000, should be reported more fully, and particular attention should be paid to the management, monitoring and assessment of impact of such activities.

Section E
ANNEX E

Evaluation Report Format

A. Individual activity details: eg. name of grantee, amount of grant, date of agreement, date activity completed.

B. Impact of activity, success of activity in meeting stated objectives.

C. Contribution of activity to promotion of democracy and human rights within country.

D. Contribution of activity to Mission strategy for promoting democracy, improved governance and human rights.

E. Comments/issues/lessons learned.

SECTION G

OTHER FUNDING SOURCES FOR DEMOCRACY, GOVERNANCE AND HUMAN RIGHTS ACTIVITIES[1]

I. USG Funding Sources

The DHRF is one of a number of USG funding sources for democracy, governance and human rights activities. Other sources include funds available to USIS and USAID Missions, while the Ambassador's Self-Help Fund could be used to finance certain activities which contribute to the development of civil society and promote non-governmental associational life.

A. USIA

USIA has a number of programs which could be used to support democracy, governance and human rights activities. These include providing U.S. expertise for seminars or training, sending host country nationals to the United States or third countries for study tours or specific training, and providing materials and information on a variety of topics.

Additionally, USIA offers a range of teleconference programs and exhibits. Given its traditional focus, USIA has extensive expertise in media, freedom of press and association, and civic education, but has also broadened its scope as the range of opportunities to promote democracy and human rights has expanded.

Democracy and Human Rights have long been a focus of USIA programs, and continue to be a target of USIA funding. USIS PAOs have information about the range of USIA programs and country specific programs which have been planned.

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[1] See Democratization and Good Governance in Africa; Shin, David and McMcoy, T; Center for the Study of Foreign Affairs; May 1992, for a more complete discussion of other funding sources for democracy and human rights activities.

Specific USIA topics of relevance to democracy and human rights planned for 1993 include "Reform, Growth and Stability in Africa", under the general theme of Peace and Security, and "Democratic Institutions and the Rule of Law", and "Human Rights" under the general theme of Freedom and Democracy.

Involvement of USIS in the Country Team Democracy and Human Rights Committee should facilitate interchange of information. Additional information about country themes and USIA programs is provided as Appendix 2.

It is possible to use DHRF funds to finance USIS-implemented activities in instances in which USIA has specific expertise, or in which an existing USIA program best meets the needs of a host country government or organization. Examples of this include organizing seminars on journalism or non-formal education.

B. **A.I.D.**

A.I.D. has the largest amount of resources available for supporting improved governance and increased democracy in Africa.

Democracy and governance have not always been emphasized per se in A.I.D. programs, but increasingly USAID Missions are being encouraged to focus on these issues in both project and non-project assistance. Additionally, the democracy/governance status of countries has been factored into the A.I.D. Africa Bureau annual budget allocation process.

A.I.D. resources in support of democracy and governance can be accessed by the USAID Mission

a) designing a democracy/governance/human rights multi-year project to address specific issues;

b) incorporating activities which support democracy/governance/human rights into other projects or its overall program; or

c) requesting assistance for specific activities from centrally-managed projects.

Section G

A.I.D. activities in Africa are for the most part funded under the Development Fund for Africa (DFA).

This allows A.I.D. to fund projects and programs which have a connection with economic and human resource development. As such, activities which promote good governance and the development of civil society, rather than more specifically political activities such as support for elections, can be funded from this source.

However, specific democracy/governance projects can be funded under both the DFA and 116(e) authorities to permit a number of activities, including election planning, to be financed.

Several USAID Missions are currently developing democracy/governance projects, the content of which varies according to specific country requirements. Such projects will probably be signed with host country governments, although they may include non-governmental activities, and will be implemented over a number of years.

In several instances, DHRF-funded activities can complement such on-going projects, or fund discrete components which would be more difficult to fund as part of a larger project. It could also be that a small, DHRF-funded activity could provide the basis for a larger project.[2]

USAID Missions can also incorporate activities which support democracy, governance and human rights into other projects and programs.

In real terms, much that is associated with good governance, such as reduction of governmental control over prices and markets and support for private sector activity, has usually been negotiated as part of USAID

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[2] This is fact was the case in South Africa, when a number of projects began as small, Human Rights Fund activities, and then grew into larger, multi-year projects.

non-project assistance programs.

Similarly, decentralization of authority, community participation, and private sector development have long been components of USAID projects, while umbrella PVO projects have encouraged development of local resources and capacity.

Generally, USAID projects are multi-year and relatively large-scale.

Finally, A.I.D. has a number of centrally-managed projects and contracts which Missions can access to obtain specific services. Included among these are:
election planning and support,
legal sector reform, and
democracy/governance country assessments.

In addition, a wide range of other projects can provide specific expertise on issues such as land tenure, non-formal education, decentralization of government, and policy planning and implementation.

Appendix 3 provides a more complete listing of resources available to USAID Missions.

C. Other USG Funds

In addition to USIA and USAID, USG funds are provided to the National Endowment for Democracy (NED) to undertake activities in a variety of countries.

Generally, NED contacts Embassies in countries from which it has received requests for assistance, and additional assistance about NED programs and policies can be obtained directly from NED in Washington.

II. Non-USG Funding Sources

Funding for democracy, governance and human rights activities in Africa is also available from a number of other sources, and in many cases such sources can fund activities which are difficult to finance under the

DHRF.

Several private U.S.[3] and non-U.S. foundations have long had an interest in funding such activities, and in many cases have a field presence in-country to manage programs. It is useful for DHR officers to contact such representatives and to obtain information about which activities are funded.

A variety of other organizations and institutions, often funded by A.I.D., also offer programs which support increased participation in governance. Among these are the African-American Institute, the African-American Labor Center and a number of private voluntary organizations and religious groups.

Most embassies and foreign aid missions also have funds available in support of democracy, governance, and human rights activities. Increasingly, like the U.S., bi-lateral donors are taking governance, democracy and protection of human rights into account when allocating aid.

Also like the U.S., aid agencies can in many instances fund activities more properly associated with governance than with political pluralism, although increasingly special funds are available for support of elections.

It is most helpful if informal meetings are held between embassies and donor agencies to share information in order to avoid duplication and ensure maximum utilization of resources.

International organizations also fund a variety of activities associated with democracy, governance and human rights, and although their focus tends to be

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[3] Of the U.S. foundations, Ford Foundation probably has the largest and most long-established presence in Africa, although it does not operate in all countries. Information about Ford programs can be obtained either through country or regional representatives, or directly from the Foundation in New York.

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determined by their operational mandate, they are increasingly characterizing activities in terms of promotion of participation, democratic institutions, rule of law, and accountable government.

While each organization has country-specific programs, UNICEF tends to focus on civil society activities, although it also supports challenges to human rights abuses affecting women and children; UNESCO supports non-formal and civic education and media; the ILO assists community and labor organizations and protection of labor rights; and UNDP tends to focus on community development, decentralization, capacity building, and local provision of services.

The World Bank is increasingly providing assistance for improved governance, and while it works primarily with governments is exploring ways to expand its focus. Thus far it has concentrated on accountability and transparency of government, legal sector reform, decentralization of government functions, development of local government structures, civil service reform, and capacity and institution building. However, recently it has begun to look at issues of demilitarization and demobilization, and civil society.

The IMF focuses on fiscal accountability and transparency and civil service reform as part of overall adjustment packages.

In all cases, with the exception of the IMF, some funds are generally available for small-scale, community development activities, although all multi-national organizations have country agreements with host governments.

As with other bi-lateral donors, it is often useful for information sharing purposes if DHR officers contact representatives of such organizations.

SECTION F

FINANCIAL AND PROCUREMENT ISSUES

This section briefly discusses financial and procurement issues and describes procedures to be followed.

I. Procurement

A. Procurement Regulations

As DHRF activities are governed by Handbook 19 regulations they are exempt from normal A.I.D. procurement source regulations, which cover both the source (where the item was procured) and origin (where it was produced) of commodities procured using A.I.D. funds.

The only exceptions to this exemption are vehicles and commodities originating in non-free world countries (as defined by A.I.D. Geographic Code listing).

Handbook 19 regulations require that goods and services be procured in the country in which the activity is taking place, to the extent possible.[1]

In instances in which this is impossible, an order of preference should be followed for procurement using DHRF funds. This order of preference is based on the A.I.D. Geographic Code and is (a) the cooperating country; (b) the United States; (c) selected free world; and (d) special free world.

The A.I.D. Geographic Code list changes periodically, but information can be obtained from USAID regional legal advisors.

A current Geographic Code list is attached as

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[1] AFR/ONI/DG will provide additional guidance on "Buy America" regulations, should it be deemed necessary to apply these regulations to DHRF funds.

Annex A to this section.

B. **Source/Origin Requirements**

Procurement source and origin issues are unlikely to be a problem as in most instances goods and services procured using DHRF funds will be obtained from the cooperating country (the country in which the activity is taking place), or the United States, although it might also be the case that services are obtained from surrounding countries.

C. **Small Business Notification Waiver**

Handbook 19 regulations allow that the normal Small Business Notification procedure for U.S. purchases of $5,000 or more can be waived.

Generally, if goods or services with a value of $5,000 or more are to be procured from the United States, A.I.D. regulations require that standard procedures which allow small businesses to bid for contracts be followed.

This regulation does not apply to U.S. procurement under $5,000, or to procurement of any value from countries other than the U.S..

It is probable that most procurement for DHRF activities will not fall into this category, but <u>in instances in which goods or services in excess of $5,000 are to be procured from the United States, a waiver of the Small Business Notification should be prepared and kept in DHRF files</u>.

USAID staff, particularly regional legal advisors, can advise on preparation of waivers, which should be signed by the Ambassador or designate.

D. **Marking Requirements**

Handbook 19 regulations concerning marking requirements apply to DHRF-funded activities.

These regulations indicate that A.I.D. decals are normally required on all equipment and commodities financed with DHRF funds.

However, the regulations also permit that such marking requirements can be applied with discretion, as it is accepted that in several instances DHRF funds might only be provided for part of a larger activity, or that in some cases the appearance of emblems would produce an adverse reaction.

In general, A.I.D. decals should be applied to equipment or commodities, or an acknowledgement of USG funding made, as and where appropriate in the opinion of the Ambassador.

Additional guidance on specific cases should be obtained from AFR/ONI/DG.

E. Free and Open Competition

While normal A.I.D. procurement regulations do not apply to DHRF funds, the spirit of such regulations, which is to ensure free and open competition, do.

Free and open competition implies that the best quality of goods or services will be obtained at the lowest cost in the most timely manner to meet the requirements of the organization.

As such, it both guards against nepotism and corrupt practices and promotes accountability and transparency. It also opens up the market for provision of goods and services to a wider range of individuals or companies.

Grantee organizations should be encouraged to adopt the principles of free and open competition as part of good management and sound business practices.

This means that they should obtain at least three quotations for equipment or commodities procured using DHRF funds, or consider at least three candidates for provision of services.

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Selection should then be made objectively on the basis of quality, cost, availability, and the extent to which the specific needs of the organization can be met.

Such decisions should be documented and kept on file.

II. Financial Management

A number of financial management issues may occur during implementation of activities, and the advice of the USAID Controller should be sought to address such issues. The following section discusses financial management issues in the overall context of managing DHRF funds.

A. Financial Records

DHRF funds are subject to audit, and sound financial management procedures should be followed.

DHR officers are responsible for ensuring that adequate financial records are kept, and that copies of all documentation supporting financial transactions, such as invoices, are kept on file.

USAID Controllers are responsible for recording obligations and financial transactions in the MACS system, and for tracking advances and expenditures.

Financial records for funded activities should be closed as soon as possible once activities have been completed. Any remaining funds can then be de-obligated for re-programming by the HR Committee.

B. Fiscal Year (FY) Issues

DHRF funds are allocated as part of a fiscal year allowance, and must be obligated during that fiscal year.

All funds, except in extenuating circumstances,

should be obligated by the end of August each fiscal year. In exceptional cases, funds may be obligated in September, but only with the specific authorization of the DHRF Committee.

Funds are provided under the DHRF for immediate, short-term activities, and should therefore be expended within a relatively short time frame.

The maximum time indicated for implementation of activities in activity agreements is one year from the date of the agreement.

Activity agreements may be extended beyond one year only in special circumstances and with the concurrence of the DHRF Committee.

Funds obligated in one fiscal year should be fully expended by the end of the following fiscal year at the latest. Thus, funds obligated through an activity agreement in June 1992 using 1992 fiscal year funds should be fully expended by June 1993, or with the agreement of the DHRF Committee, by September 1993 (the end of FY 1993).

Funds from one fiscal year remaining once activities are completed cannot be used to fund other activities in other fiscal years. Thus, if an activity is funded at $25,000 in June 1992 (FY 1992), and $5,000 remain once the activity is completed in November 1993 (FY 1993), these funds cannot be re-programmed to another activity in FY 1993, or used to meet a shortfall in another activity originally funded in FY 1992.

Activities can only be funded from current fiscal year funds.

Activities cannot be split into components and funded over a period of years in order to finance large on-going projects.

If for some reason an organization receives funding in two consecutive years for different

activities, funds remaining from the first fiscal year activity cannot be re-programmed to supplement funds obligated for the second fiscal year activity.

C. **Activity Close-Out**

All activity agreements must be properly closed out when activities are completed. This means that all funds must be accounted for, final expenditures recorded, and financial records reconciled.

Funds must be accounted for by receipts or other documentary proof that funds have been used.

The total amount of funds actually used to implement an activity, as opposed to obligated under an activity agreement, must be recorded in MACS. Following this, the amount actually expended can be deducted from the amount obligated, the balance de-obligated, and the MACS record of the activity closed out.

If adequate financial management has been practiced, the situation of final expenditures exceeding original obligations will not occur.

D. **Co-mingling of Funds**

DHRF funds should not be co-mingled with other funds provided in support of activities.

This does not mean that DHRF funds cannot be provided as part of a multi-donor effort to support a particular activity, but rather that the component financed with DHRF funds is readily distinguishable within the overall activity, and that goods or services purchased with DHRF funds can be clearly identified.

E. **Budget Under- or Over-Runs**

From time to time activities are completed at less than the originally estimated cost. In such cases,

activities cannot simply be extended or expanded to use remaining funds.

Generally, the activity agreement should be closed out, and funds de-obligated by the USAID Controller.

In certain instances DHR Committees might decide that it is advantageous for remaining funds to be used by organizations in support of the activity for which the funds were originally provided. In such cases, DHRF Committee concurrence or approval should be sought and activity agreement documents amended accordingly.

In other cases, activities end up costing more than was originally budgeted, either because of changes in costs or because of exchange rate fluctuations. Grantees should be made aware that the US$ amount provided under the activity agreement is the binding amount, and that, should shortfalls occur, they are responsible for finding alternative sources of funds.

In instances in which DHR Committees wish to provide additional funds in support of funded activities, requests should be made to the DHRF Committee for supplementary funding, should this be available, or for concurrence to use de-obligated funds from the same fiscal year to meet the shortfall.

Activity agreements should then be amended accordingly.

F. De-obligation and Re-obligation of Funds

Funds are obligated when a contractually binding document is entered into by the USG and a grantee organization.

If at the end of the activity funds are remaining, such funds should be de-obligated and returned to Washington.

Funds de-obligated in the same fiscal year as they were obligated can then be re-programmed by the HR

Committee to other Missions, or authorized for re-obligation by the Mission to other activities funded with the same fiscal year funds.

Funds remaining after an activity has ended which were obligated in a previous fiscal year must be de-obligated, but cannot be re-obligated to other activities. These funds must be returned to the Treasury.

In all cases the USAID controller is responsible for de-obligation of funds.

G. Payment Provisions

There are a number of ways in which DHRF funds can be used to pay for goods and services. These are:

- grantees use own funds and request reimbursement;
- Embassies procure goods and services on behalf of grantees;
- grantees obtain pro forma invoices, (written price quotations) and payment is made directly to vendors by Embassies once goods and services are received and an invoice presented;
- pre-position advance checks are requested and given to grantees as needed;
- grantees are given a partial or full advance of funds to manage.

Annex B lists the advantages and disadvantages of each method.

Although in general cost reimbursement is preferred for A.I.D. projects, it is unlikely that DHRF grantees will have sufficient cash flow to utilize this method.

Direct management of advanced funds by grantees will not be an option in most cases, as grantees have to be considered grantworthy and possess adequate

financial management capability before this method can be used.

Handbook 19 regulations indicate that direct payment of vendors is the preferred method of payment, and in this case it is recommended that the option whereby grantees obtain pro forma invoices and Embassies pay vendors directly is adopted.

In instances in which advances are provided, it is necessary that such advances be cleared by submitting invoices for the whole amount of the advance provided, or by submitting invoices for the portion of the advance used and returning the unused portion.

No advances should be left outstanding when activities are completed, as this means that the USAID Controller cannot close the financial accounts for activities and de-obligate any remaining funds.

Whichever payment option is chosen, certain documentation is required to ensure that payment is made and the financial transaction recorded.

DHR officers are responsible for preparing payment vouchers, either SF 1034 or FS-455 forms[2], together with a project officer approval sheet, and for forwarding such documentation, together with invoices, to the USAID Controller

DHR officers should seek guidance from USAID Controllers regarding procedures to be followed and substantiating documentation required to process payment.

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[2] These are standard A.I.D. forms used to process payment for goods and services. They can be obtained from USAID Controllers, who can also provide guidance regarding their completion.

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ATTACHMENT 3A

RELEVANT AID GEOGRAPHIC CODES

000 UNITED STATES

899 FREE WORLD

Any area or country in the Free World* excluding the cooperating country itself.

935 SPECIAL FREE WORLD

Any area or country in the Free World* including the cooperating country itself.

941 SELECTED FREE WORLD

Any independent country in the Free World*, excluding the cooperating country itself and the following:

Europe		Other	
Albania	Lithuania	Angola	Kyrgyzstan
Andorra	Luxembourg	Australia	Mongolia
Armenia	Malta	Bahamas	New Zealand
Austria	Moldova	Bahrain	Qatar
Azerbaijan	Monaco	Canada	Saudi Arabia
Belgium	Netherlands	Cyprus	Singapore
Bulgaria	Norway	Gabon	South Africa
Byelarus	Poland	Greece	Taiwan
Czechoslovakia	Portugal	Hong Kong	Tajikistan
Denmark	Romania	Iceland	Turkmenistan
Estonia	Russia	Japan	United Arab Emirates
Finland	San Marino	Kazakhstan	Uzbekistan
France	Spain	Kuwait	
Georgia	Sweden		
Germany	Switzerland		
Hungary	Ukraine		
Ireland	United Kingdom		
Italy	Vatican City		
Latvia	Yugoslavia		
Liechtenstein			

* "Free World" excludes the following areas or countries:

Afghanistan, Cambodia, Cuba, Iran, Iraq, Laos, Libya, North Korea, People's Republic of China, Syria, and Viet Nam.

A.I.D. geographic codes

See further below for regional/aggregate codes and A.I.D./W central Bureau codes. For a complete list of codes, organized by A.I.D. Bureau as well as by country, see the *DIS Reference Manual*, or *A.I.D. Handbook 18*, Appendix D.

Alphabetical list by country (including capitals)

GEOCD	Name	Capital
306	Afghanistan	Kabul
182	Albania	Tirana
638	Algeria	Algiers
654	Angola	Luanda
541	Antigua	
510	Argentina	Buenos Aires
507	Aruba	
880	Australia	Canberra
131	Austria	Vienna
501	Bahamas	Nassau
231	Bahrain	Manama
388	Bangladesh	Dhaka
534	Barbados	Bridgetown
541	Barbuda	
132	Belgium	Brussels
505	Belize	Belmopan
680	Benin	Cotonou
502	Bermuda	
511	Bolivia	La Paz
633	Botswana	Gaborone
512	Brazil	Brasilia
183	Bulgaria	Sofia
686	Burkina Faso	Ouagadougou
695	Burundi	Bujumbura
442	Cambodia	Phnom Penh
631	Cameroon	Yaounde
703	Canada	Ottawa
655	Cape Verde	Praia
676	Cent. African Rep.	Bangui
677	Chad	N'Djamena
513	Chile	Santiago
435	China, People's Rep.	Beijing
484	China, Rep. (Taiwan)	Taipei
514	Colombia	Bogata
602	Comoro Islands	Moroni
679	Congo	Brazzaville
515	Costa Rica	San Jose
516	Cuba	Havana
233	Cyprus	Nicosia
184	Czechoslovakia	Prague
136	Denmark	Copenhagen
603	Djibouti	Djibouti
542	Dominica	Roseau
517	Dominican Rep.	Santo Domingo
518	Ecuador	Quito
263	Egypt	Cairo
519	El Salvador	San Salvador
653	Equatorial Guinea	Malabo
663	Ethiopia	Addis Ababa
882	Fiji Islands	Suva
137	Finland	Helsinki
138	France	Paris
678	Gabon	Libreville
635	Gambia	Banjul
109	Germany, Fed. Rep.	Bonn
187	German Dem. Rep.	East Berlin
641	Ghana	Accra
240	Greece	Athens
543	Grenada	St. George's
592	Guadaloupe	
008	Guam	
520	Guatemala	Guatemala City
675	Guinea	Conakry
657	Guinea-Bissau	Bissau
504	Guyana	Georgetown
521	Haiti	Port au Prince
522	Honduras	Tegucigalpa
478	Hong Kong	
185	Hungary	Budapest

GEOCD	Name	Capital
143	Iceland	Reykjavik
386	India	New Delhi
497	Indonesia	Djakarta
265	Iran	Teheran
266	Iraq	Baghdad
144	Ireland	Dublin
271	Israel	Jerusalem
145	Italy	Rome
681	Ivory Coast	Abidjan
532	Jamaica	Kingston
488	Japan	Tokyo
278	Jordan	Amman
615	Kenya	Nairobi
873	Kiribati	
432	Korea, North	Pyongyang
489	Korea, Republic of	Seoul
439	Laos	Vientiane
268	Lebanon	Beirut
632	Lesotho	Maseru
669	Liberia	Monrovia
670	Libya	Tripoli
146	Luxembourg	Luxembourg
687	Madagascar	Tananarive
612	Malawi	Lilongwe
483	Malaysia	Kuala Lumpur
688	Mali	Bamako
134	Malta	Valletta
593	Martinique	
682	Mauritania	Nouakchott
642	Mauritius	Port St. Louis
523	Mexico	Mexico City
438	Mongolia	Ulan Bator
544	Montserrat	
608	Morocco	Rabat
656	Mozambique	Maputo
482	Myanmar (Burma)	Rangoon
367	Nepal	Kathmandu
147	Netherlands	Amsterdam
507	Netherlands	Antilles
545	Nevis	
888	New Caledonia	
890	New Zealand	Wellington
524	Nicaragua	Managua
683	Niger	Niamey
620	Nigeria	Lagos
875	Niue	
148	Norway	Oslo
272	Oman	Muscat
391	Pakistan	Islamabad
525	Panama	Panama City
889	Papua New Guinea	Port Moresby
526	Paraguay	Asuncion
527	Peru	Lima
492	Philippines	Manilla
181	Poland	Warsaw
150	Portugal	Lisbon
004	Puerto Rico	San Juan
274	Qatar	Doha
604	Reunion	
186	Romania	Bucharest
696	Rwanda	Kigali
658	Sao Tome & Principe	Sao Tome
273	Saudi Arabia	Riyadh
685	Senegal	Dakar
662	Seychelles	Victoria
636	Sierra Leone	Freetown
480	Singapore	Singapore
870	Solomon Islands	Honiara
649	Somalia	Mogadishu
674	South Africa	Pretoria
152	Spain	Madrid
383	Sri Lanka	Colombo
545	St. Christopher	
546	St. Lucia	Castries
550	St. Martin	
547	St. Vincent	Kingstown,
650	Sudan	Khartoum
508	Suriname	Para Maribo
645	Swaziland	Mbabane
153	Sweden	Stockholm
154	Switzerland	Bern
276	Syria	Damascus
886	Tahiti	
621	Tanzania	Dar es Salaam
493	Thailand	Bankok
693	Togo	Lome
887	Tonga	Nuku'alofa

GEOCD	Name	Capital
533	Trinidad & Tobago	Port of Spain
664	Tunisia	Tunis
277	Turkey	Ankara
872	Tuvala	Funafuti
617	Uganda	Kampala
281	United Arab Emirates	Abu Dhabi
157	United Kingdom	London
000	United States	Washington, DC
528	Uruguay	Montevideo
156	USSR	Moscow
891	Vanuatu	Vannola
529	Venezuela	Caracas
440	Vietnam	Hanoi
005	Virgin Islands	St. Croix
531	West Indies	
491	Western Samoa	Apia
279	Yemen Arab Rep.	Sana'a
158	Yugoslavia	Belgrade
660	Zaire	Kinshasa
611	Zambia	Lusaka
613	Zimbabwe	Harare

Regional/aggregate codes

GEOCD	Region/office
198	Europe Regional
259	Sinai Support Mission
290	CENTO
298	Near East Regional
398	Asia/Near East Regional
490	Regional Office, South East Asia
498	Asia Regional
499	Foreign Affairs Data Processing Center, Bankok
538	Other West Indies-Eastern Caribbean Regional
595	Andean Regional
596	ROCAP - Regional Office Caribbean & Panama
597	Central American Regional
598	Latin America Regional
618	East Africa Regional
622	Regional Financial Management Center, Nairobi
623	REDSO/ESA
624	REDSO/WA
625	Sahel Regional
689	Entente States
690	Southern Africa Regional
698	Africa Regional
798	Vietnam Regional
878	Oceania Regional
879	South Pacific Regional

Central Bureau codes
(see A.I.D. Handbook for historical/obsolete codes)

GEOCD	Region/office
907	OFDA - Office of US Foreign Disaster Assistance (not normally projectized)
923	XA - Bureau for External Affairs
930	PPC - Bureau for Program and Policy Coordination
934	PRE - Bureau for Private Enterprise
936	S&T - Bureau for Science and Technology
938	FVA - Bureau for Food for Peace and Voluntary Assistance

ADVANTAGES AND DISADVANTAGES OF VARIOUS FORMS OF PAYMENT OPTIONS TO RECIPIENTS OF THE DHRF FUNDS[1]

Option A. Grantee Spends Own Money and Request Reimbursement. This is the preferred financing method, but it does not happen too often.

ADVANTAGES: • More grantee involvement, sense of their project.
• Least time-consuming for DHRF officer.
• Clean and simple from an accounting perspective and for the A.I.D. Controller.

DISADVANTAGES: • Grantee must have own financial resources.
• Project may never get started if organization is lackadaisical.
• Grantee submits the same receipts more than once.
• Possible fraudulent invoices or inflated prices.

Option B: Embassy does the procurement. This procedure is the most widely used, since procurement can be done quickly and easily. Normally, the vendor will send an invoice for payment and payment is made after the procurement occurs.

ADVANTAGES : • Gets done quickly.
• Less likelihood of possible fraudulent invoices or inflated prices.
• Clean and simple from an accounting perspective.

DISADVANTAGES: • Grantee not involved.
• Burden on Embassy GSO.
• USG direct visible stamp on project may have deleterious impact on project effectiveness.

Option C: Grantee Obtains Pro-forma invoices with Payment by Embassy. This procedure requires the grantee to obtain comparative pro forma invoices from several vendors and submit them to the DHRFO. The DHRFO will select a vendor, make appropriate arrangements for grantee to obtain deliverables from vendor, and arrange for payment. Payments can be made only an on actual invoice and not on a pro-forma invoice. The DHRFO must determine if the commodities can be priced up and the Embassy billed subsequently -- this is the preferred

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[1] A separate cable will be sent out describing in more detail which if any of these options is recommended in regards to grantee's state of grantworthiness. These are meant to be simply general guidelines.

method. If not, the DHRFO will need to request an advance of funds from the AID Controller. After the invoice is paid, the DHRFO must submit the "paid" invoice to the AID Controller and advise the grantee that the commodities are available for pick-up.

ADVANTAGES: • Some grantee involvement.
• Not too time-consuming for DHRF officer.
• Clean and simple from an accounting perspective.

DISADVANTAGES: • Dependent upon grantee to obtain invoices.
• Possible inflated prices on invoices.

Option D: Pre-Position Advance Checks. This is when the AID Controller requests several advance checks, and the checks are kept for safekeeping and handed out individually to the grantees on an as-needed basis. Receipts are obtained to clear the previous check before the next one is turned over.

ADVANTAGES: • More grantee involvement.
• Reduces risk and vulnerability since the amounts advanced to grantee are limited.
• Helpful when AID accounting office is located elsewhere.
• Grantee is able to make purchases immediately.

DISADVANTAGES: • Need to safeguard several checks.
• Grantee must keep returning the Embassy to obtain next advance check.
• Grantee needs bank account.
• Advance must be controlled and subsequently liquidated.
• Possible inflated prices on invoices, or fraudulent invoices.

Option E. Full Advance Given to Grantee. This procedure requires the grantee to have a bank account, being certified as grantworthy, and has had past experience managing donor funds.

ADVANTAGES: • More grantee involvement
• Grantee makes purchases, less burden if DHRF Officer, (if all goes well.)

DISADVANTAGES: • High risk in providing entire amount in advance.
• Grantee needs bank account.
• Unable to control items or quantities purchased.
• Possible inflated price on invoice and/or fraudulent invoices.

ANNEX C

Glossary of A.I.D Accounting and MACS Terminology

This glossary alphabetically includes both AID accounting and MACS terminology. All of the accounting terms should be used similarly in AID/W as well as in the Missions. In several instances, additional information, as it relates to MACS, has been added to the basic accounting definition. Those terms which are only MACS related will be easy to ascertain.

Accountability Date	The date by which an advance account should be liquidated.
Accruals	The value of goods delivered and services performed which have not yet been paid for regardless if invoice has been received. Accruals plus disbursements, less prepaid expenses, equal accrued expenditures. Accruals are input at the end of each quarter and reversed prior to processing at the beginning of the next quarter.
Accrued Expenditures	The total value of goods delivered, construction performed, and services performed. The sum of disbursements plus accruals. Accrued expenditures are only reflected in reports run at the end of a quarter.
Advance	The amount of funds paid against an obligation or commitment before expenses are incurred. Advances are granted for a specific period of time and should be liquidated by the "accountability date". Advances are not reflected as disbursements until the liquidation of the advance occurs through a "No Pay" voucher.
Advance Code	See Agent Contractor Code.
Advance Number	An account number used to identify a particular advance account. Usually the voucher number of the original advance is used for this purpose.

Agent/Contractor Code

A number code which identifies an entity associated with an obligation, commitment, advance or payment. Dunn's number and social security numbers are frequently used.

Allotment

The highest level of apportionment or allocation of appropriated funds to the person or organization authorized to control or use them for specified purposes. (The Agency does not allot appropriated funds below the AID/W level - see Budget Allowance.)

Allowance

A resource allocation made to a person or organization by an allottee of appropriated funds or the holder (repository) of non-appropriated funds. Human Rights funds are appropriated by Congress, allotted to the Africa Bureau, and allowed to an A.I.D. accounting station on behalf of the Embassy, thus providing funding authorization for an obligation to occur. Budget allowances are the source of all appropriated funds financing Human Rights activities. (See Budget Allowance.)

Anti-Deficiency Act

Refers to 31 U.S.C. 665 which requires federal agencies and/or officials thereof not to obligate or expend U.S. Government funds in excess of the amount of an apportionment of OMB. This also pertains to Human Rights funds, and a "Funds Availability" cite must be obtained from the A.I.D. Controller prior to the Human Rights agreement being signed.

Appropriation

U.S. Government owned funds made available to the Agency or other governmental organization by Act of Congress for authorized purposes; e.g., Foreign Assistance.

Budget Allowance	A budget allowance represents authority to obligate funds during a fiscal year up to the amount allowed. AFR/DP/PAB will issue a budget allowance to the A.I.D. accounting station in the form of an Advice of Budget Allowance. The advice indicates the total amount that can be obligated for a specific purpose, such as the Human Rights Fund. A budget allowance is represented by a Budget Plan Code (BPC), which identifies the allottee, appropriation, and type, fiscal year, organization and management of funds, and functional account. A separate control account (budget allowance ledger) is maintained for each budget allowance in the official accounting records.
Budget Plan Code (BPC)	(See Budget Allowance.)
Commitment	A contractual agreement to pay a specified amount for goods or services. For example, a purchase order or supply contract. Human Rights disbursements can take place only against commitments.
Commitment Reservation	A set aside of funds to cover a contract, purchase order or other commitment document.
Disbursement	Amount of money actually paid and charged against an obligation or commitment for goods or services delivered or performed. Advance payments are not considered disbursements.
Deobligations	Represents unexpended obligated funds which are subsequently withdrawn, following a determination that the funds are not required.
Earmark	An executed P.O. or other document authorizing the procurement of goods or services. The setting side of a sum of money within a budget element. Besides specifying the monetary amount, the earmarking document specifies whether AID or the host country will contract for the activity, the purpose of the contract, and the period of performance.
Expenditures	Disbursements plus accruals; synonymous with accrued expenditures.

Fixed Amount Reimbursements (FAR)

A technique used in project assistance under which the amount of reimbursements is fixed in advance based upon cost estimates reviewed and approved by AID. Reimbursement is made upon the physical completion of a project, sub-project, or a quantifiable element within the project. The emphasis is upon reimbursement based on planned outputs, rather than inputs or costs.

Fund Citation

Authority to obligate funds or incur costs or disburse funds on behalf of another up to a set amount for a specific purpose. A fund citation may be provided by an allottee or allowee of A.I.D. funds. The budget plan code and amount must be provided. Frequently, other data, such as purpose, project number, limitations, CN requirements, obligation or commitment control number and document number, are provided.

Liquidation

Generally refers to the amount disbursed against an obligation or commitment. Also refers to the amount of an advance which has been recovered or accounted for.

Obligation

An accounting transaction evidenced by a document or agreement in writing, signed by an authorized representative of the U.S. Government (one having a delegation of authority to obligate the U.S. Government), which forms a contractual obligation to make payment when certain conditions are satisfied. For Human Rights projects, the obligating document is normally an agreement signed by the organization's leader and the Ambassador.

Pipeline

A measure of project financial progress. Pipeline is the amount of cumulative obligations less cumulative accrued expenditures.

Program Funds

Funds appropriated by Congress to pay for the Agency's assistance activities exclusive of administrative costs unless specifically authorized in the appropriation legislation.

Reservation	Amounts administratively set aside against a current year budget allowance which represent a planned obligation for a Human Rights activity. Reservations are tentative in nature and are automatically canceled at the end of the fiscal year if planned obligations are not effected.
Reservation Control Number	A number assigned by the Controller at the time funds are reserved for a planned obligation. (See above.) The number is obtained from a manual log.
Section 1311	This section of the Supplemental Appropriations Act, 1955 provides that no amount shall be recorded as an obligation unless it is supported by documentary evidence showing that: (a) a valid and binding agreement in writing has been executed; (b) the obligation is for a purpose authorized by law; and (c) the obligation was incurred before the expiration of fund availability.

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USAID
U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

August 4, 1992

ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR AFRICA

FROM: AFR/ONI, Warren Weinstein

SUBJECT: Establishment of Streamlined Procedures For the Democracy and Human Rights Fund Project (698-0541)

Problem: Your approval is required to institute streamlined assistance procedures under the Democracy and Human Rights Fund (698-0541) project.

Background: The Democracy and Human Rights Fund (DHRF) Project was authorized at $5.5 million in July 1991 under the 116(e) authority. Of that amount, $4.5 million was made available for small country level activities (maximum $100,000) in support of the promotion of democracy and protection of human rights in Africa.

The DHRF replaced the Human Rights Fund for Africa project (698-9801) which had been used to fund small human rights activities in Africa since 1979. Until 1991, annual funding available for Africa was approximately $500,000 per year. Beginning in FY 1991, this was substantially increased. Currently, $2 million a year is available for small, country level activities under the DHRF project.

The increase in funding levels imposes a management burden, particularly on Embassy officers (who have primary responsibility for administering DHRF-funded activities), but also increasingly on USAID staff who are called upon to help. In addition, there has been considerable confusion over the administrative procedures to be used in funding human rights activities. Previously, Handbook 19 regulations governing self-help activities had been used, for the most part, for activities funded under the Human Rights Fund for Africa. Grants were generally small, and rarely over $25,000. However, circumstances have changed, and it has become apparent that new administrative procedures must be determined and guidance given to field Missions in order to improve accountability, decrease the management burden on the USAIDS, and assure consistency.

The DHRF project paper (PP) did not specify procedures to be followed, or indicate which A.I.D. regulations should govern

the use of DHRF funds. The PP did call for a financial assessment and review of program impact to determine the most appropriate guidelines. These were both carried out in 1992. As part of this process, AFR, with AF and HA, is developing a handbook which will provide clear guidelines and procedures for embassy officers and others who implement the activities in the field. However, in the process of developing that handbook, it has become evident that the current approaches and procedures need to be revised in light of the new realities.

Discussion:

a. The Need for Streamlined Procedures

i. Submission and Approval Process. The current system of submission and approval of proposals is time consuming and places an inordinate burden on AFR/DP, the office which is responsible for sending budget allowances to field Missions. Currently, Missions submit proposals on an on-going basis throughout the year. These are reviewed on a biweekly basis by the Human Rights Committee, which is composed of representatives of AF/RA, AFR/ONI/DG, and HA. Following review and approval, AFR/DP is informed of committee decisions and allocates budget allowances to field Missions for each approved activity.

The current system was devised to permit embassies and USAIDs to respond to rapidly changing circumstances in host countries and to respond favorably to targets of opportunity as they arose. While this certainly is the case, there have been a number of negative consequences related to the current system. First, the sheer number of individualized activities each of which requires a considerable amount of paperwork by AFR/DP has made a rapid turnaround system less of a possibility. Second, it would also appear from the number of proposals submitted thus far this fiscal year that more flexible submission procedures have resulted in Missions delaying the submission of proposals, thereby increasing the likelihood that a large number of small obligations will have to be made at the end of the fiscal year. This places even more of a strain on AFR/DP which lacks the staff to cope. Finally, the current system does not encourage Missions to develop strategic plans in support of democracy and promotion of human rights, or to consider the DHRF fund as one of a number of funding mechanisms available to finance such activities, but rather perpetuates the tendency to approach DHRF activities in an ad hoc fashion.

ii. Mission Management of Funded Activities. Missions are currently confused as to what procedures must be followed and responsibilities for management of funds. Recent reviews indicate that Missions are using a variety of obligating documents, and following a confused mixture of

A.I.D. regulations. In some cases lack of clarity has led to the refusal of Missions to submit proposals for funding under the DHRF, but to use self-help funds instead.

Confusion over requirements and regulations has resulted in Missions following certain procedures which are not necessary, while inadvertently ignoring those which are. The main areas of confusion appear to be the legal requirements for certain types of non-governmental organizations to be registered with A.I.D, mechanisms for obligating funds, and the necessary level of financial management requirements.

This lack of clear understanding of key procedures and the increasing number of grants of $50,000-$100,000 to organizations which may lack the capacity to manage or account for them adequately has two potential consequences. It has increased the liability that funds will not be managed in accordance with A.I.D. procedures, and/or it has placed much of the responsibility for financial management and procurement on Embassy staff who have very little time to devote to it and almost no understanding of A.I.D. regulations.

iii. DHRF Management and Staffing Constraints. Many of the problems currently being faced are not new, but they have become more acute as the funding available for DHRF activities has increased. Making small grants to a number of organizations has always been management intensive, and involved an inordinate amount of staff time in both Washington and field Missions. However, the political rationale under which such activities were funded has always justified the effort.

Now, however, with increased funds available, and a potentially larger number of activities to be funded each year, the need to consider staff time and effort in both the field and in Washington has become crucial. The justification for making small grants to organizations in support of democracy and human rights has probably never been stronger than at present, as much of Africa is undergoing political liberalization and new freedoms are afforded to citizens. What is needed therefore, is an assistance mode which is workable from an NGO standpoint and will allow the USG to support the process, while ensuring adequate financial management and accountability for public funds.

b. Recommendation. A streamlined assistance mode is proposed for DHRF activities, which would allow Missions to respond to requests for assistance in a timely fashion but still ensure that the principles of the DHRF are adhered to. Clear guidance to the field regarding procedures to be followed would reduce the current confusion and permit Embassy staff to spend more time working with grantees to

plan activities. The main features of the streamlined assistance procedures are described below.

i. Submission and Approval Process. Under the proposed procedures, field Missions would be encouraged to develop a strategy/plan for providing assistance through the DHRF in support of civil and political rights. They would also be encouraged to finance small scale activities (under $25,000,) rather than aggregate a series of components into a larger activity, or fund more complex, longer term activities. In this way, many of the implementation problems associated with larger activities would be avoided, and the management burden on both grantees and embassy officers would be reduced.

The streamlined administrative procedures would involve missions submitting a Democracy and Human Rights Project Plan (DHRPP) during the first quarter of the fiscal year which outlines the Embassy's overall strategy for promoting human rights and political pluralism. The plan can be amended or revised as events in a country dictate. Each proposed activity (whether small or large) would required to be linked to the DHRPP and specific grant ideas (along with proposed grantees) identified to the extent possible, and in order of priority.

The committee would meet to consider proposals once during each of the first, second and third quarters. Missions should submit small (under $25,000) projects and large projects separately. While as much detail as possible would be encouraged for small activities, missions with well-stated strategies, would not be required to submit detailed proposals or finalized budgets (see attached for type of detail required.) The Human Rights Committee would review the strategy and concur with the activities in principle, and funds for all approved small projects would be sent in a single budget allowance, as opposed to the piecemeal approach as currently exists. Missions should submit a detailed report on each small activity as soon as the projects are completed.

Larger projects would require more detail (see attached,) and also should be prioritized. Missions would have the incentive to submit proposals early: of the two million dollars available, approximately half will be allowed to the field at the first meeting. Once the committee has approved the proposals, budget allowances for individual activities would be sent to the field following committee decisions, for missions to obligate funds. Missions would be responsible for making grant awards, reporting obligations and reporting on activity progress throughout the fiscal year, (although it would be required that all funds be obligated by June 30.)

The committee would retain a portion of funds to be used for proposals submitted by missions throughout the

fiscal year. All funds unobligated by missions by June 30 should be returned to AID/Washington to be re-allocated during the final committee meeting, to those missions which had submitted outstanding proposals late in the year, provided awards could be responsibly made by the end of the fiscal year.

ii. Regulations and Requirements. The streamlined administrative procedures would require that a standardized activity agreement with uniform standard provisions be used by all missions. Missions could use the general agreement with host country governments which is required for self-help activities for DHRF activities as well (since they are authorized as "Special Self-Help (Human Rights) Activities.) This would both provide exemption from taxes, duties and customs levies, and permit missions to enter into funding agreements with organizations without seeking governmental concurrence on a case by case basis.

Handbook 19 - self-help regulations would apply to all activities, and non-governmental organizations would not be required to be registered as PVOs with A.I.D. before awards could be made. In keeping with Handbook 19, Ambassadors and their representatives would have authority to sign activity agreements regardless of amount, up to the maximum $100,000 permitted under the DHRF.

Before funds could be made available for management by grantee organizations, such organizations would have to be deemed grantworthy by a competent financial review, in that they possessed both adequate financial books and records and the ability to maintain them. Should grantees not be considered grantworthy, grants through human rights individual activity agreements (HR-IAAs) could not be provided directly to the local NGO.

c. Rationale for a Streamlined Administrative Procedures.

There is clearly a need for missions to be able to support activities which promote increased democracy and protection of human rights. The DHRF is intended to be a quick response, simple to administer, flexible mechanism to fund discrete activities which have merit because of their political and social impact. It is not intended to support long-term development activities and multi-year grants. However, there is also need for accountability and sound management of public funds.

At the present time, the process is too complicated and confused to permit the DHRF to be used in the manner it is intended. Application of Handbook 13 regulations would preclude the vast majority of organizations undertaking the sort of activities the DHRF is intended to support from receiving funds. Application of Handbook 19 regulations for self-help activities would, however, facilitate funding of

organizations actively promoting democracy and human rights, even though in some cases, awards would be for greater amounts than the majority of self-help activities covered by Handbook 19. These are still allowed under Handbook 19-self help rules as long as Washington approval is given for activities over $25,000 and grantworthiness is assured.

A less rigorous approval process and the award of a single budget allowance for activities under $25,000 would reduce the management burden of the Human Rights committee and AFR/DP, while giving missions greater autonomy and flexibility in responding to targets of opportunity. The requirement for Human Rights committee approval of activities in excess of $25,000 would, however, ensure that larger amounts were only provided in support of activities with a clear nexus to human and civil rights, which could make a significant contribution to the promotion of democracy in African countries, and which are manageable and able to be implemented by the embassies, with necessary standards of accountability being met.

Recommendation: That for the reasons set forth above, you i) approve the streamlined review and budget allowance allocation procedures for grants under $25,000; ii) approve the application of Handbook 19 regulations to all grants made using DHRF funds; and iii) authorize the attached guidance cable to be sent to field missions.

Approved: Alvin P. Adams

Disapproved: _____

Date: 8/1/92

Cleared:

AFR/DP, GCauvin	(draft)	Date	7/27/92 8/12/92
AF/RA, BLowe	(draft)	Date	7/27/92
HA, JKaufman	(draft)	Date:	7/27/92
AFR/GC, ESpriggs	(draft)	Date:	7/29/92
AF/RA, FAHarris	(draft)	Date:	7/27/92
HA, JBishop	(draft)	Date:	7/27/92
AFR/ONI/DG, WHammink	(draft)	Date:	6/16/92
AFR/ONI, PGuedet	(draft)	Date:	7/27/92
AFR/EA, DLundberg	(draft)	Date:	8/5/92
AFR/CCWA, MGolden	(draft)	Date:	7/27/92
AFR/SWA, TBork	(draft)	Date:	7/31/92
AFR/SA, KBrown	(draft)	Date:	8/4/92
FA/FM/FPS, RSilc	(draft)	Date:	8/4/92
AFR/MRP,TDiedrich	(draft)	Date:	8/4/92
DAA/AFR,JHicks		Date:	8/15/92
AFR /DP, JGovan		Date:	8/15

Drafted: AFR/ONI/DG, JWindsor: 8/17/92: 116act.mem

Current Language in Manual Regarding Proposal Detail

Small Projects:

- **Context:** All small projects should be prioritized and clearly related to the DHRPP.

- **Organization:** Brief description of the organization. (e.g. how long in existence, where it is based, membership, size, funding sources, etc.)

- **Project:** Description of activity and what it is intended to achieve. Indication of the potential impact and who will be involved in the activity. Extent of participant or community involvement.

- **Administration:** Estimated cost of activity, amount requested from USG, and other sources of funding, duration of activity, number of participants, and proposed start date.

Grants Over 25K

- **Context:** Same as above. Also, the particular issue or problem the activity is intended to address should be briefly described.

- **Organization:** Same as above. Also, grantee management structure, especially as regards financial management should be included. This is particularly important if the organization is to be given responsibility for management of funds.

- **Project:** Same as above. Also, this section should indicate implementation details and timing of each component if it is for more than one activity.

- **Sustainability** of the activity, particularly if funding is sought for a discrete component of a larger activity, or for commodities or training in support of a longer-term activity.

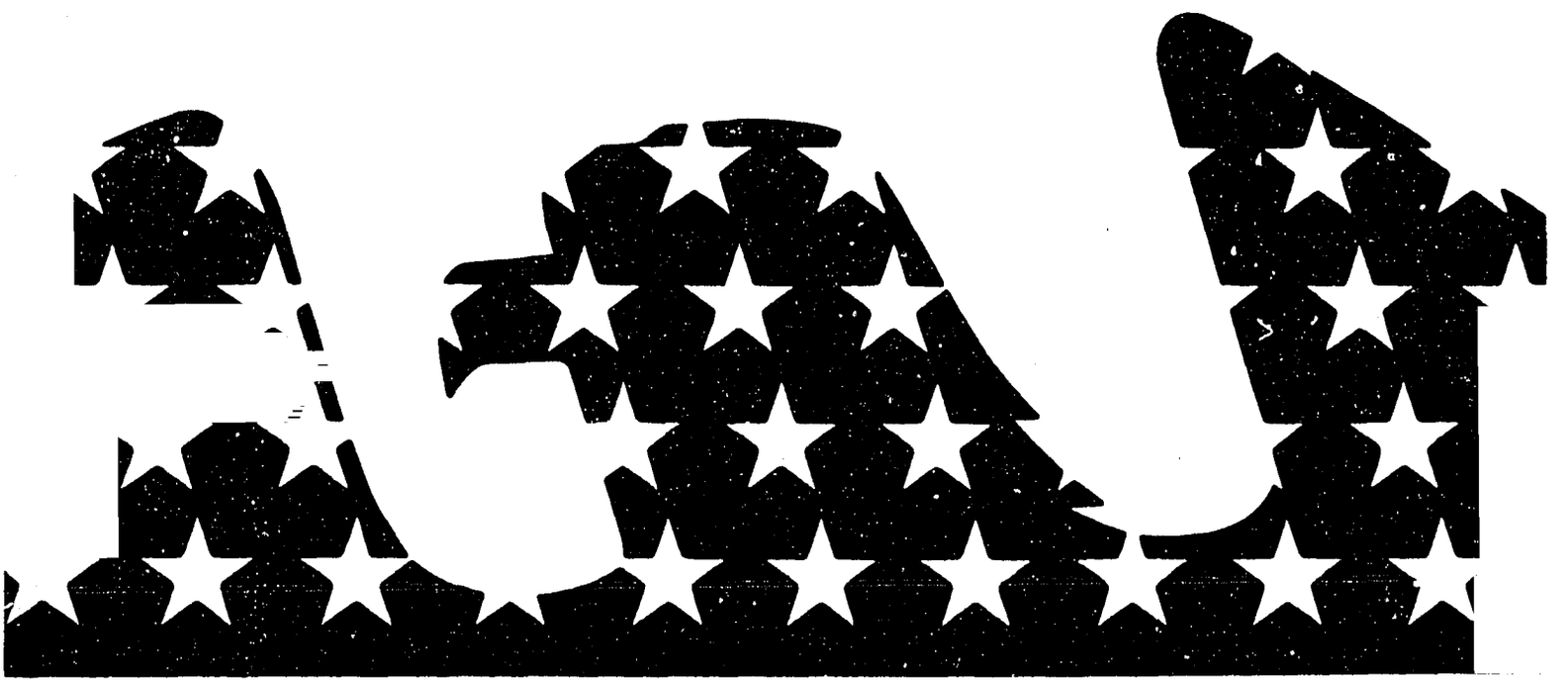
- An illustrative **budget** with line-items. While such budgets are essentially estimates, line-item amounts should be as firm as possible, and based on some sort of financial and cost analysis.

- Activity **management details**, including responsibility for implementation and monitoring.

POLICY DETERMINATION
Agency for International Development

PD – 12 September 26, 1984

HUMAN RIGHTS



PD - 12
September 26, 1984

HUMAN RIGHTS POLICY DETERMINATION

Advocacy of human rights was an important theme during the creation of the United States of America. The American colonists' quest for liberty was founded on human rights principles expressed to the world in the Declaration of Independence. Human rights were further defined and given legal standing in our constitution and its first ten amendments - the Bill of Rights.

A central aim of U.S. foreign policy is increasing respect for human rights throughout the world. A.I.D. is strongly committed to supporting this policy and that commitment is unequivocal.

I. Introduction

Legislative provisions in the Foreign Assistance Act of 1961, as amended, (FAA) are the legal foundation for A.I.D. policy and programs concerning human rights. A.I.D. implementation of the human rights legislation is an integral part of A.I.D.'s own work and of the United States' overall human rights policy. A principal goal of U.S. foreign policy as set forth by Section 502B(a)(1) of the FAA calls for the increased observance of internationally recognized human rights by all countries. Under Section 101(a)(3) of the FAA, A.I.D. is instructed to emphasize the encouragement of development processes in which individual civil and economic rights are respected and enhanced. The security assistance program is directed by Section 502B(a)(3) of the FAA to be formulated and conducted in a manner which will promote and advance human rights and to avoid identification of the United States with governments which deny to their people internationally recognized human rights and fundamental freedoms in violation of international law.

The means to accomplish these goals are also primarily determined by legislation. Section 116 applies to all assistance under Part I of the FAA; Section 502B covers Economic Support Fund (ESF); and Section 112 of PL 480 applies to Title I and Title III agreements.

Section 116 restricts A.I.D. activities in countries that are found to be consistent gross violators of human rights to assistance that directly benefits needy people. Section 502B does not include the needy people proviso, but permits aid to gross violator countries in extraordinary circumstances. Section 112 of PL 480 requires that in countries that are consistent gross violators the commodities or the proceeds from their sale can only be used for specific projects or programs that directly benefit needy people.

III. Human Rights Violations

A. General

This section sets forth the policies and procedures governing the denial of assistance to governments based on human rights violations.

Section 116(a) provides that assistance shall not be provided to the government of any country which engages

> "in a consistent pattern of gross violations of internationally recognized human rights, including torture or cruel, inhuman, or degrading treatment or punishment, prolonged detention without charges, causing the disappearance of persons by the abduction and clandestine detention of those persons, or other flagrant denial of the right to life, liberty, and the security of person...."

For development assistance, the determination of whether the statutory provisions will apply to a country is made by the A.I.D. Administrator in consultation with the Assistant Secretary for Human Rights and Humanitarian Affairs. For ESF the determination is made by the Secretary of State. For PL 480, A.I.D. with the Department of State (HA), principally the Bureau for Human Rights and Humanitarian Affairs, make the determination. An Inter-Agency Working Group on Human Rights and Foreign Assistance examines the above issues and makes recommendations to the appropriate offices.

In determining the degree of violations and whether violations form a "consistent pattern", A.I.D. and the Department of State take into account, among other considerations, the extent of cooperation of such government in permitting an unimpeded investigation of alleged violations by appropriate international organizations, such as the International Committee of the Red Cross, specific actions which have been taken by the President or Congress relating to multilateral or security assistance because of human rights practices and the relevant findings of appropriate international organizations.

A.I.D. will also consider improving or deteriorating trends in the status of human rights conditions in a country. It is A.I.D.'s policy to encourage improving trends in human rights conditions.

B. Coverage under Section 116(a) and Food for Peace

A.I.D. will apply Section 116(a) to all of the following categories of assistance under its jurisdiction: development

If a country has serious human rights problems and, in addition, the government is characterized by widespread corruption or repression against the poor and their organizations, then special care is required to assure that the needy do benefit from the A.I.D. project.

In cases where the assistance (1) is to a private organization or individuals not connected in any way with the government, (2) does not relieve the government of a responsibility or demand it would otherwise have to deal with, and (3) is not viewed as part of a government program or an expression of American support for the government, then the assistance need not necessarily be directed at the poor, but must promote the general cause of human rights.

A.I.D. works with the Department of State, principally the Bureau for Human Rights and Humanitarian Affairs, to determine which Food for Peace programs will embody the special requirement that the programs directly benefit the needy.

C. Economic Support Funds

Economic Support Funds and other forms of security assistance provided under Part II are subject to Section 502B. When the Secretary of State determines that Section 502B will apply to a country, then ESF will not be provided unless the President certifies in writing to the Speaker of the House of Representatives and the Chairman of the Committee on Foreign Relations of the Senate "that extraordinary circumstances exist warranting provision of such assistance."

To the greatest extent possible and consistent with security, political and economic problems that ESF addresses, A.I.D. will design ESF projects in countries with serious human rights concerns so that they directly benefit the needy.

IV. Countries of Concern

It is A.I.D. policy that the statutory limitations for Development Assistance, Economic Support Funds and Food for Peace are applied whenever the Bureau of Human Rights and Humanitarian Affairs in consultation with A.I.D. finds that there is a serious question about the recipient's human rights status, even if the government has not been found to be a consistent gross violator. In making this determination, improving or deteriorating trends in the status of human rights conditions in a country are of major importance. The policy is to encourage improving trends in human rights conditions. The Department of State's Annual Country

with the legislative provisions of Section 116(a) and 502B through its activities on the Inter-Agency Working Group on Human Rights and Foreign Assistance. PPC represents A.I.D. on that working group. PPC is responsible for assuring that procedures agreed to for review of the A.I.D. program are followed and are integrated into the project review process.

A.I.D.'s Bureau for Food for Peace and Voluntary Assistance in collaboration with regional bureaus is responsible for ensuring that the Food for Peace statutory provisions are implemented in countries where they are to be applied. The A.I.D. Office of the General Counsel advises whether specific projects satisfy the statutory requirement.

The Department of State Bureau of Human Rights and Humanitarian Affairs is provided an opportunity to comment on and participate in the CDSS, ABS, and other budget reviews as a means to factor human rights concerns in concrete terms into A.I.D. programs and projects. Where desired by the Bureau of Human Rights and Humanitarian Affairs or where identified by A.I.D., HA makes recommendations on specific proposals, based on human rights concerns.

Finally, in designing programs and projects under Section 116(e), A.I.D. works closely with HA which advises A.I.D. on the selection and implementation of such projects. A.I.D. believes that close coordination and consultation with the Bureau will assure effective and consistent implementation of U.S. policy.

M. Peter McPherson

M. Peter McPherson
Administrator

26 SEP 1984
Date

ANNEX

A.I.D. POLICY GUIDELINES FOR THE PROMOTION OF CIVIL AND POLITICAL RIGHTS

A.I.D. is strongly committed to implementing Section 116(e) which provides funding to encourage increased adherence to civil and political rights in countries eligible for U.S. bilateral assistance. The legislation establishes a target of $3 million for such projects, a target A.I.D. views as a minimum, not a ceiling. "Civil and political rights" is a broad term, including but not limited to the legal structure and the electoral process. Also included are such areas as freedom of the press, the right of association (trade unions, and social groups, as well as political parties) and the like.

The overall approach to the program contains the following elements:

-New initiatives are encouraged. We are looking for innovative approaches to a broad range of civil and political rights concerns.

-Projects should encourage the building of institutions that promote human rights and uphold democratic principles. This approach recognizes that in the long term democracies are the best guarantee of civil and political rights. It is not necessary to confine projects to societies that already respect human rights and democratic principles. Experience has shown that even in repressive societies there are opportunities to encourage increased adherence to civil and political rights. These opportunities should be identified and supported.

-Projects should emphasize activities that will have a positive, rather than adversarial, influence on governmental human rights policies. A.I.D. supports projects that will increase the understanding and enhance the role of civil and political rights, or that will incrementally improve performance in one or another area of rights.

-To the greatest extent possible, projects should emphasize activities that originate in developing countries themselves, and that directly involve the people of those countries.

-Projects from private groups and individuals are encouraged.

-Regional Bureaus and A.I.D. Missions should be actively engaged in identifying and helping to develop projects and activities that will promote wider observance of human rights. Funding needs for such activities should be anticipated and provided for in the

free elections. Programs of local or international organizations that educate citizens on their right and responsibility to vote, provide advice in designing and implementing an electoral system, or provide for the presence of independent election observers, are examples of activities appropriate for A.I.D. support.

5. Encourage development of democratic principles and institutions that promote human rights.
Activities include programs to increase public understanding of democracy; improved functioning of democratic institutions, such as the legislature and the press; the study of democratic principles; the development and support of private indigenous groups that are pluralistic and democratic; and assistance to programs designed to help a country develop, or return to, civilian democratic rule.

6. Encourage the development of human rights organizations.
Activities should develop and support indigenous, regional and international human rights institutions that are independent of individual countries or governments; assisting groups in their efforts to develop and make available information on human rights; and develop and build contacts and institutional relationships among human rights groups.

7. Encourage the increased access of women and ethnic groups to the judicial system and to political processes.
Activities that redress violations or discriminatory laws or practices against members of a particular group; outreach programs that broaden knowledge and awareness of civil and political rights among these groups.

While the program emphasizes the above seven themes, A.I.D. is receptive to areas not listed above if a strong justification can be demonstrated showing how the proposed activity improves or promotes adherence to civil and political rights.

The legislation prohibits funds to be used directly or indirectly to influence the outcome of any election in any country. All legislative restrictions relating to Development Assistance and Economic Support Funds in the Foreign Assistance Act, including Section 660 which prohibits assistance to police, prisons, and law enforcement forces, apply to Section 116(e) activities.

The Bureau for Program and Policy Coordination (PPC) oversees the human rights program in A.I.D. A.I.D. administers the program in coordination and consultation with the Department of State's Bureau of Human Rights and Humanitarian Affairs (HA), from which A.I.D. receives policy guidance on this subject.

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)

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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, PVOs/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.

Annex B

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 — **ARD/MSI Services Contracts**
Core Contract: AFR-0542-C-00-1108-00
Requirements Contract: AFR-0542-C-00-1109-00

Description — Core Contract: Provide technical and logistical assistance to AFR for development of AFR D/G policies, including linkages with Africans, international donors, U.S. academic, and other communities.

Requirements Contract: Technical support to USAID Missions in D/G matters.

Assistance to USAID

1. Assessments (e.g., strategies, CPSP).
2. Project Design (e.g., PID, PP).
3. Evaluations.

Funding Source(s)

1. Assessments: two to three annually with central funds; other by Mission buy-in.
2. Project Design: Mission buy-in.
3. Evaluations: Mission buy-in.

Services Available — Expert personnel in following fields:

political science	public administration
management	sociology
anthropology	economics
public finance	elections
law	private sector
media	

Implementors

Prime Contractor: ARD, Inc. (Associates in Rural Development)
Subcontractor: MSI, Inc. (Management Systems International)

Contacts — **ONI/DG**

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

Other

ARD/MSI:
John Rigby, Project Manager
Telephone: (202) 223-2533 or
(202) 244-7909 (res.)
Facsimile: (202) 223-2540

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

Title of Activity	**Africa Regional Electoral Assistance Fund (AREF)** Cooperative Agreement No. 698-0486
Description	Cooperative Agreement to provide electoral assistance to support free and fair local and national elections and referenda throughout sub-Saharan Africa.
Assistance to USAID	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.
Funding Source(s)	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.
Services Available	Technical assistance and training in all stages of electoral process.
Implementors	African-American Institute, Inc. (AAI) International Republican Institute (IRI) National Democratic Institute (NDI)
Contacts ONI/DG	AFR/ONI/DG Jennifer Windsor Telephone: (202) 647-0443 Facsimile: (202) 647-7430
Other	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

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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
institutional economics	public finance
public administration	political economy

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

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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

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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	

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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

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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)

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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

The following is a list of sources of support for African social, cultural, and economic development within the private sector (as of 17 June, 1992).

The Ford Foundation

New York:

320 East 43rd Street,
New York, N.Y. 10017
contact: John Gerhart
Director, Africa and the Middle East
(212) 573-4836

Dakar:

BP 1555,
Dakar, Senegal, West Africa
(60 Rue Carnot)
contact: William Duggan, Representative
(011)(221) 23. 96. 19. or 22. 55. 75.

Lagos:

29, Marina
Lagos, Nigeria, West Africa
contact: Mora McLean, Assistant Representative
(011)(234)(1) 63. 01. 41./ 63. 07. 17./ 63. 35. 78.

African-American Institute

Washington:

1625 Massachusetts Avenue, N.W.
Suite 210,
Washington, D.C. 20036
contact: Jerry Drew
(202) 667-5636

New York:

833 United Nations Plaza,
New York, N.Y. 10017
contact: Vivian Derryck or Shirley Davis-Joseph
(212) 949-5666

Cotonou:

c/o Departement de Sciences Politiques,
Universite Nationale du Benin,
BP 03-1012
contact: Doctor Moussa A. Okania

National Council of Negro Women

Washington:

1667 K Street, N.W.
Washington, D.C. 20006
contact: Janet Douglass, Sarah Joy Hunter, or Aleta Willaims
(202) 659-0006

Dakar (West Africa Office):

BP 2984,
Rue Tolbiac X Autoroute,
Immeuble Hassane Ousseynou,
Dakar, Senegal, West Africa
contact: Cheryl Williams-Nam

National Democratic Institute

1717 Massachusetts Avenue, N.W.
Suite 503,
Washington, D.C. 20036
contact: Lionel Johnson, Ned McMahon, Larry Garber or Pat Keefer
(202) 328-3136

The Heritage Foundation

214 Massachusetts Avenue, N.E.
Washington, D.C. 20002
contact: Tom Sheehy
(202) 546-4400

The Institute on African Affairs

733 15th Street, N.W.
Suite 700
Washington, D.C. 20005
contact: Moses Tesi
(202) 393-0150

Africare

Washington:

Africare House,
440 R Street, N.W.
Washington, D.C. 20001
contact: C. Payne Lucas, Joseph Kennedy, or Gayle George
(202) 462-3614

Dakar:

BP 2272,
Dakar, Senegal, West Africa
contact: Camerica Rodriguez
(011)(221) 24. 76. 64.

Population Services International

1120 19th Street, N.W.
Suite 600
Washington, D.C. 20036
contact: Duncan Earle
(202) 785-0072

Center for Democracy

1101 15th Street, N.W.
Suite 505
Washington, D.C. 20005
contact: Mary R. Donaldson
(202) 429-9141

Africa Leadership Forum

821 United Nations Plaza,
Seventh Floor
New York, N.Y. 10017
contact: Felix Mosha
(212) 687-2324

International Republican Institute

1212 New York Avenue, N.W.
Washington, D.C. 20036
contact: Ed Stewart
(202) 783-2280

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Bilateral U.S.-Soviet negotiation continues at the Defense and Space Talks (DST), and on the U.S. Open Skies initiative. Under the INF Treaty of December, 1987, the United States and the Soviet Union have eliminated an entire class of U.S. and Soviet missiles with unprecedented on-site inspection. The U.S. seeks to broaden the arms control agenda beyond Europe to include the curbing of chemical, missile and nuclear proliferation in the Third World, where significant military power is coming into the hands of a widening circle of states. This concern includes the proliferation of missiles and missile technology, and chemical and nuclear weapons. Working with our COCOM partners we must ensure that military sensitive technology does not flow to potential adversaries while adapting COCOM procedures to support rapid political and economic change in nations moving towards and adopting genuine democracy.

[1UN] *The United Nations:* In a world of reduced East-West tension, the United Nations can become an important instrument for fashioning a new international order. The Iraqi conflict has shown how much the Security Council can do when the Permanent Five and most of its other members are united. The United States continues its strong commitment to the UN and the original purposes and principles embodied in the Charter which sought "to save succeeding generations from the scourge of war." American concerns over politicization and administrative problems in the UN and its various agencies (e.g. UNESCO) signal our genuine desire to see the institution restored to its noble origins and peaceful goals with effective program implementation.

[1ME] *Middle East Peace:* A fundamental tenet of American policy is that direct negotiations are the best way to resolve disputes and achieve peace. Without negotiations, there is no way to produce genuine peace and no mechanism to develop understandings that can endure. We are committed to the search for a comprehensive peace based on UNSC Resolutions 242 and 338 involving the principles of land for peace, security for all states in the region, and the legitimate rights of the Palestinian people. The U.S. is willing to be a driving force and to continue to act as an honest broker in the negotiating process between Arabs and Israelis. In the Persian Gulf, there can be no doubt of the U.S. commitment toward regional security, consistent with U.S. security and political interests, and toward the sovereignty and territorial integrity of nations in the Gulf.

[1EU] *A New Architecture for Europe:* Secretary of State Baker told a Berlin audience in December, 1989: "As Europe changes, the instruments for Western cooperation must adapt. Working together, we must design and gradually put into place a new architecture for a new era." The three most important institutions for that continued vital transatlantic relationship in shaping a new Europe are NATO, the Conference on Security and Cooperation in Europe (CSCE), and the European Community (EC). The NATO era has brought the longest period of peace that Europe has known in the modern age and NATO remains the foundation of the U.S. political and security relationship with its Western partners. CSCE also provides an important forum for critical issues that brings together the U.S. and Canada with the nations of Europe and has become a forum for greater substance, with enhanced status and a new institutional structure. CSCE is also likely to become an important forum bringing the United States together with the states of both East and West Europe in support of the process of East European reform. The EC experiment is succeeding because it held out the high goal of overcoming political as well as economic barriers. The U.S. supports this goal, as it did when conceived 40 years ago, and wants cooperation to keep pace with the 1992 goal of European integration and institutional reform. With the emergence of democracies in Eastern Europe and the effective demise of the Warsaw Pact as a cohesive military force, the long term goals of U.S. policy are to ensure that the turn away from communism is irreversible; to prevent the region from becoming a power vacuum, or an unstable theatre of tensions and rivalries; and to support the region's economic and political integration into the world. The immediate need, as characterized by the President's Eastern European Initiative, is to assist these countries with economic reform, the formidable problems of replacing their ruined statist economies with more viable structures, and the creation of democratic political institutions representative of the popular will.

[1NE] *Security, Stability and Cooperation in North Africa, the Middle East and South Asia:* Continuing conflict and instability pose a central challenge to the well-being of nations in the area and to U.S. interests. The U.S. seeks to strengthen the resolve of moderate governments to work for peaceful resolution of the multi-faceted conflicts which have plagued the area for generations. Among the major areas of concern are the destabilizing policies of Iraq and Libya, a sovereign and independent Lebanon, the Iranian Revolution and the impact of Islamic fundamentalism, Indo-Pakistani differences and distrust, persistent conflict in North Africa, and communal violence and political instability in South Asia.

[2TE] *Terrorism: A Threat to Democratic Society, Global Stability and the Rule of Law:* The United States views terrorism as a criminal act as well as a major human rights violation and a severe threat to the stability of all societies. International cooperation is essential to combat the use of violence against innocent populations, particularly state-supported terrorism, and to apprehend and prosecute terrorists.

[2EL] *U.S. Elections:* The quadrennial Presidential Election in the U.S. commands worldwide attention matched by few events in the U.S. Our electoral process calls into play all the political and social forces a vibrant, pluralistic and free society draws upon to identify and select its national leaders. It also underscores the very deep and unshakable American commitment to democratic processes and institutions.

[2FP] *U.S. Foreign Policy Formulation:* U.S. foreign policy formulation results from a complex interplay of forces. The vigorous and open public debate over certain issues, very evident in the public media, should not be mistaken for disarray or paralysis. The Administration seeks close consultation with the Congress, the academic community and strong public backing. U.S. foreign policy, and the broad public support it relies on, is based on a fundamental concern for human liberty.

In the Round, the U.S. is seeking to eliminate barriers to trade in services, end export and other subsidies in agricultural trade, assure protection of intellectual property, reduce barriers to investment, and strengthen the GATT's dispute settlement procedures. The U.S. hopes to reach a fair and comprehensive agreement on all issues under discussion by the end of 1991 and to submit the agreement to Congress under the recently approved "fast track" procedures.

The Administration has also entered into negotiations with Canada and Mexico to establish a North American Free Trade Agreement (NAFTA) designed to contribute to the economies of the three countries. The U.S. sees no contradiction between its commitment to a free global trading system under the GATT and regional trading system such as the NAFTA and the European Community's goal of a single market, provided these regional systems remain open to trade from other countries and areas.

[3DT] *World Debt*: Progress has been made over the past several years in defusing the debt time bomb, but much still remains to be done. In Latin America, despite a number of successes, the debt problem is most endemic and is perceived as directly related to prospects for continued democratic growth in the region. Recent cooperation between the major debtor countries, international financial institutions and commercial banks has attenuated the problem. More significantly, the Brady debt strategy, introduced in March 1989, moves in the direction of debt reduction by offering a combination of reduction in the amount of interest payments and new loans for countries pursuing appropriate economic reform. Resolution of the debt problem lies largely with the willingness of the debtor nations to carry out deep-rooted structural reforms. This requires a firm commitment by debtor governments to implement change despite short-term political risks and the evident hardships imposed on their citizens. Another more permanent contribution to the debt problem could come from economic growth in the industrialized countries providing greater trade opportunities for the debtor nations. Direct foreign investment, as an alternative to contracting debt, can also play a beneficial role.

[3AI] *U.S. Economic Assistance*: The U.S. is strongly committed to raising global living standards and eliminating poverty and famine through bilateral and multilateral programs both through emergency humanitarian relief programs and through assisting Third World countries to adopt longer term programs aimed at eventual self-reliance. The U.S. took the lead in providing major contributions to alleviate the famine in sub-Saharan Africa and to provide relief for the Kurdish victims of Saddam Hussein's repression. The Generalized System of Preferences (GSP) and the Caribbean Basin Initiative (CBI) have done much to stimulate LDC exports to the U.S. The U.S. has also assisted the Andean countries to adjust their economies away from narcotics production. In addition, the U.S. makes substantial contributions to multilateral assistance programs and works with other donor countries. President Bush's Eastern European Initiative is designed to help the countries of that region shift to market-oriented economies and genuine functioning democracies.

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V. SCIENCE AND TECHNOLOGY

Agency activities in this category depict how the United States is using its scientific and technological capacities to better the lives of its own people and others. Agency programs also explore several significant transnational scientific issues, especially environmental and energy questions.

[5ST] *Significant Issues and Developments in Science and Technology:* The U.S. remains a world leader in scientific and technological development. For instance, American aerospace, computer and medical technology are widely acknowledged as the best. As the pace of discovery continues to accelerate, there is increasing awareness that, while science and technology are the keys to meeting our most pressing needs for survival and a better life, they can also have important ramifications for the international community. Advances such as robotics and genetic engineering may yield great benefits for mankind, but they may also spur far-reaching and as yet unknown social, economic and political consequences. The demand from other nations for American technology and know-how raises questions about some countries' commitment to fair trade and peaceful development. Other questions, like the far-reaching AIDS epidemic, require urgent and effective international cooperation.

[5EP] *Protecting the Global Environment:* Societies and governments around the world recognize the need for greater transnational cooperation to protect the environment. However, there are no easy solutions to the problems of global climate change, deforestation and declining biodiversity. Economic development and environmental protection are inseparable. The U.S. has made great strides in protecting the health of its citizens and restoring the quality of the nation's environment since the early 1970s, when a series of national programs and government agencies were created to correct widespread pollution and resource degradation. While many of the early U.S. goals for control of air and water pollution have been met, new problems like CFCs and atmospheric ozone loss have come to the forefront and proven to be difficult and costly to address. , With its record of environmental accomplishments and its commitment to develop mutually supportive environmental and economic objectives, the U.S. remains the world leader in environmental management.

[5EN] *Energy Security:* The long-term trend toward energy conservation and diversification of energy sources have been two major factors in enabling the oil market to remain relatively stable in recent years. The Iraqi aggression in the Gulf, however, serves as a reminder of the continuing global dependence on oil and its vulnerability to regional conflict. We have diversified our energy supplies, developed alternative sources, and reduced our dependence on imported oil as a result of conservation. Our commitment to continued energy security and our cooperation with the International Energy Agency (IEA) are important themes which will be stressed.

The United States supports the free development of other societies compatible with each nation's own traditions. We make no attempt to impose our values or political structures on others,but wish to share our own experience within the context of shared traditional and religious ideals. We dispute the notion that scientific, intellectual and social innovations are disruptive conveyors for alien values.

[6RE] *Immigrants and Refugees:* The U.S. is proud of its vision of itself as a nation of immigrants and its record of active concern for displaced peoples around the world. Our place in the world as a haven for the "huddled masses yearning to breathe free" is a fundamental part of our social and political identity. The nation welcomes hundreds of thousands of new people annually even as strains on American society generate questions about limits in our absorption capability. We continue to try to find effective solutions to the critical problems generated by the millions of refugees still displaced around the globe, including diplomatic efforts to resolve conflicts which produce refugees.

[6VO] *Volunteerism:* Individual volunteerism and community service have been hallmarks of American society predating the American revolution and a critical element in the success of the American democratic experience. President Bush reflected this longstanding tradition in his 1989 Inaugural Address, when he spoke of the thousand points of light, "all the community organizations that are spread like stars throughout the nation, doing good." The President reinforced that theme in his 1991 State of the Union address when he declared that "the strength of a democracy is not in its bureaucracy," but "in the people and in their communities." Overseas, the most prominent institutional expression of American volunteerism is the Peace Corps, which is expanding its presence to 18 more countries by the end of Fiscal Year 1991.

[6WM] *Progress and Challenges for Women and Minorities:* American women and minorities have achieved important economic, political and social strides in the past generation, yet much remains to be done. "Affirmative action" as a remedy continues to receive attention, although more diverse definitions of basic goals and interests, measures of success and failure, and ways to make progress are becoming evident. There is no longer a single vehicle for securing rights or one path for personal achievement, but the American priority for providing equal opportunity for all is undiminished.

[6LA] *The Role of Organized Labor:* Organized labor in the U.S. has evolved from its original emphasis on improving working conditions to its role today as a major institution in American life. Free trade unions remain intimately involved in such issues as wages, benefits, job security and safe working conditions for their members, but have extended their influence into civil rights, immigration policy, international trade policy, and federal bankruptcy laws as well as into American political life. The AFL-CIO is active in supporting free trade unionists on a country-to-country basis and, through its involvement in international labor organizations such as the ILO and the ICFTU, has been in the forefront of legislation seeking protection of workers' rights worldwide. The 1988 Omnibus Trade Bill, following similar GSP

VII. THE ARTS AND CULTURAL HERITAGE

The Agency presents abroad the best available examples of American accomplishments in the arts. Our intellectual achievements are rooted in a firm commitment to creative freedom. We are also committed to the preservation of our heritage and assisting others in preserving their valuable cultural property.

[7AT] *The Arts in America:* The innovative intellectual achievement and expression in contemporary America is a lively index to our multi-ethnic society that is both uniquely American and internationally meaningful. Widespread public and private support for the arts has stimulated increasing numbers of Americans to participate actively in music, drama, the arts and letters. Public networks established by the National Endowments for the Arts and Humanities stimulate the growth of private cultural endeavors.

[7VA] *The Visual Arts:* The visual arts in America continue to benefit from a tradition of experimentation and to offer fresh perspectives on contemporary life. Several elements are of particular significance: new trends and techniques in art and architecture; photography as an art form; the variety and imagination in crafts; and the focus of film in American life.

[7PA] *The Performing Arts:* The appeal of the performing arts continues to attract increasing participation. Several points will receive special attention in the coming year: the contemporary mode-U.S. innovation in the performing arts; and U.S. contributions to the performance of the classics, American jazz, blues, country, folk and pop traditions.

[7CH] *Preserving Cultural Heritage:* There is a growing global awareness of the need to protect historic sites and monuments and to curb illicit trade in looted art and antiquities. With the 1983 Cultural Property Act, the U.S. is offering to assist other countries discourage theft and illicit export of their cultural patrimony. If a national government is a state party to the 1970 UNESCO Cultural Property Convention and is concerned about loss of its archaeological and ethnological material to the U.S. art market, it may submit a written, documented request for U.S. import controls to USIA.

a database with online access to Agency products produced since 1985, including the full text of the Wireless File items and other policy statements. See *Programs, Products and Services*, Page 31.

[8UL] *University Linkages:* Competitive grants for projects of three years duration to support the initiation and/or expansion of institutional relationships between American and foreign academic institutions are intended to promote mutual understanding, strengthen the teaching and research abilities of U.S. and foreign institutions, contribute to the academic excellence of the participating institutions, and expand the range of institutions and countries participating in international exchange programs with the United States. See *Programs, Products and Services*, Page 24.

[8TE] *Teacher Exchanges:* This program affords educators opportunities through teaching to develop a better understanding of the host country, its people and its language, and simultaneously to impart information about their own country and culture. Educators are selected in a wide range of disciplines, including history, foreign languages, the sciences, business, and literature either for direct two-way exchanges of U.S. and foreign teachers or for one-way placement. Exchanges are primarily at the secondary level, but post-secondary faculty and elementary teachers (U.K. and Canada only) are also eligible. See *Programs, Products and Services*, Page 24.

[8BK] *Book Programs:* The wide variety of Agency book activities includes publication, both in translation and as reprints of the English version, multi-set book exhibits (averaging 200 titles); American participation in international, regional, and local book fairs; facilitation of donations to Third World and Eastern European educational institutions; and copyright assistance for book publishing or play performances. Through the Book Alert program, culturally or politically significant new books are sent to posts on a subscription basis. The Agency also supports the Commerce Department and American publishers in a campaign to combat pirating of American books. See *Programs, Products and Services*, Page 33

[8PS] *Citizen Exchanges:* Formerly the Office of Private Sector Programs, the Office of Citizen Exchanges (E/P) develops cooperative exchange-of-persons projects with non-profit American institutions in the private sector. It includes the Division of Creative Arts. All E/P grants must be made to American non-profit organizations, but the office can and does support exchange programs conducted overseas through foreign cosponsors. E/P programs include an international people-to-people component, have a professional and cultural focus, and address substantive issues within a nonpartisan framework. As a rule, these programs do not require post funding (although E/P strongly encourages cost-sharing), nor are posts precluded from nominating participants who have previously received Agency support. Most logistical tasks are handled by grantee organizations. The office does not support proposals limited to conferences or seminars, *i.e.* one to 14 day programs with plenary sessions, panels, main speakers, and a passive audience.

IX. MISCELLANEOUS

This category, normally reserved for unique post projects which do not correlate with the established Agency themes, now also includes a special theme to commemorate the Quincentennial of the discovery of the New World, an event that involves a number of issues that cross over several thematic categories.

[9QU] ***1992 Quincentenary of the Discovery of the New World:*** **Five hundred years after the events of 1492, the U.S. and the world are preparing for 1992 as a year of international celebration, commemoration and change. Major International Quincentenary activities include the World's Fair in Seville and the Specialized Exposition in Genoa. Although the impact of Columbus' voyages resonates differently around the world, its importance is indisputable. We are focusing on projects that deal broadly with national heritage, including both national and cultural heritage, as a way of encompassing a wide range of interpretations of and reactions to the events of 1992 and thereafter.**

The U.S. Christopher Columbus Quincentenary Jubilee Commission has established five themes for the commemoration:

- **Columbus: The Man and the Visionary**
- **Our Old World Heritage**
- **Our New World Heritage**
- **American Alternatives: The New World's Contribution to the Old**
- **The Future: New Worlds Then and Now**

NOTE: A number of themes in the commemoration touch upon other established Agency themes, e.g. 5ST, 6SP or 7CH. Post project requests should refer to *all* pertinent thematic codes with the appropriate one designated as primary.

[999] ***Miscellaneous:*** **This thematic code is reserved only for those post projects which do not fit into any of the established Agency themes. Posts are welcome to use this thematic code, but the Agency must first respond to points and emphases that are of particularly compelling priority and/or common to several posts.**