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The Experiment in
International Living

WORLD LEARNING

DEMOCRACY FELLOWS PROGRAM

Handbook

September 11 1998

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USAID Agency Notice Dated 8 July 1996
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World Learning Fact Sheets
World Odyssey
Democracy Dialogue

Introduction and

Orientation Information

**Projects in International
Development and Training**

WORLD LEARNING
Founded in 1932 as
The Experiment in
International Living

Welcome to the World Learning family For us, the Democracy Fellows Program is not merely another example of World Learning's continuing cooperation with the U S Agency for International Development, but fits squarely into World Learning's core mission to enable participants in our programs to develop the professional knowledge, skills, and attitudes needed to contribute effectively to international understanding and global development

This innovative fellowship program gives each of us new opportunities to understand and to respond actively to the challenges of our changing world, and to verify and refurbish the continuing relevance of our efforts As Democracy Fellows, you will each work directly with others around the world to expand global awareness of democratic principles and practices Ideally, your Democracy Fellowship, with its intercultural and international exchanges and interactions, will better prepare you to meet the challenges of the future, and to acquire the skills and knowledge needed to help resolve critical world issues Your efforts, in turn, will help World Learning and USAID to prepare others to meet future challenges and opportunities

You have survived a rigorous selection process for the Democracy Fellows Program, and have already demonstrated in a variety of contexts the promise of your professional and personal commitment to promoting and strengthening democracy We are proud of you, and World Learning looks forward to working with you, and learning with you, over the coming year I am pleased to welcome you into the World Learning family, and wish you the greatest success in your Democracy Fellowship

Sincerely,

Bob Chase

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Vice President

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Team Information

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Fellows List

Fellow	Location of Fellowship	Host Organization
Gary Bland	Washington, DC	USAID/Global Bureau/Democracy Center/Governance
Stephen Brager	Washington, DC	USAID/Global Bureau/Democracy Center/Governance
Linn Hammergren	Washington, DC	USAID/Global Bureau/ Democracy Center/Rule of Law
Elizabeth Hart	Washington, DC	USAID/Global Bureau/Democracy Center/Civil Society
Abigail Horn	Asuncion, Paraguay	USAID/Asuncion
Ann Hudock	Washington, DC	USAID/Global Bureau/Democracy Center/Civil Society
Patricia Kendall	Jakarta, Indonesia	USAID/Jakarta
Carolyn Logan	Nairobi, Kenya	USAID/Regional Economic Development Services Office (East and Southern Africa)/Greater Horn of Africa Initiative
Ronald Shaiko	Washington, DC	USAID/Global Bureau/Democracy Center/Elections
Sara Steinmetz	Washington, DC	USAID/Policy and Program Coordination

Alumni List

Fellow	Location of Fellowship	Host Organization
Robert R. Barr	Washington, DC	USAID/Global Bureau/Democracy Center/Strategies
Lisa Cannon	Johannesburg, South Africa	Development Resources Centre
Carrie Chernov	Asuncion, Paraguay	USAID/Asuncion
Dawn Emling	Pretoria, South Africa	USAID/Pretoria
J. Michele Guttmann	Santiago, Chile	Corporacion Participa
Brian Kelliher	Kampala, Uganda	Foundation for Human Rights Initiative
Michael McCord	Asmara, Eritrea	USAID/Asmara
Mark Thieroff	Prague, Czech Republic	Tolerance Foundation

Program Information

About the U.S. Agency for International Development

Mission

Since 1961, the U S Agency for International Development (USAID) has carried out U S economic and humanitarian assistance programs abroad This foreign assistance has two purposes to further U S foreign policy interests in expanding democracy and free markets, and to improve the lives of citizens in the developing world Over the past four decades, USAID has worked to achieve several inter-related development objectives

- promoting broad-based economic growth,
- advancing democracy,
- stabilizing populations and protecting human health,
- protecting the environment,
- providing technical education and training,
- promoting the full development of human capacities, and
- saving lives and preventing disasters through humanitarian assistance

Foreign economic and humanitarian assistance programs in the developing world constitute a critical investment in the future of the U S and world economies USAID programs help increase standards of living thus also enabling nations to begin to afford greater quantity and quality of U S goods and services USAID plays a critical role in helping to develop new markets for the United States, understanding well that poor people make poor customers and that bad policies and weak institutions make for a poor business climate

In the wake of the Cold War, USAID has been a front-line agency in supporting the development of democracy around the globe As well as assisting nations as they make the transition away from closed economic and political systems, USAID has also responded to humanitarian crises in nations such as Bosnia, Liberia, and northern Iraq In addition, USAID continues to carry out equally important long-term development programs around the world

As foreign policy concerns of the United States have evolved over the past decade, the role of USAID has become more focused In 1992, USAID became one of two federal agencies named as a "reinvention laboratory" under the National Performance Review Under these auspices, USAID has focused on fewer, more attainable objectives, simplified the agency's organization, empowered its staff, and redesigned and simplified the ways it carries out its business

The Democracy Center and the Promotion of Democracy

Between 1980 and 1995, USAID provided democracy and governance assistance to 36 of the 57 nations that successfully made the transition to democratic forms of government However, USAID assistance in this field is still quite new Whereas other sectors rely on decades of research and information collection, in democracy and governance USAID is helping to define

the boundaries of assistance and methods of determining the impact of that assistance This role is now filled by the Global Bureau's Center for Democracy and Governance, the office charged with providing technical expertise and services to missions that have democratization as one of their strategic objectives

To maximize progress toward achieving the agency goal of building sustainable democracies, USAID democracy and governance programs are targeted to four areas

- strengthening the rule of law and respect for human rights,
- fostering genuine and competitive political systems,
- increasing the development of politically active civil societies, and
- promoting more transparent and accountable government institutions

Rule of Law

USAID uses several approaches to strengthen the rule of law ensuring the protection of citizens' rights and interests, enhancing the fairness and timeliness of the administration of justice, and increasing citizen pressure for conformity with international human rights standards

Open Political Systems

If elections are manipulated, poorly managed, and/or held only after lengthy and unpredictable intervals, participation, competition and the will of citizens are all compromised To help ensure free and fair elections and to enhance political competition, USAID supports the adoption of impartial and open electoral laws and regulations, the creation and strengthening of impartial and effective electoral administration, the improvement of local and international monitoring of elections, increased responsiveness of political parties to constituents, and better education to ensure informed voters and participants

Civil Society

Civil society is the term given to the actions and interrelations of non-governmental groups Such groups, crucial to the functioning of a healthy democracy, constitute a vital channel for sharing information and for formulating and representing specific interests Their collective nature helps ensure that their members' interests are weighed by policy-making bodies In addition, collective action helps protect individual members from bureaucratic indifference and arbitrary, capricious, and over-zealous governmental action or retaliation With assorted and diverse political interests, organizations can monitor government performance and create strong pressure for accountability They inculcate democratic values, giving people practical experience in applying democratic principles and creating opportunities for new leaders to develop USAID programs help to strengthen civil society organizations engaged in or having the potential for championing the adoption and consolidation of democratic governance reforms

Accountability

The behavior of government officials can support or undermine development and democracy Strengthening performance, respecting ethical standards, consulting broadly to ascertain citizen interests, sharing information, acting in an open manner, diffusing power by sharing decision-making with local government--all help to ensure that government decision-making is impartial and informed Such behavior supports the long-term sustainability of political institutions and people's confidence in democratic principles USAID supports the development of more transparent and accountable government by increasing local government participation, increasing citizen access to government information, strengthening mechanisms to promote ethical standards in government, increasing civilian control over military and police forces, and strengthening the effectiveness and independence of legislatures

USAID Missions

USAID missions provide the focal point for the agency's activities, and are key in distinguishing USAID from many other assistance organizations The network of missions allows a thorough and immediate awareness of needs, progress, and issues, both regionally and within each country

Missions vary greatly in size depending on strategic importance and/or need The largest USAID mission is in Cairo, Egypt, with a staff of nearly 200 Smaller missions may have as few as one staff person or USAID representative Missions are often located with the U S Embassy in the capital city of the country (See "The Relationship Between Democracy Fellows and USAID" for information on staffing patterns)

Democracy Fellows Program

World Learning's **Democracy Fellows Program** (DFP) was initiated in 1995 to help develop the next generation of U S experts in international democracy and governance The DFP helps to promote democracy by awarding fellowships for practical field work in support of emerging and transitional democracies The DFP is primarily funded by the U S Agency for International Development (USAID) under a five-year Cooperative Agreement between World Learning and USAID's Center for Democracy and Governance Additional support has been provided by World Learning and by a variety of private, non-profit sponsors

Mission

The Democracy Fellows Program has several inter-related objectives

- to build a cadre of field-experienced U S experts committed to careers in democracy and governance,
- to provide junior- and mid-level fellows with essential career experience in building and supporting the development of democratic institutions,
- to assist in the evolution and advancement of democratic practices and institutions in emerging and transitional democracies, and
- to increase the number and diversity of people with expertise working in democracy and governance programs in these countries

During 1998, the DFP will award approximately ten to twelve fellowships (The number of awards each year depends on the support of potential sponsor/host organizations, and upon program ceilings established by USAID's Management and Global Bureaus) Under the program's current operations, the DFP recruits nationwide for highly-qualified junior- and mid-level post-graduate applicants The DFP accepts applications on a rolling basis, screening them periodically to maintain a roster of highly qualified candidates who are eligible and competitive for potential placements

World Learning awards fellowships that best allow Democracy Fellows to contribute to the process of democratization, to work collaboratively with USAID on its democracy programs, to develop professional competencies in the field of international democracy and governance, and to develop professional contacts for a future career in that field Democracy Fellowships are served primarily with USAID missions/offices in emerging democracies, or with USAID bureaus in Washington, DC Fellowships typically involve promoting democratic change by supporting and contributing to USAID's programs and activities in the field of democracy and governance Each fellow is also encouraged to undertake a substantive activity that makes a professional contribution to and advances the field of international democracy and governance Such efforts by fellows may result in a professional outcome such as a chapter for a book, an article in a professional journal, a significant analytical report, a new curriculum, or other appropriate product

Fellowship Awards

Recognizing that democracy depends upon the active support and participation of citizens and institutions in all segments of a country's civil society, the DFP endeavors to identify a wide range of potential fellowship assignments with USAID This work is done in collaboration with potential sponsoring organizations involved in democracy and governance programs, primarily overseas USAID missions Such fellowships might include one or more of the following activities working with evolving institutions of civil society and civic republicanism, providing policy analysis and expert advice, developing evaluation methods, indicators or practical research, providing technical comment on USAID, other international donor, or host government plans or activities, helping to strengthen the capacities of local democratic groups, and aiding the democratic development of counterpart individuals and institutions

At this time, approximately half of all Democracy Fellowships are served overseas Fellows are selected from an continuously renewed roster of the most highly qualified applicants, based on their applications and personal statements, and the needs of the various USAID units which sponsor each Democracy Fellowship Fellowships are awarded to attain the best match of eligible, qualified candidates and the particular fellowship, taking into account the goals and limitations of the program, the professional career interests of the individual candidate, and the sponsoring organization's needs for assistance in specific areas of democracy and governance

Democracy Fellowships are not intended primarily for teaching or academic research, but to provide active involvement in promoting democratic development by working on USAID democracy projects Fellows work with the DFP and the sponsoring organization to design and fulfill a Fellowship Program Description and Plan that is based on the democracy needs of the USAID organization and the interests of the fellow The "results-oriented" program description outlines the goals and objectives of the fellowship, as well as proposed timelines, expected travel, and levels of effort, needed to implement key activities

To the extent feasible, Democracy Fellows serving overseas are also encouraged to collaborate with a host-country counterpart individual or institution, so that the benefits of the Democracy Fellows Program will have a greater impact and last beyond the term of the fellowship itself During their fellowships, Democracy Fellows may occasionally be requested to prepare case studies and "lessons learned" for dissemination both within the network of Democracy Fellows and to the larger community of democracy and governance professionals A key element of this transfer of knowledge and experience is the Democracy Fellows Conference, which brings Democracy Fellows together to share their experiences, approaches, learning and problem-solving with other fellows, government officials, representatives of sponsoring organizations, democracy professionals, academics, and practitioners

Sponsor Organizations

Sponsor organizations provide some of the funds or other support for a Democracy Fellowship Host organizations are those in which the fellow carries out his/her work In most cases the two will be identical, although a few Democracy Fellows have had more than one host and sponsor organization in the past, e g , where a fellow worked directly with a local democracy NGO, and was supported both by that NGO and by USAID funds provided by the DFP Similarly, a USAID mission (the sponsor organization) might provide funds for a Democracy Fellow to work with a suitable local or international organization (e g , the host country's National Assembly or Ministry of Justice) It is also possible to have more than one sponsor or host organization for a single Democracy Fellowship, for instance where a fellow might work with multiple organizations on related democracy issues or projects

Fellowship Mentors

Each fellow is encouraged to identify an appropriate individual who will serve as a "mentor" for the duration of the fellowship While this role can be filled by an individual working within the sponsoring USAID organization, this need not always be the case The mentor is an individual who agrees to advise, support, and provide professional expertise to the fellow An effective mentor should have detailed familiarity with the host country's democracy needs as well as those of the sponsoring organization Fellows may wish to wait until after arrival at their fellowship site to identify an individual who may be inclined to serve as a mentor This will allow the fellow to develop a greater sense of which individual(s) would be most appropriate to fill this role DFP staff will be pleased to work with identified mentors to ensure that they too understand the purpose, scope, limitations, requirements, and unique features of the Democracy Fellows Program

The Relationship Between Democracy Fellows and USAID

Most Democracy Fellows work directly with USAID employees and other personnel during the term of their assignments USAID staff stationed in overseas offices or missions, and in Washington, often encompass several distinct types of personnel

- direct hire staff (U S Foreign Service or Civil Service employees),
- personal service contractors or consultants (PSCs) on long- or short-term contracts,
- foreign service national (FSN) employees (nationals of the host country),
- FSN contractors,
- third country nationals, whether employees or contractors (TCNs),
- local hire staff (usually dependents of U S Foreign Service or Civil Service employees, or other locally-based U S nationals),
- project staff and institutional contractors (employees of institutes, companies, universities or other organizations which have been awarded a USAID contract, grant or cooperative agreement to implement a USAID project),

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- government agency personnel on detail to USAID, e g , under an Interdepartmental Personnel Act (IPA) arrangement, a Participating Agency Service Agreement (PASA), or a Resources Support Service Agreement (RSSA), or
- fellows under a variety of fellowship programs who temporarily serve with USAID before returning to their parent institutions, or who are pursuing other career opportunities

Democracy Fellows fall into the last personnel group, which is also the most restrictive category In technical terms, fellows are not employees or contractors of USAID, of any U S Government agency, or of World Learning A fellowship thus is not "employment," nor is a fellow a contract employee or consultant of USAID, or of World Learning, as defined under Internal Revenue Service (IRS) regulations This fact is important both in the fellow's day-to-day relations with the sponsoring USAID office, and in areas of the fellow's personal responsibility, such as personal income taxation Because of their unique status, fellows serving with USAID missions are subject to numerous limitations which distinguish them from all other USAID personnel, and which affect each fellow's day-to-day work

During 1995 and 1996 USAID's Management Bureau and its General Counsel's Office undertook an extensive review of fellowship programs throughout the agency One conclusion reached was that many of the fellowship programs had operated in violation of policies governing federal employment and contracting matters The findings of the USAID/Management review resulted in the issuance of several key policy changes intended to ensure that USAID fellowship programs are implemented in full compliance with applicable laws and regulations These requirements distinguish between activities which fellows may and may not undertake, and also between those which may be carried out by others associated with USAID, but may not be performed by fellows (see "USAID Agency Notices dated 10/26/95 and 7/8/96")

The new policies assigned oversight responsibility for all fellowship programs, regardless of functional or geographic area, to USAID's Global Bureau The rules impose ceilings on the number of USAID fellows permitted under the program, and subject fellowship programs to USAID/Management's review These rules also describe a number of activities, features and circumstances which are typically found in a legitimate fellowship, and identify other activities or functions which are prohibited These USAID policies not only apply to the USAID offices which sponsor fellows, but also govern the conduct of individual fellows within these programs

In 1998 USAID's Management and Global Bureaus again undertook a comprehensive study of all USAID fellowship programs, this time in order to comply with number of specific Congressional requirements That study has not yet been completed, but the DFP expects that it will result in both greater scrutiny of fellows and fellowship programs in USAID, and in additional restrictions on fellows and fellowship program activities

It is possible that failure to follow these policies and limitations, either on the part of the fellow or the sponsoring USAID organization, could result in a fellowship being withdrawn or terminated

These USAID requirements are not primarily intended to limit the Democracy Fellow's professional development and legitimate close collaboration with USAID However, World Learning does have an interest in protecting each fellow from possible termination of the fellowship, and from the personal financial repercussions which may arise from a fellow being involved in inappropriate activities World Learning has an equal interest in preserving the integrity of the Democracy Fellowship Program, and ensuring that it and all of its fellows continue to operate within the established rules

Each fellow should carefully review the attached policy statements governing USAID fellowships This guidance makes it clear that fellows cannot engage in certain activities, including

- performing functions that are inherently governmental,
- approving policy, financial, or similar government documents or provisions,
- supervising, or being supervised by, USAID employees, Personal Service Contractors, or others (whether U S or foreign citizens), in any of the personnel categories listed above,
- reviewing, negotiating, signing, or having access to any sensitive contract, procurement or similar information,
- officially representing USAID in any publication, in any form (print, electronic media, video, etc , see section on Democracy Fellowships and publishing),
- serving as an official USAID or US Government representative at functions or meetings (professional attendance and participation are not a problem),
- managing USAID activities such as programs, projects, grants or contracts, or
- performing activities which primarily benefit USAID and/or which are properly the work of USAID employees, staff, contractors or other U S government personnel (this arises in part because USAID funds fellowships from its "Program" funds, not its personnel account)

USAID/Management has clearly stated that Democracy Fellows are not intended to be supplementary staff members, or substitutes for USAID consultants or contractors

Another distinction between fellows and USAID staff is funding source As noted in the last bullet above, fellowship stipends and allowances are paid from USAID "program" accounts, while USAID staff and other personnel are generally paid from "operating expense" (OE) accounts With rare exceptions, it is illegal for USAID to expend program funds for purposes or activities that should properly be paid from OE funds

Fellowship Program Description and Report Guidelines

Program Description

The DFP provides opportunities for contributing to the process of democratization, developing professional competencies in the field of democracy and governance, and developing professional contacts for a future career in that field The program is targeted toward beginning or mid-level professionals who have limited field experience, a relevant academic background, and a commitment to a career in international democracy and governance

Before it awards any fellowship, the DFP requires each finalist to develop a proposed **Fellowship Program Description** This plan is based on the democracy needs of the specific host organization and on the professional interests of the finalist The Program Description tentatively sets out the broad goals, objectives, activities, approaches, and outcomes of the fellowship Finalists also identify professional skills they will seek to develop during their tenures as Democracy Fellows

The initial Program Description is intended to meld the finalist's interests with the host organization's needs and interests, within the regulatory and contractual requirements of the Democracy Fellows Program It must be completed and accepted before any fellowship can commence The initial Program Description ordinarily will be reviewed again 30 to 45 days into the fellowship, when all parties may have a clearer vision of the scope and practical possibilities of the fellowship Because the fellowship Program Description is intended to be a flexible tool, it is reviewed and revised each quarter during the course of the fellowship, and serves as the basis for the fellow's final report

To avoid possible misunderstandings between fellow and sponsor, and to minimize potentially troublesome situations later on, World Learning does not formally award a Democracy Fellowship until after everyone agrees on the proposed Program Description Mutual agreement on each fellowship's Program Description (and subsequently on periodic revisions) must be reached among all of the involved parties the prospective fellow, the sponsor organization, and the DFP USAID's Center for Democracy and Governance may also review the proposed Program Description in connection with its allocation of positions under the prevailing USAID ceiling for the Democracy Fellows Program The World Learning review helps to ensure that the proposed Program Description comports with the requirements that USAID has established for the Democracy Fellowship Program It also helps the finalist to develop a practical and realistic overall plan for attaining personal and professional goals, while also accomplishing the work expected by the sponsoring organization Because it is important that each fellowship begin on a sound foundation, based on mutual understanding and agreement, the Program Description also serves as a key mechanism to clarify expectations

The Program Description and the related reporting process fulfill two additional purposes they satisfy certain program requirements with USAID, and they facilitate fellowship monitoring and

direction Through their Fellowship Program Descriptions and subsequent reports, fellows take responsibility for planning and achieving specific learning objectives and professional accomplishments, and for periodically evaluating their progress throughout the fellowship Once approved, the Program Description facilitates the achievement of specific objectives during the fellowship The fellow's quarterly and annual reports also provide the opportunity to assess, in writing, progress towards the personal and professional goals that are identified in the Program Description and its prior revisions In describing and analyzing their fellowship experiences, fellows usually gain greater clarity about their career development and how they approach their fellowship responsibilities Ideally, that effort will lead to improved effectiveness and to new or revised objectives for the remainder of the fellowship It will also help to advance or sustain their professional development in the field of democratization

The Program Description, like any planning tool, should identify desired objectives, proposed methods and efforts for attaining those objectives, tentative means of evaluating the achievement of those objectives, and proposed timelines for accomplishing the above For the purposes of the Democracy Fellowship, the initial Fellowship Program Description should be concise, but should include the following components

- a statement of the fellow's professional goals, and the objectives of the fellowship,
- the methods and activities planned to attain those goals and objectives,
- the intended outcomes, impact, and results of those activities, and of the fellowship as a whole,
- proposed timelines and levels of effort for implementing the planned activities, and
- a proposed schedule of travel necessary to complete these objectives

Professional Goals and Fellowship Objectives

The Program Description should begin with a general statement of the fellow's own professional goals It should answer questions such as how the fellowship will advance the fellow's overall career development, how the fellowship will contribute to democracy in the host country (if applicable), and how it will support the democracy programs and needs of the sponsoring organization The statement of professional goals sets the tone and general direction for the Program Description

Of course the Program Description must also relate to and be based on the program functions and needs of the USAID sponsor organization The finalist should therefore describe how the fellowship will support or advance the sponsor's specific democracy programs This means including a variety of performance and learning objectives which (a) identify the principal *activities* that the fellow will undertake, and (b) describe the specific *results* to be achieved as well as the relevant knowledge or skills that s/he plans to attain during the fellowship Objectives should be limited in number and should be drawn from the fellowship description, from USAID's Strategic or Intermediate Objectives for the sponsoring mission, from USAID Results Packages, or from other materials provided by the sponsoring organization A fellowship Program Description might address particular questions such as What are the fellow's specific

program activities and work responsibilities? What professional competencies will be developed through performing them? What are the leading democracy and development issues identified by the sponsoring mission (e g , in terms of content, context and geography)? How can this fellowship help to address those issues? What particular challenges confront the host organization's programs? How can the fellow assist the organization in engaging those problems and challenges? What results, consequences, and outcomes can be anticipated?

Performance Methods and Activities

Each fellowship objective should be accompanied by a brief plan that states how the objective or function will be achieved If the objective is for the fellow to prepare programmatic guidelines for a possible future project, the program description might include a tentative research plan, including related writing, travel, timelines, etc If the objective is to develop a plan for judicial reform for a specific jurisdiction, the plan might illustrate methodologies for conducting a needs assessment and/or making recommendations for reform If an objective is for the fellow to acquire knowledge in a specific area, the plan might include observation, interviews, readings, or other specific activities If the objective is for the fellow to develop a skill, the plan should outline tasks to be performed in order to acquire that skill The idea is to identify *how* one plans to accomplish the intended objectives

Outcomes and Impact

This section will identify expected outcomes that will result from the successful achievement of *each* objective This section should anticipate what the successful fellow, and/or the sponsoring organization, should expect on account of the fellow's activities This might include questions such as What might the organization be able to do differently because of the fellow's activities? What effect will the fellow's actions have? etc , all as a means of demonstrating the successful accomplishment of the different objectives Fellowship Program Descriptions should propose standards that may be used objectively to assess progress toward each intended result This section should also address the anticipated impact of the fellowship on the host organization, and on democratic practices and institutions, etc For example, training impact might be illustrated through evaluation results For an individual fellow, increased knowledge might be demonstrated by writing a well-received report or giving a successful presentation that incorporates the identified learning New skills might be successfully demonstrated through completed activities, or by assessing personal strengths and weaknesses, using relevant feedback

Timelines and Levels of Effort

For each principal objective, include a projected timeline for the planning, implementation, and evaluation of the activities that will lead to its fulfillment Issues of timing involve both the *duration* and the *level of effort* planned for each objective (e g , a plan might show that 10% of the fellow's time will be applied for five months, or 25% of the fellow's time continuously for the second six-month period) Finalists usually portray this element in graph or chart format Program Descriptions that address *both* duration and level of effort are much more useful as planning and operational tools, because they allow fellows to understand better the feasibility of

their plans Finalists should also understand that they will face a steep learning curve as new fellows, and should allow for this at the outset of the fellowship

Fellowship Travel Plans

The Program Description should include a tentative schedule of travel necessary to complete the planned program objectives Because of USAID policies, this is especially necessary for first-quarter international travel, finalists should thus consult with their host organizations regarding travel for the first quarter of the fellowship *Please note* If the Fellowship Program Description --and its quarterly (does not include an approved travel with sufficient information (i e , planned destination(s), number of trips to each destination, and the planned duration of each trip), rules promulgated by USAID's Procurement Office require that ***each*** unplanned trip be individually approved by USAID's Agreement Officer in Washington This is a lengthy, time-consuming process which greatly restricts the prospects of timely professional travel Therefore, the DFP requires fellows to identify *quarterly* the number, duration, and destination of any planned trips

Quarterly Reports

The successful achievement of fellowship objectives will be conveyed in quarterly and final reports Quarterly reports are due two weeks after the conclusion of the fellowship's first three months, six months, and nine months A comprehensive final/annual report is due no more than one month following the completion of the fellowship (Similar reporting requirements apply for any fellowship that is extended beyond the first year) Quarterly reports must include an assessment of progress toward each objective in the approved program description for that period Fellows are encouraged to enclose democracy-related materials received or created during the fellowship (curricula, reports, analyses, policy papers, training plans, etc) so that these materials can serve as a continuing resource within the DFP

Content

In assessing progress toward the objectives, fellows should keep in mind that they are writing not only for themselves and for DFP and USAID staff, but also for others who have not shared their experiences Therefore, it is helpful to include descriptions both of what has happened and why, and of what has been learned This information should include the rationale behind the implementation of specific activities, reasons why these activities were selected over other possible methods, how they were implemented, why they succeeded or did not, etc

Reports should be analytical and substantive They should not merely consist of a recitation of the fellow's activities during the fellowship Each quarterly report should begin with a review of the fellow's professional goals, an overview of the fellowship, and a general statement about how it is proceeding For each objective of the program description, the fellow should describe and summarize what methods have been followed, to what degree the objective has been achieved, and any outcomes or impact of that objective for the fellow, the sponsor or host organization, and for democratic changes in the country For example, knowledge can be

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demonstrated by identifying, explaining, and analyzing the relevant issues addressed during the fellowship Skills might be illustrated by describing their performance to the satisfaction of the sponsor or host organization or target group, and with positive feedback from others involved Impact can be verified by evaluations, illustrative statements and activities carried out by members of a target group, or documented changes in a group's or country's systems and/or behaviors Be sure to include only the most important or significant events or experiences, rather than reporting everything that has happened

Lastly, discuss what changes need to take place in the program description, if any, for the duration of the fellowship Revisions might require major or minor modifications to objectives, activities, expected outcomes, and so on Remember that each Quarterly Report and accompanying revision to the Fellowship Program Description should include a tentative travel schedule for the upcoming quarter

Format

Each quarterly report should include the following sections

- Professional Goals
- General Description of Fellowship to Date
- Fellowship Objectives
- Performance Methods and Activities
  (this should include reports form any program-related travel)
- Outcomes and Impact
- Program Description Revision

Final Reports

In addition to the above, Democracy Fellows are required to submit to the DFP a Final Report (or Annual Report, if the fellowship will extend beyond the first year) This report should cover the entire year of the fellowship, but should include more detail about the final quarter It should address the following questions

- Which proposed methods were used? Did they achieve the anticipated outcomes?
- Which methods were not used that were originally suggested, and why not?
- What experiences and outcomes were unanticipated in the program description but are still relevant to the fellowship? How did they contribute to the experience?
- How would you assess your performance as a professional within the field of democratization?
- What competencies (skills, knowledge) do you anticipate developing in your future work?
- How did your fellowship contribute to the needs of the sponsor or host organization? To the needs of the host country?

The final report should also include a copy of the professional work product

Criteria for Evaluation of Program Descriptions and Reports

Fellowship Program Descriptions and periodic reports will be reviewed by DFP staff upon receipt based on the following criteria

- Does the professional goal statement reasonably explain how the fellowship will contribute to the fellow's professional development in the field of international democracy and development?

- Do the objectives satisfy the needs of both the fellow and the USAID sponsor or host organization? Do the objectives relate directly to the democracy needs of the host country?

- Does the report demonstrate the achievements of the fellow, and his or her progress in professional development?

- Does the report demonstrate the professional contributions made by the fellow to the USAID sponsor or host organization? To the promotion of international democracy and governance? To the democracy needs of the host country?

- Does the report identify areas requiring revision of the current Fellowship Program Description? Does it raise any issues or concerns that require further discussion or follow-up by the DFP?

Program Components

Counterpart Development

One means of sustaining democratic development in emerging and transitional democracies is the prospect that a Democracy Fellow's work will last beyond the term of the fellowship This prospect can be leveraged by developing a linkage between a fellow and a counterpart individual or organization Building local capacities to continue in new directions after external assistance ends is a crucial component of sustainable development It can also help to ensure that a particular fellow's contributions may be sustained in host countries through the ongoing work of committed counterparts World Learning thus encourages Democracy Fellows serving overseas to consult with the DFP and their sponsoring organizations in order to explore the feasibility of collaborating with a suitable host country counterpart

If this program element is pursued, fellows should work closely with their sponsoring organization to identify a fitting counterpart, and to outline a realistic program of technical assistance to help that counterpart Under appropriate circumstances, World Learning will work with USAID missions and offices to identify a small counterpart budget within a Democracy Fellowship These funds might be used for the counterpart to attend conferences, or for books and similar resources, or for other counterpart activities approved in a Fellowship Program Description Experience has shown that working with foreign counterparts is not feasible for U S -based fellows

If this feature is deemed feasible, fellows should identify the counterpart individual or entity during the first half of the fellowship This will allow the fellow and the sponsoring USAID mission time to assess the potential counterpart's needs, and for the fellow to prepare a plan of limited technical assistance in cooperation with the counterpart Assistance may include activities such as individual training and information on democracy, organizational development, institution-building, and similar topics Because of quite complex rules governing the use of USAID funds, (e g , generally prohibiting the purchase of equipment, etc), a fellow's proposed counterpart activities must be approved in advance by both the DFP and the sponsoring organization

Professional Work Product

Fellows are encouraged to complete a professional-level work product during the course of the fellowship This might be a book chapter, a professional article, a new curriculum, a substantial analytical report, or some similar project that reflects the fellow's professional interests and encompasses skills, learning, knowledge and practices the fellow has developed during the Democracy Fellowship The professional work product

- may be derived directly from the fellow's efforts within the sponsor or host organization,
- may be a general result of work conducted during the course of the fellowship, or

- may reflect a professional interest related to the fellow's career development, but which is not a specific element of the fellow's day-to-day work in this fellowship

Each fellow's work product, however, should constitute a professional-level contribution to the fields of international democracy, development and governance, It should also illustrate directly or indirectly the professional growth of the fellow, and reflect the impact of the fellowship, e g , on the host country's democracy needs, on the sponsoring organization's democracy programs, on a particular area of democracy and governance, etc

The fellow's professional work product should be more than a compilation of periodic reports of the fellow's activities It should aim at making a professional contribution to the field of international democracy and development The purpose of this effort is not to duplicate other fellowship reports, nor to develop a summary report of the fellow's activities over the course of the fellowship, but instead to produce a synthesis of the fellowship and the fellow's learning and career development This, in turn, will make a useful professional contribution to the overall fields of international development, democracy and governance, and/or specific topical areas, while also serving as a foundation for the fellow's professional endeavors following the Democracy Fellowship

Fellows should bring to the fellowship some thoughtful ideas of possible professional work products, to be included in the Program Description and discussions with the sponsoring organization This description may (and likely will) change as the fellowship progresses, and it should be addressed in each quarterly report These reports should also assess the status of the professional effort to date The professional product should be completed by the date that the final fellowship report is submitted, i e , one month after the completion of the fellowship **(See "Fellowship Award Letter" for details on copyright and publishing guidelines, including USAID-required disclaimers)**

Democracy Fellows Conference

Each year, the Democracy Fellows Program plans to convene a Democracy Fellows Conference This conference will serve as a synthesis and evaluation seminar to enable fellows to integrate their field experiences into their overall career development It also will allow fellows to share experiences and learning on democratization, democracy programs and approaches, cross-cultural effectiveness, and other topics of interest It is expected that conference participants will include current and new fellows, DFP and USAID staff, and other experts and practitioners in the field of democracy and governance

During the conference, discussions and presentations will address democracy training, institutional capacity building, and development activities The conference will also serve as an end-of-service seminar in which fellows nearing the end of their Democracy Fellowships will make presentations on their experiences and share the preliminary results of their professional work projects Discussions also examine fellows' career development, as well as ways for fellows to remain involved with the program after the formal fellowship concludes Time also will be set aside for program evaluation and recommendations

Life After the Democracy Fellows Program

World Learning is committed to the long-term career development of fellows This includes preparation for "life after" the Democracy Fellowship, continued opportunities for interaction with World Learning, and the integration of returned fellows into the program's future recruitment and orientation processes As fellows near the conclusion of their terms (and those who are overseas begin to prepare for returning home), the DFP will identify materials on re-entry and "reverse culture shock" In addition, the DFP will provide a "Before You Return" checklist to assist fellows as they prepare to return home and conclude their fellowships

Fellows are encouraged to maintain their affiliations with World Learning and the DFP Possible activities include conducting informational interviews with current DFP candidates, participating in the recruitment and selection process, providing information or assistance in identifying suitable fellowship opportunities and resources, assisting with the orientation of new fellows, etc Prospective fellows are encouraged to talk with returned fellows to gain a better understanding and to develop realistic expectations of the fellowship experience Democracy Fellows who have completed their fellowships will have continued access to World Learning, including employment and consulting opportunities, and professional networks The DFP expects to remain a means for former fellows to stay informed of developments in the field, and of potential career opportunities The DFP will also encourage the establishment of an association for alumni fellows which can be used for information-sharing and professional networking

Evaluation

Fellows have several opportunities to provide formal feedback on their experiences and to evaluate the implementation of the program The first of these is a brief evaluation to be completed at the end of the initial orientation program This is followed by a mid-point evaluation, to be completed after six months of service or during the Democracy Fellows Conference A final evaluation occurs one month after the fellow's successful completion of the program This timing allows the fellow to begin integrating lessons learned and to begin readjusting to home (e g , for those who served overseas), while insuring that the fellow's understanding and insights remain fresh

In addition to evaluation of the program by fellows, the DFP also surveys senior USAID officials and staff of sponsoring organizations on a number of program issues These include their perceptions of the fellow's quality and preparedness, their assessment of the professional benefit of the program for counterparts (as applicable), the value of the DFP to the sponsoring institution, and the impact of the fellowship on democratic progress and practice in the host country Fellows' mentors or points of contact in the sponsoring USAID organization is asked to asses the fellow's performance, based on progress toward achieving the various goals set out in the Fellowship Program Description The DFP synthesizes these performance evaluations, paying particular attention to common predictors of success or failure in such areas as professionalism, intercultural adaptability and effectiveness, and technical expertise

Resources

Democracy

Electronic Resources

Carter Center at Emory University
http //www emory edu/CARTER_CENTER/
Home page of the Center with list of Web sites of organizations involved in Democratization and Development

Center for Civil Society International
http //www friends-partners org/~ccsi/
CCSI supports international activities by U S voluntary organizations and independent associations that strengthen pluralism, law and market economies worldwide The focus of its activities is publishing resources, both print and electronic, that foster contact and relationship between U S third-sector groups and those emerging in the former Soviet Union Subscribe by sending an e-mail message to "listproc@solar cini utk edu" with the following command in the body of the message "SUBSCRIBE CIVILSOC Your first name Your last name"

Center for International Private Enterprise
http //www cipe org
Electronic mailing list and web-site for organization focusing on economic reform in emerging democracies Subscribe by sending an e-mail message to "cipe-announce@mail cipe org" with the following command in the subject heading "subscribe", leaving the message itself blank

Civnet
http //www civnet org
Website on civil society and civic eduaction maintained by CIVITAS

Democracies Online
http //www e-democracy org/do/
Website devoted to promoting on-line civic participation and democracy efforts worldwide
Offers two e-mail newsletters and links to other democracy-related sites

Democratization in Africa South of the Sahara
http //www ids ac uk/eldis/ggov/afri html/
Web site with bibliography of resources related to democratization in Africa, organized by region and country

Election Notes
http //www klipsan com/elecnews htm/
Updates on election activity, election returns, maps, and political news from around the world

Federal government and government-related sites
http //www fie com/www/us_gov htm
http //www federaltimes com/connect html
Lists of Federal web sites

Ianweb (International Affairs Network)
http //info pitt edu/~ian

Institute for Democracy in Eastern Europe
http //sunsite icm edu pl/poland/idee/cfp html
This is also the site of the *Centers for Pluralism Newsletter*

Institute for International Cooperation
http //www jica go jp/E-ific/index html
Home page of IFIC, part of the Japan International Cooperation Agency (JICA)

International Foundation for Electoral Systems
http //www ifes org/
Home page for IFES

International Institute for Democracy and Electoral Assistance
http //www int-idea se
Web site with information on elections and the electoral process in various countries, also has links to other democracy-related sites

Johns Hopkins University Press
http //www press jhu edu/press/index html
On-line ordering of democracy related journals, books, etc

Latin American Resources
http //www nsrc org/STHAM/regional-reports/InternetResources txt
Resources on Web dealing with Latin America

Library of Congress
http //www loc gov

African News Sites
http //way net/omnivore/africa html

Metacrawler
http //www metacrawler com/
multiple search engine (Lycos, Alta Vista, Excite!, WebCrawler, Yahoo, etc)

National Endowment for Democracy
http //www ned org
NED also maintains an electronic discussion group established as a means of sharing news, announcements, and information on topics related to democracy among experts, activists, scholars, and others working to promote democracy around the world The list is moderated by the National Endowment for Democracy's International Forum for Democratic Studies Subscribe by sending an e-mail message to "majordomo@freedom ned org" with the following command in the body of the message "subscribe democracy_news <your e-mail address here>"

Newspaper services on the Internet
http //www mediainfo com/ephome/npaper/nphtm/e-papers/
Web site with links to newspapers from around the world available on the Internet

NGOnet
http //www ngonet org
Web site that provides information to, for, and about non-governmental organizations (NGOs) active in Central and Eastern Europe

Organization of American States
http //www oas org
OAS home page, with links to various programs

REES Web Russian and East European Studies
http //www pitt edu/~cjp
Resources site has links to hundreds of other resources such as newspapers, current laws, statistical databases, etc

Ukraine Information page
http //www physics mcgill ca/WWW/oleh/ukr-info html

United Nations Development Programme
http //www undp org

U S Agency for International Development
http //www info usaid gov
http //www info usaid gov/democracy
Information on USAID including page on advancing democracy

Washington Office on Latin America
http //www wola org
WOLA's home page, with access to the publication Enlace

World Bank
http //www worldbank org

Democracy Issues Bibliography

Bellah, Robert N et al *The Good Society* New York, NY Alfred A Knopf, Inc , 1991

Bellah, Robert N et al *Habits of the Heart Individualism and Commitment in American Life* Berkeley, CA University of California Press, 1985

Chimombo, Steve and Moira, *The Culture of Democracy Language, Literature, the Arts & Politics in Malawi* Zomba, Malawi WASI Publications, 1996

Committees in Legislatures A Division of Labor Washington, DC National Democratic Institute for International Affairs, 1996

Diamond, Larry, and Marc Plattner, eds , *Journal of Democracy* Baltimore, MD The Johns Hopkins University Press
Journal of the National Endowment for Democracy, explores issues and events in democratic development from both content (e g , political transition, civil society, administration of justice, etc) and geographic perspectives

Fukuyama, Francis *Trust The Social Virtues and the Creation of Prosperity* New York, NY The Free Press, 1995

Making Every Vote Count Domestic Election Monitoring in Asia Washington, DC National Democratic Institute for International Affairs, 1996

Olugboji, Babatunde, *Human Rights Practices in Nigeria, January 1995 - June 1996* Lagos, Nigeria Constitutional Rights Project, 1996

Presiding Officers Speakers and Presidents of Legislatures Washington, DC National Democratic Institute for International Affairs, 1996

Putnam, Robert D *Making Democracy Work Civic Traditions in Modern Italy* Princeton, NJ Princeton University Press, 1993

Seligman, Adam B "The Fragile Ethical Vision of Civil Society " In *Citizenship and Social Theory* Bryan S Turner, ed London Sage Publications, 1993

Seligman, Adam B *The Idea of Civil Society* Canada The Free Press, 1992

Cross-Cultural Issues Bibliography

Fisher, Glen *Mindsets The Role of Culture and Perception in International Relations* Yarmouth, ME Intercultural Press, 1988
Examines how the cultural attributes shared by a society's members affect international affairs

Kohls, L Robert *Survival Kit for Overseas Living* (third edition) Yarmouth, ME Intercultural Press, 1996
Explores critical elements in the cross-cultural adaptation process, concerns of spouses/children in moving overseas, insights for women, short-terms visits, stereotypes, reverse culture shock

Piet-Pelon, Nancy J and Barbara Hornby *Women's Guide to Overseas Living* (second edition) Yarmouth, ME Intercultural Press, 1992
Examines issues critical to women (single and married women with and without families) who relocate abroad, includes sections on culture shock, loneliness, stress management, health

Storti, Craig *The Art of Coming Home* Yarmouth, ME Intercultural Press, 1996
Examines broad reentry issues affecting people returning from sojourns abroad

Storti, Craig *The Art of Crossing Cultures* Yarmouth, ME Intercultural Press, 1990
Analyzes the personal challenges inherent in the cross-cultural experience, based on psychological and communication theory

Administrative and Logistical Matters

Program Support

The Democracy Fellows Program is staffed by three individuals David Burgess, Director, Sora Friedman, Coordinator for Recruitment and Selection, and Jennifer McCaskill, Coordinator for Orientation and Fellows Support

The Director is responsible for overall management of the program including liaison with USAID, financial management of the Cooperative Agreement, coordination with other parts of World Learning and other organizations, and relations with sponsor and other organizations He provides direct support to fellows in cases of complex or sensitive problems related to the fellowship

The Coordinator for Orientation and Fellows Support is the primary contact for fellows once in the field Specific areas in which she and the fellows interact include

- monitoring fellowship program descriptions and reporting,
- monitoring individual fellowship budgets,
- making proper payment of stipends and allowances,
- coordinating travel arrangements,
- identifying and handling all but the most complex/sensitive fellowship problems, and
- providing computer-related technical support

The DFP Coordinator for Recruitment and Selection is responsible for managing the recruitment, screening, intake, selection and placement processes For fellows in the field, she provides backup in the absence of the Coordinator for Orientation and Fellows Support, and/or the Director of the Democracy Fellows Program

Fellowship Award Letter

To formalize his/her entrance into the Democracy Fellows Program, each fellowship candidate must accept the fellowship by signing a Democracy Fellowship Award Letter The fellowship has not been awarded **until the Award Letter is signed by both World Learning and the finalist candidate** Because of the nature of the DFP, the actual fellowship is awarded by World Learning, not by the sponsoring USAID organization Individual Democracy Fellowships, however, as well as the entire program, are subject to the provisions and requirements of USAID's overall agreement with World Learning USAID policy, in turn, assures that those USAID units which sponsor particular Democracy Fellowships adhere to the same terms and provisions The Award Letter draws on these controlling requirements to define the relationship between the DFP and the fellow, and between the sponsor organization and the fellow The Award Letter also includes information such as what is expected of the fellow, what the fellow can expect from the DFP, the specific terms and conditions of the fellowship, the duration of the fellowship, and conditions under which the fellowship may be terminated in advance of the scheduled date The main points covered in the Award Letter are briefly described below Please refer to the Award Letter itself for full details

Fellowship Conditions

This section describes some of the conditions of the fellowship, including, but not limited to, the following development of a written program description (to be approved by the DFP in consultation with the sponsor organization), possible requirements for the fellow to obtain and maintain a security clearance and legal residency and/or work permits in the host country, and devotion of full time and effort to the fellowship The security clearance provision generally applies to fellows who will be working in USAID offices where a security clearance is required to enter the building

In addition, World Learning expects that fellows will conduct themselves and carry out their fellowship activities in a professional and appropriate manner Fellows are prohibited from engaging in illegal or illicit activities and are responsible for complying with local laws, including labor and tax requirements, in the countries in which they serve or travel

If the conditions described in this section are not met, the fellowship can be terminated as described in the section on Termination (see below for description)

Responsibilities of the Democracy Fellow

The goals and objectives of the DFP and the fellowship are stated in this section, in addition to a summary of the fellow's responsibilities and obligations The individual program description and plan describes each fellow's responsibilities in more detail

Fellowship Award Period

The exact dates on which the fellowship begins and ends are given here In general, Democracy Fellowships are awarded for one year Some fellowships may be eligible for an extension or a renewal for up to a second year, provided that World Learning, the sponsor organization and the fellow all formally agree Fellows should understand, however, that the extension or renewal of any fellowship necessarily depends on many other factors as well (many of which cannot be controlled or predicted) As a result, therefore, neither an extension nor any renewal can be assured for any fellow Fellows should **not** plan on any fellowship continuing longer than the specified term as stated in the Award Letter, and each fellowship program description must be developed based on that one-year term

Termination

The conditions under which a fellowship may be terminated before the scheduled end date are described in this section Some examples of these conditions are misconduct, neglect or abandonment of the fellowship, inappropriate behavior such as substance abuse ("Termination for Cause"), or discontinued or reduced funding, adverse situations in a host country, foreign policy decisions, or other reasons unrelated to the fellow's conduct or performance ("Termination for Convenience")

Compliance with USAID Regulations

Because the Democracy Fellows Program and all or part of any given fellowship are funded by USAID, World Learning must comply with numerous U S Government and USAID regulations As a practical matter this means that World Learning in turn must require that individual fellows adhere to the applicable USAID policies which affect various aspects of the fellowship For example, World Learning and all Democracy Fellows are bound by the U S Government's travel rules, by limitations on appropriate fellowship activities, and by regulations governing stipends, allowances and other financial matters

Conflicts of Interest

Fellows should be aware that World Learning has several contracts, grants and cooperative agreements with USAID, and frequently competes with other organizations for new projects According to federal procurement law and USAID's rules governing fellowships, fellows are **not** permitted to be involved in any procurement activity, nor in activities which may result in procurement, such as designing a new project, writing a Request for Proposals (RFP) or Request for Applications (RFA), serving on a proposal or application review committee, etc These precautions are also necessary to avoid real or apparent **conflicts of interest**, i e , anything which would give or appear to give World Learning an unfair advantage over its competitors for a contract or cooperative agreement Fellows may properly be involved in activities which may later be used for procurement purposes, as long as the fellows are providing general advice and expertise and the activity is not directly connected to a specific procurement decision or activity

Other Attachments

Several other attachments are included with the fellowship Award Letter the Standard Terms and Conditions of the Fellowship, a detailed fellowship budget with notes explaining what is included in the various categories, a schedule of stipend payments covering the duration of the fellowship, and the fellowship program description and plan Each of these attachments is considered an integral part of the Award Letter

Standard Terms and Conditions

The nature of a fellowship is defined in this attachment to the Award Letter Fellows are not employees, contractors, or agents of World Learning, USAID, or the sponsor organization However, fellows are expected to devote their full time and effort to the fellowship Consequently, unless authorized in writing, fellows are prohibited from accepting payment from others for services rendered during the term of the fellowship, and from undertaking activities which impede the progress of the fellowship (including activities such as employment or consulting assignments)

The issue of vacation and sick or personal leave is also covered in this attachment Although fellows are not employed by the sponsor organization, they will work closely with that organization Therefore, time taken off for purposes of vacation, illness, or an emergency must be within the bounds of what is considered reasonable by the sponsor organization As a general rule, sponsors are advised that the DFP authorizes fellows to take 30 workdays of leave (whether for personal reasons, vacation, illness, religious observance, emergency, etc) during the course of a full one-year fellowship Work-weeks may vary from country to country, and leave days are pro-rated for fellowships that are longer or shorter than a full year Fellows are authorized the local national holidays as observed by the sponsor organization Since legal holidays will vary from one country to another, or possibly even from one organization to another, the DFP has not specified a holiday calendar for any fellowship Fellows are expected to coordinate closely with their respective sponsor organizations in scheduling their time off Leave arrangements other than as provided in the Award Letter must be individually negotiated by the fellow and the particular sponsor organization, and be approved by the DFP

As stated in the Standard Terms and Conditions, materials developed in the course of service as a Democracy Fellow are the property of the fellow However, because all World Learning Democracy Fellowships are supported by USAID funding, the U S Government, through World Learning, also retains the right to use, reproduce and disseminate these materials Because fellows are not representatives of World Learning, USAID or any other government entity, publications or other materials developed during or from the fellowship *must* include a prominent official disclaimer stating that *although the Democracy Fellowship is supported by USAID funds, the opinions and conclusions contained in the materials are those of the author and do not necessarily reflect the views of either USAID or World Learning*

Democracy Fellow's Budget and Award Schedule

This attachment details the stipend and allowances awarded to the fellow Some allowances will not be given directly to the fellow, but may be paid directly to a vendor on his/her behalf The amounts shown in this section are usually spending *ceilings*, i e , they are not to be exceeded by the fellow or World Learning

Travel to Fellowship Site

For most Democracy Fellows, some travel will be necessary to reach the fellowship site or country of assignment Travel to the fellowship site will (and must) be arranged by the DFP If you have seating preferences or special requirements (such as specially prepared meals), please inform DFP staff as soon as possible once a departure date has been arranged

Tickets

Tickets will be forwarded to you as soon as they are available Upon receipt of the tickets, please check the departure date and time as well as airlines and flight numbers Any problems should be reported to DFP staff immediately, please do **not** contact the travel agent directly as they will refer you back to DFP staff

Travel Advance

You will receive a travel advance for two weeks of per diem at a reduced rate to assist with settling in at the fellowship site, in federal travel jargon, this is known as the "temporary quarters subsistence allowance " This is intended to allow you to stay in a modest hotel and pay for meals at moderate restaurants while looking for more permanent housing In extraordinary cases, the DFP may authorize up to three weeks of the temporary quarters subsistence allowance

Excess Baggage

The DFP provides a modest allowance for excess accompanied baggage This allowance will be given in two installments, at the beginning and end of your fellowship It is to be used when traveling to the fellowship site and when returning home at the end of the fellowship The DFP cannot cover the costs of storing or shipping vehicles or household effects (i e , furniture, dishes, books, works of art, clothing, etc)

Transportation to and from Airports

You should be aware that the U S Government's travel regulations only permit reimbursement for costs *up to the amounts officially designated for local common transportation,* such as an airport bus or shuttle If you take a taxi or private limousine when a less expensive bus or shuttle is available, World Learning can only reimburse you for the lesser cost of the bus or shuttle

Visas

It is your responsibility to obtain the appropriate visa and/or work permit for your country of assignment or temporary visit(s) If necessary, the DFP will provide letters or other documents in support of your visa application If you have not already done so, please apply for your visa as soon as possible to avoid delaying your departure date unnecessarily Please be sure to obtain a receipt

for any visa fees so that you may be reimbursed It will also be your responsibility to obtain any required entry, exit, re-entry and/or transit visas that may be needed for travel to other countries during the course of your fellowship

Immunizations

The "Immunizations" section of this Handbook includes information from the Centers for Disease Control and Prevention This information lists required and/or recommended immunizations for the region in which you will be located In addition, advice is given on the prevention and treatment of these diseases and other discomforts associated with travel It is always a good idea to make sure that your immunizations are up-to-date before traveling to your fellowship site

The information which follows applies primarily to overseas fellows, or Washington-based Democracy Fellows who may be traveling abroad

Supplies for Medical Care and Personal Hygiene

You may want to pack enough of the following items to last until you find a local source

- aspirin or Tylenol,
- diarrhea control remedy,
- constipation control remedy,
- antibacterial cream such as "Bacitracin",
- fungal cream or fungicide,
- cotton gauze, adhesive tape and band-aids,
- starter supply of anti-malaria pills,
- antacid tablets,
- halazone tablets to purify drinking water,
- "handi-wipes" or some equivalent to clean hands,
- sanitary napkins or tampons,
- mosquito repellent,
- sun-block,
- prescription medicines (always carry them in the *original* prescription container), and
- spare eyeglasses or contact lenses (*and* your prescription)

Mail

Fellows generally should arrange for ordinary personal mail to be forwarded to their new address via international post The in-country home (or office) address of the fellow is usually the preferred address to give out to family and friends and for routine correspondence, catalogues, magazines, etc Alternatively, it may be helpful to have a family member or friend receive your mail in the United States, at least initially, so that important letters and bills can be collected and forwarded by registered post, international express delivery services, or fax The DFP office is **not** a suitable

forwarding address for fellows' personal mail It ***may*** be possible for some fellows individually to arrange for alternative mail delivery through the sponsoring USAID mission or office, e g , through the mission's Diplomatic Pouch or APO facilities (if applicable) These privileges, however, are not always available, and experience shows that such alternate mail privileges can be withdrawn without notice, thus seriously inconveniencing users

Personal Finances

Take a supply of personal checks with you from your U S bank to start a checking or savings account at your fellowship site, and for paying bills, reimbursements, etc in the United States during your fellowship Credit cards, particularly American Express, MasterCard and Visa, are useful in many countries for personal purchases, travel and cashing checks If you do not already have one or more major credit cards and want to apply for them, do so before leaving the United States It is usually much easier, faster and less expensive to apply for them here than from abroad You may also wish to arrange with your bank to pay credit card bills and mortgages or make other automatic deductions or electronic payments You may also want to leave a specific or general power of attorney with someone (e g , a relative or an attorney) For example, if you leave a car behind to be sold, a specific power of attorney for that purpose would authorize someone to sign the title transfer for you You might also consider designating the person holding your power of attorney as a signatory on a joint account

You are encouraged to designate a relative or friend to assist with personal matters that may arise while you are overseas forwarding personal mail via international post or express mail, paying bills, securing tax information you may need, and helping with any other matters that you are unable to take care of from your fellowship site DFP staff cannot handle personal affairs of this type for fellows

Guide Books

Guide books can be valuable resources for exploring and settling into a new country or region They often include chapters or articles on local history and culture, in addition to practical information such as how to use the local transportation system DFP staff have found the following books and series useful and generally reliable

- *Insight* good background on local history, culture and sites, not much practical information,
- *Time Out* offers practical information useful for settling in, sites to see, some history and culture,
- *Lonely Planet* practical information for the independent traveler on a budget, sites to see, limited history,
- *Rough Guide* practical information for the independent traveler on a budget, sites to see, limited history,
- *The South American Handbook* (for South America only) everything you need to know about South America, from history to bus lines

- *Frommer's* series Useful, at times eclectic information, more oriented to the traveler or tourist than the overseas resident, he provides trenchant commentary with a sensitivity to local cultures See also the Frommer web pages

Good places to shop for guide books in the Washington, DC, area are Borders Books & Music (1800 L Street, NW), and the Travel Books & Language Center (4931 Cordell Avenue, Bethesda -- a short walk from the Bethesda Metro station on the red line)

"Before You Go" Checklist

Below is a list of tasks which should be completed before traveling to the fellowship site

— research your fellowship site communicate with your sponsor organization, call the US Foreign Service Institute (202-647-4000) to ask about country reports or other material prepared by the State Department, check with the Peace Corps, or purchase one or more guide books,
— make sure your passport is current and will not expire within the next year,
— obtain appropriate visas,
— sign DFP Award Letter,
— obtain the necessary immunizations and have them recorded on a yellow WHO card (available from traveler's clinics),
— obtain extra eyeglasses, contact lenses, or prescription medicines,
— if possible, obtain from your sponsor organization an address and telephone number where you can be reached during your first week or two in-country and leave this information with family and DFP staff,
— file a change of address notice with your post office, friends, creditors and any publications you receive regularly,
— set up a U S bank account and give at least 18 deposit slips (more if fellowship requires frequent travel) to DFP staff,
— complete DFP forms DFP Payment Authorization, Fellow's Emergency Contact Information, DFP Financial Information Release Form, Computer Equipment Sign-Out Form and Receipt,
— renew your driver's license if it will expire in the next year (international licenses are available from AAA),
— see a tax advisor or accountant regarding special requirements for filing taxes while on a fellowship overseas,
— obtain the necessary forms for filing tax returns during your fellowship (the U S Embassy can help obtain forms, too, but they may take months to arrive),
— **in your carry-on bag,** pack all important and legal documents (including tax forms) as well as medicines you will need overseas,
— bring a list of all addresses and telephone numbers you will need to manage your personal affairs from overseas, and
— contact your local elections board to find out the procedure for receiving and casting absentee ballots in both federal and state/local elections

"After You Arrive" Checklist

Following is a list of things to be done upon arrival at the fellowship site

— notify family, close friends and DFP staff where and how to reach you (at hotel, office, etc) until further notice (remember to do this again if your address changes),
— visit the U S Embassy or consulate to register with U S authorities (very useful in case of emergencies such as lost passports or evacuations), and to find out about visas and exit permits (if needed),
— take steps to comply with local laws about foreign residents (this could include applying for a resident visa or registering with the appropriate government ministry), and
— if permanent housing has not already been arranged, find out about housing options as soon as possible, sources of information include personal contacts, bulletin boards at USAID, international NGOs, realty agents and local newspapers

Immunizations for Travel

Depending on where you will travel during your fellowship, immunizations against particular diseases may be required or recommended Please be aware that the DFP will reimburse you for immunizations only if they are required for entry into the country where you will serve your fellowship or if your sponsor organization requires or strongly recommends them While you may visit the doctor or clinic of your choice for these services, World Learning uses the following clinics in Washington, DC

Farragut Medical and Travel Care
815 Connecticut Avenue, NW
Washington, DC 20006
(near Farragut North and Farragut West metro stations)
phone 202-775-8500

Hours
Monday, Tuesday, Thursday 10 00 a m to 5 00 p m
Wednesday, Friday 10 00 a m to 3 00 p m
Saturday 10 00 a m to 2 00 p m

Immunizations can be administered with or without an appointment

or

George Washington University Hospital Travelers' Clinic
22nd & I Streets, NW
Washington, DC 20037
phone 202-994-8466

Hours
Monday - Friday (call for appointment)

CDC Travel Information

Food and Water and Traveler's Diarrhea

Date last rev'd July 12, 1996

Contaminated food and drink are the major sources of stomach or intestinal illness while traveling Intestinal problems due to poor sanitation are found in far greater numbers outside the United States and other industrialized nations

WATER

In areas with poor sanitation only the following beverages may be safe to drink Boiled water, hot beverages, such as coffee or tea, made with boiled water, canned or bottled carbonated beverages, beer, and wine Ice may be made from unsafe water and should be avoided It is safer to drink from a can or bottle of beverage than to drink from a container that was not known to be clean and dry However, water on the surface of a beverage can or bottle may also be contaminated Therefore, the area of a can or bottle that will touch the mouth should be wiped clean and dry Where water is contaminated, travelers should not brush their teeth with tap water

TREATMENT OF WATER

Boiling is the most reliable method to make water safe to drink Bring water to a vigorous boil, then allow it to cool, do not add ice At high altitudes allow water to boil vigorously for a few minutes or use chemical disinfectants Adding a pinch of salt or pouring water from one container to another will improve the taste

Chemical disinfection can be achieved with either iodine or chlorine, with iodine providing greater disinfection in a wider set of circumstances For disinfection with iodine use either tincture of iodine or tetraglycine hydroperiodide tablets, such as, Globaline*, Potable-Aqua*, and others

These disinfectants can be found in sporting goods stores and pharmacies Read and follow the manufacturer's instructions If the water is cloudy then strain it through a clean cloth, and double the number of disinfectant tablets added If the water is very cold, either warm it or allow increased time for disinfectant to work

CDC makes no recommendation as to the use of any of the portable filters on the market due to lack of independently verified results of their efficacy

As a last resort, if no source of safe drinking water is available, tap water that is uncomfortably hot to touch may be safer than cold tap water, however, many disease-causing organisms can survive the usual temperature reached by the hot water in overseas hotels, and boiling or proper disinfection is still advised

FOOD

Food should be selected with care Any raw food could be contaminated, particularly in areas of poor sanitation Foods of particular concern include salads, uncooked vegetables and fruit, unpasteurized milk and milk products, raw meat, and shellfish If you peel fruit yourself, it is generally safe Food that has been cooked and is still hot is generally safe

For infants less than 6 months of age, breast feed or give powdered commercial formula prepared with

boiled water

Some fish are not guaranteed to be safe even when cooked because of the presence of toxins in their flesh Tropical reef fish, red snapper, amberjack, grouper, and sea bass can occasionally be toxic at unpredictable times if they are caught on tropical reefs rather than open ocean The barracuda and puffer fish are often toxic, and should generally not be eaten Highest risk areas include the islands of the West Indies, and the tropical Pacific and Indian Oceans

TRAVELER'S DIARRHEA

The typical symptoms of traveler's diarrhea (TD) are diarrhea, nausea, bloating, urgency, and malaise TD usually lasts from 3 to 7 days It is rarely life threatening Areas of high risk include the developing countries of Africa, the Middle East, and Latin America The risk of infection varies by type of eating establishment the traveler visits - from low risk in private homes, to high risk for food from street vendors TD is slightly more common in young adults than in older people, with no difference between males and females TD is usually acquired through ingestion of fecally contaminated food and water

The best way to prevent TD is by paying meticulous attention to choice of food and beverage CDC does not recommend use of antibiotics to prevent TD because they can cause additional problems themselves

Bismuth subsalicylae, taken as an active ingredient of Pepto-Bismol* (2 oz 4 times daily, or 2 tablets 4 times daily), appears to be effective preventative agent for TD, but is not recommended for prevention of TD for periods of more than three weeks Side effects include temporary blackening of tongue and stools, occasional nausea and constipation, and rarely, ringing in the ears Bismuth subsalicylate should be avoided by persons with aspirin-allergy, renal insufficiency, gout, and by those who are taking anticoagulants, probenecid, or methotrexate It is important for the traveler to consult a physician about the use of bismuth subsalicylate, especially in children, adolescents, and pregnancy

If you do become ill with traveler's diarrhea, it is usually self-limited and treatment requires only simple replacement of fluids and salts lost in diarrheal stools This is best achieved by use of an oral rehydration solution such as World Health Organization Oral Rehydration Salts (ORS) solution ORS packets are available at stores or pharmacies in almost all developing countries ORS is prepared by adding one packet to boiled or treated water Packet instructions should be checked carefully to ensure that the salts are added to the correct volume of water ORS solution should be consumed or discarded within 12 hours if held at room temperature, or 24 hours if held refrigerated

Iced drinks and noncarbonated bottled fluids made from water of uncertain quality should be avoided Dairy products can aggravate diarrhea in some people and should be avoided

Bismuth subsalicylate preparation (1 oz of liquid or 2 262 5 mg tablets every 30 minutes for eight doses) decreases the rate of stooling and shortened the duration of illness in several studies

Treatment was limited to 48 hours at most, with no more than 8 doses in a 24-hour period There is concern about taking, without supervision, large amounts of bismuth and salicylate, especially in individuals who may be intolerant to salicylates, who have renal insufficiency, or who takes salicylates for other reasons Travelers should consult their physicians before using this or any other medications

Antidiarrheals, such as Lomotil* or Immodium*, can decrease the number of diarrheal stools, but can cause complication for persons with serious infections These drugs should not be used by anyone with a high fever or blood in their stools

Antimicrobial drugs such as doxycycline, trimethoprim/sulfamethoxazole (Bactrim™ , Septra™), and fluroquinolones (ciprofloxacin and norfloxacin) may shorten the length of illness Consult your physician for prescriptions and dose schedules

It is important for the traveler to consult a physician about treatment of diarrhea in children and infants, because some of the drugs mentioned are not recommended for them The greatest risk for children and especially infants is dehydration Dehydration is best prevented by use of WHO ORS solution in addition to the infant's usual food ORS packets are available at stores or pharmacies in almost all developing countries ORS is prepared by adding one packet to boiled or treated water The dehydrated child will drink ORS avidly, ORS is given *ad lib* to the child as long as the dehydration persists The infant who vomits the ORS will usually keep it down if the ORS is offered by spoon in frequent small sips Packet instructions should be checked carefully to ensure that the salts are added to the correct volume of water Breast-fed infants should continue nursing on demand For bottle-fed infants, full-strength lactose-free, or lactose-reduced formulas should be administered Older children receiving semi-solid or solid foods should continue to receive their usual diet during diarrhea Immediate medical attention is required for the infant with diarrhea who develops signs of moderate to severe dehydration, bloody diarrhea, fever in excess of 102° F degrees, or persistent vomiting While medical attention is being obtained, the infant should be offered ORS

Most episodes of TD resolve in a few days As with all diseases it is best to consult a physician rather than attempt self-medication, especially for pregnant women and children Travelers should seek medical help if diarrhea is severe, bloody, or does not resolve within a few days, or if it is accompanied by fever and chills, or if the traveler is unable to keep fluids intake up and becomes dehydrated

* The use of tradenames is for identification only and does not imply an endorsement by the Public Health Service or the U S Department of Health and Human Services

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CDC Travel Page

Division of Quarantine
National Center for Infectious Diseases
Centers for Disease Control and Prevention
Atlanta, GA

HTML Updated Friday, October 18, 1996

Financial Procedures and Requirements

⇒ Overseas fellows **must** have a bank account in the United States to receive your stipend and allowance checks as well as travel advances and reimbursements Please be sure to provide DFP staff with the following information name, address and phone number of your U S bank, account number, and your name as it appears on your account records Leaving a supply of deposit slips with DFP staff will also help us make sure your checks are deposited correctly You should then open a local bank account or make comparable arrangements in your country of assignment where you can cash your personal checks

⇒ A check (in U S dollars) will be mailed to your U S bank account at the end of each month An e-mail message will be sent to the fellow confirming that the check has been mailed This check will include your monthly stipend and applicable allowances (please refer to your payment schedule for details of each check) Your first payment, which will be different, is discussed below

⇒ The first stipend/allowance check you receive will include your monthly stipend and your outbound excess baggage allowance You will receive half of the total baggage allowance at the beginning of the fellowship and half at the end

Note Allowances covering passport and visa fees, or required immunizations or physical exam can only be paid after receipts are submitted to DFP staff

⇒ *All fellowship travel that involves international travel or an overnight stay must be approved in advance by DFP!* This USAID requirement applies to both overseas and U S - based fellows, and also points out one of the important advantages of each fellow developing a mutually agreed fellowship travel plan

⇒ The following system has been established to facilitate the approval and funding process for fellowship travel, and to ease potentially frustrating administrative requirements

- Fellows should remember that DFP approval is required for all travel Until DFP approval is granted, airline or other tickets should **not** be purchased, nor should any money be spent to cover other travel-related expenses (such as visas) If the travel is not approved, the fellow will not be reimbursed for those expenses

- Travel arrangements -- such as airline tickets -- for fellows located in the United States will be made by the DFP through World Learning's travel agent Such arrangements for fellows located in other countries will be the responsibility of the individual fellow

- To make sure that the travel is in compliance with U S Government regulations (and to make sure the travel advance covers the correct expenses), the fellow must provide World Learning with certain information prior to receiving a travel advance Fellows may send this information to the DFP office by e-mail or fax, whichever is most convenient

    - purpose of travel,
    - dates of travel,
    - itinerary (for overseas fellows only, itinerary must include scheduled departure and arrival dates and times, airlines, class of service and price of ticket), and
    - all anticipated costs **except** per diem

- In general, fellows will receive a travel advance to cover most (but likely not all) of their travel costs (Standard regulations generally limit travel advances to 80 percent of the expected expense, exclusive of actual airfare/ticket costs) This advance will be in the form of a check mailed to the fellow's U S bank account An e-mail message or fax will be sent to the fellow confirming that the check has been mailed, as well as the amount of the check and applicable per diem rates

- Checks for travel advances are issued in the Washington office once a week, usually on Friday In order to have a check issued and mailed to the fellow's bank on Friday of any given week, DFP staff must receive the above information by close of business (Washington time) on Tuesday of that week This will allow time for DFP and World Learning staff to process the request

- A trip expense report must be completed and sent to DFP staff within five business days of the conclusion of travel You may fax the report with copies of the receipts as long as the originals are on the way **Note** If you do not submit timely expense reports, you cannot receive future travel advances Full instructions for completing and submitting trip expense reports are provided in the "Trip Expense Report" section of the Handbook Follow these instructions carefully If your expenses are higher than your travel advance, a check will be mailed to your bank If you have money left over from your trip, it must be returned to World Learning Regulations preclude "saving" excess travel advances for the next trip, and require withholding reimbursements if there are outstanding travel advances

⇒ Please remember that you have a limited budget for travel -- you will not be allowed to exceed the amount stipulated in your Award Letter

⇒ Funds for counterpart development will be advanced to you on an as-approved basis As with travel funds, counterpart development funds must be requested from DFP staff After the request is approved, a check will be mailed to your bank Receipts must be sent to DFP staff before future requests will be approved

Program Travel

The U S Government travel rules apply whenever a fellow undertakes domestic or international travel using funds provided in whole or in part by the U S Government Since USAID has provided some level of funding for virtually all Democracy Fellows' trips, the Federal Standard Travel Regulations apply It does not matter that the fellow is not a government employee or contractor, nor does it matter that the fellow may be able to obtain less expensive travel by doing something other than what the travel regulations require

The requirements set out below address the most common situations that arise with fellows' programs While the list is by no means exclusive, it is important and each fellow will be required to adhere to these requirements **Fellows must obtain DFP approval for *all* travel, in advance** This is to ensure compliance with the applicable regulations and to try to prevent fellows from ending up in situations where they will be held financially liable for noncompliance With this in mind, World Learning has established certain procedures which fellows must follow in order to receive DFP approval for travel (These procedures are listed in the "Financial Procedures and Requirements" section of the Handbook)

Democracy Fellows will usually have at least three types of travel allowances

* personal travel from the fellow's domicile to the fellowship location, and return at the conclusion of the fellowship,
* program travel during the fellowship itself (intended to fulfill the specific purposes of individual fellowship program descriptions), and
* travel to and from the Democracy Fellows Conference

Particular fellowships may have additional or different travel allowances, but all are governed by the same two overriding rules

* federal travel regulations apply, and
* the DFP must approve all international and overnight travel in advance

General provisions of the travel regulations include the following

- All international and overnight travel (i e , any travel that involves a transportation or per diem expense) must be approved by the DFP in advance For "fellowship program travel," the DFP will ordinarily require the fellow to obtain the concurrence of the sponsor organization (e g , USAID) before submitting the travel request to the DFP The DFP may at times require the fellow to justify the travel and explain how it will help to achieve the goals and objectives of the fellowship program description, and/or of the overall DFP itself This is particularly likely if the travel in question was not included in the fellow's program description (In such instances, moreover, USAID requires additional approvals by USAID/Washington offices)

- All travel expenses MUST be documented with written receipts in order to clear the travel advance and/or to avoid personal responsibility for these costs The only exception to the "written receipt" rule is for items other than lodging which are covered by the *per diem* allowance (See next paragraph for details)

- The term *per diem* refers to a daily amount that is authorized for each day of approved travel (or portion of a day, for the period that a fellow is en route to or from an approved destination) Per diem consists of two parts (i) lodging costs, and (ii) other expenses, also called "M&IE," referring to "Meals and Incidental Expenses" "Incidental Expenses" include, but are not limited to, fees and tips to porters, baggage carriers, hotel maids, stewards, etc , cleaning and pressing of clothes, transportation between places of lodging or business and places where meals are taken, bottled water, and telephone calls to arrange lodging or for other personal business Incidental Expenses do not include taxis, buses, etc , for which you must obtain separate receipts

- Per diem rates are updated periodically to take into account changes in various local costs Although updates are issued monthly, all rates do not necessarily change each month The rate for a particular location may remain the same for several months or even years before being revised Monthly updates are often not available at the beginning of the month in which they take effect, however, newly updated per diem rates still apply to travel taking place during that month, even if the travel began the previous month under the old per diem rate

- M&IE is allowed on a daily basis at a flat rate set for each specific locale Fellows do not need to supply individual receipts to receive this portion of the per diem allowance, but must submit the required trip expense report to claim these expenses and/or to account for any travel advances (see the section "Trip Expense Reports" in the Handbook) M&IE is pro-rated for partial days of travel and may be reduced if meals are provided to the traveler

- All lodging expenses, on the other hand, must be supported by written receipts for each day of approved travel, and will only be reimbursed up to the lower of (i) the actual lodging expense or (ii) the amount specified in the federal travel regulations for that locale The maximum amount reimbursable for lodging expenses will always be limited to the amount authorized in the regulations for the period of the fellow's travel

- The term "lodging expenses" refers only to the actual charge for the accommodations, and does not include telephone, room service, laundry, or similar personal charges (These are M&IE charges) A fellow will not be able to claim lodging charges for staying with family, friends, etc , during an authorized trip, nor for so-called "compensatory" expenses such as taking a host out to dinner or giving a "house-keeping gift" to someone who provides no-cost lodging It makes no difference that such private arrangements might save the government and the DFP money by providing a lower cost alternative to hotel lodging The DFP is obliged to require a paid lodging receipt and can only approve the lodging component of per diem based on such a receipt If a private host charges a fellow a lodging fee and issues a written receipt for those charges, those lodging expenses may be reimbursed up to the allowable amount of the lodging

component for that locale The DFP always encourages fellows to use low-cost, safe and reasonably convenient lodging to the greatest possible extent This will not only save money, but will also help to stretch the fellowship travel budget

- In general, the federal travel regulations only permit reimbursement of actual ground transportation charges (with written receipts), up to the amounts officially designated for local common transportation such as an airport bus or shuttle The regulations do not cover excess expenses for private taxis, rental cars, limousines, etc Nor do they permit a fellow to claim ground transportation expenses if s/he is provided no-cost transportation (e g , by a friend, relative, hotel, government vehicle, etc)

- **All airline travel must be on U.S. flag carriers** to the maximum extent possible It does not matter that a foreign airline may have a more convenient schedule, or a more direct or non-stop route Nor does it matter that a foreign airline may be cheaper or may offer a discount, better seating, quicker connections, etc If a U S carrier can get you there in a reasonable time and by a reasonably direct route, travel must be booked on a U S airline

Decisions as to "the maximum extent possible," "reasonable time," etc., must be made by the DFP staff, rather than by the individual Democracy Fellow or the sponsoring organization, including a USAID office or mission. The DFP in turn must request approval from the USAID Management Bureau in Washington for any proposed deviation from the applicable travel regulations. Experience shows that waivers have never been granted to any Democracy Fellow, as USAID rarely if ever grants such exceptions.

- Although it may seem obvious, the definition of a "U S flag carrier" can be somewhat confusing where partnerships between U S and foreign airlines are involved For example, Northwest (U S) and KLM (Dutch) have a partnership in which a flight to Amsterdam is operated by KLM, and both Northwest and KLM can sell tickets for that flight However, in order for it to be considered a flight on a "U S flag carrier" (and thus allowable under federal travel regulations), **the ticket must be purchased from and issued by the U S airline,** in this case, Northwest If the ticket is purchased from and issued by the foreign airline partner (KLM), it is **not** allowable under federal travel regulations The fellow who purchased the ticket **cannot** be reimbursed This is particularly important for overseas fellows to remember, since they will be making their own travel arrangements through travel agents who will probably not be familiar with these regulations When in doubt, please ask the DFP staff for advice before making any financial commitments or firm travel plans

- All travel must be booked at the lowest available economy coach class fare This also means that the fellow ordinarily will only be entitled to the particular airline's coach class baggage allowance Sometimes the "lowest available coach class" requirement will result in the issuance of restricted tickets which cannot be exchanged or modified, or which can only be

exchanged upon payment of additional fees Sometimes this will mean that travel will be delayed because only first class or business class tickets are available Any layovers, side-trips, seating upgrades, excess baggage charges, etc that a fellow may seek will be entirely at the expense of the individual fellow

- Many airlines *strictly* limit the weight and/or the number of pieces of luggage or other belongings that passengers are permitted to carry or check on a flight These baggage allowances are usually based on the class of ticket the passenger holds Excess baggage expenses are the personal responsibility of each fellow, and can be quite exorbitant on some routes and for some countries A small excess baggage allowance is provided to each fellow for his/her original outbound travel to the fellowship site, and his/her return travel at the conclusion of the fellowship, to assist with any excess baggage charges that may be imposed

- Fellowship travel of any type must be accomplished by the most direct route and method of transport If the fellow deviates from this requirement, it must be at the fellow's personal expense The applicable travel regulations contain voluminous detailed standards for airport and airline connections, ground transportation, layovers, re-routings, travel delays, etc The DFP does not expect individual fellows to become experts in this intriguing collection of rules, but World Learning will adhere to these standards in approving or disapproving travel requests and trip expense reports

- Please note that these regulations cannot be waived by World Learning the DFP, nor by the sponsor organization, *including* local USAID missions or offices Additionally, the fact that the fellow may pay the difference for a routing or seating change does not relieve the fellow or the DFP of the obligation to fly U S carriers to the maximum extent possible Again, when in doubt, please ask for assistance before making any financial commitments or firm travel plans

- Travel allowances are for the fellow's individual travel only Funds cannot be used by others, "shared" with other fellows, "turned over" to others (including the sponsor organization), etc Fellowship allowances are not transferable

Trip Expense Reports

Trip expense reports serve an important function they allow the DFP to monitor expenditures against your limited travel budget In general, you will be given some money in advance of each trip, the amount you receive is referred to as a "travel advance" and may be limited to 80 percent of the expected travel expenses, excluding airfares/ticket costs, which are normally advanced in full The travel advance is only an estimate of your expenses since the trip hasn't taken place when the travel advance is calculated The trip expense report details how much of your advance was actually used If you spent less money than World Learning gave you for the advance, you will need to return the excess If you spent more, World Learning will reimburse you for the approved difference

Please be aware that a trip expense report must be completed for each of your fellowship-related trips and is due **within five business days of your return from a given trip.** World Learning's Finance division allows Democracy Fellows to receive advances for future trips before expense reports from previous trips have been submitted or fully processed However, if you repeatedly fail to submit trip expense reports in a timely manner, **this privilege will be revoked.** In other words, if you do not submit trip expense reports on time and do not completely "clear" your travel advances by returning unused funds following your trip, you will not receive money in advance of future trips

It is acceptable to fax the completed trip expense report forms with copies of all receipts as long as the original documents are on the way If you are due to receive a reimbursement from World Learning for that trip, a check will be issued based on the faxed copies

In your Handbook, you will find a sample completed trip expense report as well as a blank form for your use (photocopy as needed) The sample report shows what the form should look like when you complete it Please use it as an example the first few times you complete a trip expense report Below are some things to keep in mind when completing the report

DO

- ✓ Complete and submit your trip expense report within five business days of your return from the trip Remember that faxing the report with receipts is acceptable
- ✓ Use ink Trip expense reports completed in pencil will not be accepted
- ✓ Print or type as neatly as possible Handwritten reports are acceptable as long as they are legible (Please!)
- ✓ Include all receipts with the report Receipts are required for nearly all expenses, food and incidentals covered by per diem are the only exceptions (see the "Program Travel" section for a list of incidental expenses) When in doubt, **get a receipt**
- ✓ If a receipt is lost or if it was not possible to obtain one, prepare a memo detailing why a receipt is not available, the amount of the expense, and the purpose of the expense (for example, a taxi ride from USAID to a meeting at an NGO) Without such a memo, **your expense report will not be processed**

✓ Number your receipts This makes the report much easier to review
✓ Make photocopies of the blank trip expense report form if necessary
✓ Keep a copy of your completed trip expense report forms and all receipts (After all, things are occasionally lost in the mail)

DON'T
✗ Use white-out Any reports with white-out will be returned to you
✗ Write *anything* in the spaces provided for account codes This will earn you a prominent place on the official "List of Least Favorite Fellows "
✗ Write lengthy explanations of expenses on the trip expense report form itself It only makes the report harder to read If you feel the need to explain a particular expense, please do so on a separate sheet of paper
✗ Continue page 3 ("Detail of Expenses") on a blank piece of paper -- instead, photocopy page 3 by itself and attach it to the rest of the report

Below are detailed instructions for completing a trip expense report, beginning with page 2, "Trip Expense Report/Itinerary/Exchange Rates " (Page 1 is the summary page and will be completed last If this seems strange, remember that this form was designed to be easy to review, not easy to fill out ☺☺) Please read and follow the instructions carefully **Incomplete or incorrectly completed reports will be returned to you**

Complete Travel Itinerary (Page 2)

Itinerary and exchange rate information is recorded on page 2 of the trip expense report Write your name and dates of travel on the lines at the top of the page and go to the "Complete Travel Itinerary" section

This section is used to compare the reality of your trip to the estimate provided by the itinerary you received from a travel agent when you purchased the tickets If all of your planes, trains, buses, etc , departed and arrived on time and if you didn't take any side trips which are not listed on your itinerary, you may write "See attached itinerary" at the top of the section and include a copy of your itinerary with the report However, if one or more of the vehicles you traveled in were significantly delayed, or if you spent at least one night in a location which is not on your itinerary, you should complete this section with the actual departure and arrival times for each location

For example, according to your itinerary, you were supposed to depart Dar es Salaam, Tanzania, at 10 30 a m and arrive in Nairobi, Kenya, at noon However, for some reason, the flight was rescheduled for that evening at 9 00 p m Therefore, in the "Complete Travel Itinerary" section, you will write that you left Dar es Salaam at 9 00 p m (Note please use local times in all reports)

Another example In Dar es Salaam you found out about an NGO in Arusha and visited it while you were in the country Since you were not able to go there and back in one day, you spent the night in Arusha Therefore, in the "Complete Travel Itinerary" section, you will include Arusha as a location you visited, noting the departure and arrival times Because per diem rates are often

different for cities outside the capital in any given country, you must provide this information for each city visited to ensure accurate calculation of your per diem allowance

When completing this section, begin with the "Location" column on row 0 (two lines down from the word "Location")

- Write your location at the beginning of the trip, for example, if you're traveling from Nairobi, Kenya, to Dar es Salaam, Tanzania, and back to Nairobi, you should write "Nairobi, Kenya" on row 0 in the "Location" column
- Write the date and time of your departure from Nairobi in the appropriate columns on row 0

Next, go to the far left-hand side of the page and find the "Airline" column and row 1

- Write the name of the air or rail service you used, such as Delta, Kenyan Airlines, etc on row 1 in the "Airline" column
- Write the flight or train number in the next column
- Next, write the date and time of your arrival in the appropriate columns
- On row 1 in the "Location" column, write the destination of that flight (continuing with the previous example, Dar es Salaam, Tanzania)

To record your departure from the location you just wrote down, continue on row 1, then return to the far left-hand side of the page to record your arrival at your destination

- In the "Departure Date and Time" columns, record the date and time you left the location you listed on row 1 (in this case, Dar es Salaam)
- On row 2 in the "Airline" column, write the name of the airline you used when departing the location listed in the previous row (Dar es Salaam) Write the flight number in the appropriate column
- In the "Arrival Date and Time" columns, write the date and time you arrived at your destination (in this case, Nairobi)
- In the "Location" column, write your destination (Nairobi)

If your trip included several stops, continue to enter them in the same manner Use the right side of the itinerary chart for departures and the left side for arrivals

If you traveled by car, make a note to that effect in the "Airline" and "Flight #" columns Please estimate as closely as possible the departure and arrival times, since this information is important for calculation of your per diem allowance

Currency Exchange Rates (Page 2)

After you've recorded your complete itinerary, go on to the "Currency Exchange Rates" section at the bottom of page 2 There you will see an example for filling out that section It should be self-explanatory

When you exchange money, you must obtain a receipt showing the exchange rate and the date of the transaction **Save that receipt!** If it is not included with your trip expense report -- for whatever reason -- World Learning must use the rate published in the *Wall Street Journal* to convert your local currency expenses to U S dollars (see below for credit card expenses) It does not matter if you wrote the exchange rate down on the report but forgot to include the receipt It does not matter if an immigration official or your hotel takes the receipt and doesn't give it back Anytime the receipt is missing, the rate in the *Journal* must be used It also will not make a difference if you find the receipt and submit it later on World Learning **cannot** later re-calculate your expenses

You may find that it is easier and more convenient to pay for some expenses (such as lodging) with a credit card instead of carrying cash or traveler's checks If you use a credit card to pay for expenses in a currency other than U S dollars, you must include with your trip expense report a copy of your credit card statement showing the expenses in U S dollars The reason for this requirement is simple World Learning does not want to short-change you (or over-pay you, either) Since the exchange rate used by your bank will be different from both the rate you could get by exchanging money locally and the rate published in the *Wall Street Journal*, it is more accurate to use the U S dollar amount that appears on your credit card statement This requirement also applies to purchases made with ATM cards or "checkcards" In that case, though, the document submitted would be the bank statement showing the expenses in U S dollars

If you do not wish to submit your bank or credit card statement, you must submit a signed statement declaring that you are willing to accept reimbursement of a credit card expense based on the rate published in the *Wall Street Journal*, and that you will not seek reimbursement for any difference that may be apparent once you receive your bank or credit card statement

Detail of Expenses (Page 3)

Page 3 of the trip expense report is where all of your expenses are listed It is divided into four sections "Per Diem/M&IE and Lodging," "Transportation Costs," "Communication," and "Other Expenses"

The first section, "Per Diem/M&IE and Lodging," is where hotel or other lodging expenses and meals and incidental expenses (M&IE) are recorded M&IE will be calculated by DFP staff, so please leave that column blank

Under "Transportation Costs," you should report expenses such as plane, train and bus tickets or taxis Note the "# of Miles" and "Mileage Rate" columns are used only to compute reimbursement for use of a personal vehicle You will probably not have this type of expense during the term of your fellowship If you do, please remember to write the distance in *miles*, not *kilometers*

The "Communication" section is for expenses such as phone calls or faxes In general, these expenses are considered part of the "incidental expenses" covered by the M&IE part of your per diem Significant expenses could be reported under "Communication" (for example, a local

telephone call made from your hotel room would be part of M&IE, as would a long-distance personal call, but a 20-minute long distance call to your sponsor organization would be reported under "Communication")

The last section, "Other Expenses," is exactly what the name implies Any expenses which are not included under any of the other sections are reported here Examples of such expenses are visa fees, departure taxes or airport service charges, and commission on exchanging money Note tips to porters, taxi drivers, or other service personnel should not be reported here since those are incidental expenses and are covered by your per diem

There are two columns in each section which you will never need to complete "CC Exp" and "Account Number to Charge" "CC Exp" means "corporate card expense" Since you will not have a World Learning corporate credit card, you should leave this column blank Likewise, you will not have access to World Learning's account numbers, so you should also leave that column blank

Once you know which kind of expenses go in each section, completing page 3 is not difficult

- The date of the expense goes in the far left-hand column
- In all sections except "Per Diem," a description of the expense belongs in the next column In the "Per Diem" section, write the name of the location in the next column
- Next, write the amount of the expense in **U S. dollars** in the "Total Expense" column Again, the "Per Diem" section is a little different write the **daily** lodging cost in the "Lodging" column Write the number of days (nights) you paid that rate in the next column Calculate the total and write it in the "Total Expense" column
- A note about converting expenses to U S dollars If you exchanged money more than once during your trip, you may have received a different rate each time In this case, convert your expenses to U S dollars using the rate you received just prior to incurring the expense For example, during your trip to Tanzania, you exchanged money twice On March 22, you received a rate of 520 Tanzanian shillings = US$1 The second time, on March 24, you exchanged money at a rate of 500 shillings = US$1 Expenses paid in Tanzanian shillings on March 22 and 23 will be converted at 520 shillings = US$1, while those paid from March 24 until the end of your trip will be converted at 500 shillings = US$1, provided you have currency exchange receipts
- Don't forget to write the number of each receipt in the far right-hand column
- Total the expenses in each section (except "Per Diem"), note the total in the appropriate block

At this point, the detailed parts of the trip expense report are complete Now turn to page 1

Summary of Expenses (Page 1)

Page 1 of the trip expense report is the summary page In the upper left-hand corner, you will see lines for your name, what to do with any money World Learning might owe you, purpose of travel, and travel period

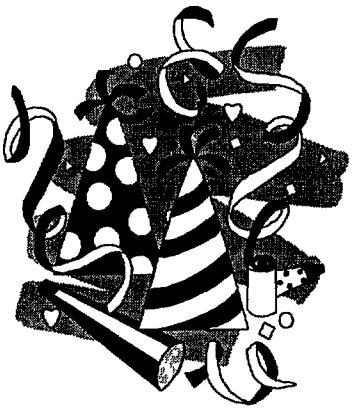
- The "Name" line should be self-explanatory
- On the line labeled "Mail payment to," you will always see "Jennifer McCaskill, PIDT " This was done to make sure your check is forwarded to the DFP for proper processing If your reimbursement check should be sent to a different address than your stipend checks, please indicate that information on a separate piece of paper **DO NOT** write the name of a bank on the "Mail payment to" line! Your check would be mailed directly to the bank with no account information and no deposit slip It is unlikely that the check would be deposited (correctly or otherwise) under such circumstances
- The lines for "City/State/Postal code" and "Special instructions" should be left blank
- On the "Purpose of travel" line, write the reason for your trip For example, you are based in Nairobi, Kenya, but needed to spend a couple of weeks working with an NGO located in Dar es Salaam, Tanzania. The purpose of your travel would be "to work with NGO in Dar es Salaam, Tanzania "
- "Travel period" refers to the dates of your trip On this line, write the date you began your trip and the date your trip ended

In the lower left-hand corner of page 1, you will see a grid labeled "Account Distribution Summary " Please leave it **totally blank** It will be completed by DFP staff

Continuing with the top right-hand side of page 1, please write the appropriate information on the "Date submitted" and "Traveler's signature" line Leave the other three lines blank These will be completed by World Learning staff **Note:** your contact person at your sponsor organization is **not** your supervisor, therefore s/he should **not** sign the "Supervisor's approval" line

Looking down the right-hand side of page 1, you will see a box labeled "Expense Report Summary " The first line in the box is labeled "Total expenses " Leave it blank, it will be filled in by DFP staff when your per diem is calculated On the next line, write the amount of the travel advance you received for the trip The next line is for corporate credit card expenses, leave it blank Also leave the "Due from/to World Learning" line blank It will be calculated and filled in by World Learning staff

The trip expense report forms, all supporting receipts and any memos you would like to include must be sent to the DFP office in Washington Please remember to **keep your own copy** of the report and all attachments including receipts, memos, handwritten notes, etc If the report is lost in transit, you will be asked to send photocopies to replace the original documents Please notify us by e-mail when the package was sent, as well as which service was used for delivery (regular mail, UPS, Federal Express, etc) We will let you know as soon as it arrives in our office You will also be informed of any changes made to the report, who owes money to whom, and the amount owed If you owe any money, you will be asked to send a check to the DFP office for the correct amount (payable to "World Learning" and drawn on your U S bank account)



Congratulations! You've just completed your trip expense report!

IRS Regulations Concerning Fellowships

The Internal Revenue Service (IRS) provides specific treatment of *bona fide* fellowships and a fellow's stipend and allowances The IRS distinguishes fellowships from employment, and fellows from employees, contractors, consultants or others who receive fees for services However, the IRS nonetheless treats Democracy Fellows in many respects as if they were independent contractors The IRS thus considers as taxable most amounts paid to you -- or paid on your behalf -- in this fellowship This "income" in turn, is subject to various deductions and offsets, e g , for the fellow's allowable business expenses Each fellow is responsible for obtaining his/her own professional advice concerning income taxation and other tax liabilities DFP staff cannot give advice to fellows regarding income taxes or preparation of tax returns

Depending on a fellow's particular circumstances, part or all of the funds paid under the Democracy Fellowship will be deemed taxable to the individual fellow For your additional information, IRS Publication 520, *Scholarships and Fellowships*, will be distributed during orientation It covers the IRS rules and regulations regarding the taxation of fellowship stipends and allowances, and how to report them It also addresses how you may possibly deduct fellowship expenses on your income tax returns

World Learning keeps track of the amounts paid to each fellow for stipends, allowances, travel funds, etc At the end of each calendar year, World Learning reports these amounts to the IRS on Form 1099 A copy of this form will be provided to the fellow as well Fellows are responsible for filing the appropriate tax returns with the IRS Please note that tax payments are **not** withheld from any payments for fellowship stipends, allowances, or other funds This may require you to file Quarterly Estimated Taxes with the IRS and/or your state and local tax authorities

For information on taxation of U S citizens working outside the United States, fellows are encouraged to obtain and consult IRS Publication 54, *Tax Guide for U S Citizens Working Abroad*, and IRS Form 674, and to seek competent professional tax advice as necessary

Computers and Communications

Democracy Fellows serve in many different countries, and may be quite distant from each other and the DFP Often there will be only one fellow in any given country The great distances between individual fellows and between fellows and the DFP office in Washington can lead to feelings of isolation and frustration To improve this, the Democracy Fellows Program has made it possible for fellows to communicate with each other and with the DFP staff through e-mail Fellows can use this valuable tool to share problems, solutions, gripes, bright ideas and the experience of living and working in another culture

Each fellow will have access to a computer and a modem (or network with Internet e-mail) If an e-mail account is not provided by the sponsor organization, the fellow is responsible for obtaining one There may be a local service provider which can be accessed directly, through your sponsor organization, or through other organizations The DFP generally will reimburse the fellow for the costs associated with the account such as monthly fees and reasonable charges for time spent on-line

DFP staff expect to communicate with fellows primarily through e-mail (see below for "Tips for Using E-mail Effectively") Please inform the DFP of your e-mail address once you arrive at your at your fellowship site by sending a message to us at **dem.fellows@worldlearning org** If from time to time you experience difficulty in sending messages to that address, the message may be sent to **demfellows@aol com**

Computer Care and Maintenance

Since computers have become part of our daily lives, fellows are probably familiar with the basics of computer care and maintenance Instructions such as "don't spill beverages on the computer" and "don't put diskettes near a magnet" have been repeated over and over for the last 10 to 15 years However, there are some things about which everyone needs an occasional reminder

- **Voltage and cycle differences** Most overseas power systems are 220 volts, while the United States is 110 volts Unless the power is stepped down to 110 volts (either by using a separate transformer or a built-in power control), YOU WILL FRY THE COMPUTER! Many laptop computers have built-in transformers, but ALWAYS READ THE OWNER'S MANUAL to confirm that your laptop has one
- **Surge protectors** Plugging a computer directly into the wall is not a good idea, particularly in places where power surges are common Fellows should make sure their desktop and/or laptop computers have surge protectors
- **Back-ups** A hard drive can fail without warning, or diskettes can become infected with a virus -- these are only two examples of ways that important files can be permanently lost Having a recent back-up of these files can prevent a great deal of frustration, anguish and work In general, anything that cannot be quickly and easily reconstructed should be copied to a virus-free disk and stored at a separate location

- **Dust covers** can help keep dust out of the inner parts of a desktop computer Fellows who work in dusty environments should cover the computer when it is not in use Laptop computers should be stored in their carrying cases when not in use

Fellows who will be traveling with laptop computers should keep the following in mind

- The laptop and its carrying case should always be carried **on board airplanes** and should *never* be packed inside other luggage or checked in as a separate piece of luggage Medication and/or important documents can usually be packed in the laptop case in addition to the computer itself Laptops are in great demand overseas and are easily stolen -- or severely damaged -- if they are not hand-carried on board the plane
- Airport security may require travelers to turn on laptop computers It's a good idea to make sure that the battery is charged before a trip and that you allow ample time for airport security (one and a half hours for U S domestic flights and three hours for international flights)
- Traveling with a diskette in the disk drive can damage the drive head Diskettes should always be removed from the drive before traveling

Computers purchased by the DFP for use by fellows are covered by a manufacturer's warranty Fellows will receive information on what the warranty covers and where to take the computer for servicing

Fellows are reminded that computers and software purchased by the DFP are the property of the Program, not the fellow The DFP allows fellows to **borrow** computers, software and manuals for the duration of the fellowship It is expected that fellows will return these items to the DFP in reasonably good condition at the end of the fellowship Fellows may **not** lend these computers to others for any reason (e g , USAID regulations even preclude USAID staff from borrowing a fellow's computer) (See the Computer Sign-Out Form and Receipt for details)

Tips for Using E-mail Effectively

- **Count to 10 before you send a message.** E-mail is so easy to use that there are no natural filters (such as the time needed to write and mail a letter) that keep us from using it too flippantly and indiscriminately Avoid the urge to "just do it " Think through the importance of the communication as you would have if you had to type it, print it, copy it, envelope it, address it, and walk to the mailbox For fellows who subscribe to on-line services which charge for time spent on-line, it would be worthwhile to learn how to compose messages off-line to allow time for reflection and upload them once they are ready to be sent

- **Respect the time of others.** Just as you would think carefully before taking a busy person's time for a face-to-face discussion, you should go through that same careful thought before adding them as a recipient to an e-mail message Do they need to know? Is it worth their time?

- **Talk through e-mail use with your work group.** If your sponsor organization uses e-mail for internal communication, find out how it is used and for what purposes What conventions are

applied? Agree on basic conventions such as reading e-mail at least once a day Within the DFP, staff check for new e-mail messages several times a day Fellows should plan on checking their own e-mail at least once a day

- **The infamous "CC."** It is easy to CC the world That is one of the advantages of using e-mail -- more people can be included in the communications However, again review "need to know" versus "might be interested" As a recipient, take responsibility for letting people know that you do not need to be CC'd when this is the case

- **E-mail does not have to be answered immediately** Even though e-mail facilitates quick and easy communication, some messages require serious thought and time Tasks should be completed in the amount of time needed to do them well, regardless of how easy they are to request!

- **Read and delete messages.** E-mail does not need to be kept in e-mail accounts indefinitely Please be aware that many on-line services automatically delete messages after a certain amount of time

- **E-mail is written communication only.** Remember, written communication has its own set of limitations, 80 to 85 percent of face-to-face communication happens non-verbally This is obviously impossible with e-mail, and as a result, misunderstandings are not uncommon Before sending a message, try reading it from the recipient's point of view (i e , without using varying intonation to emphasize certain words or phrases, without smiling or winking to let them know you're only joking, etc)

Medical Insurance

The DFP provides each Democracy Fellow with basic, limited medical insurance under World Learning's Student and Fellow Insurance Plan, provided through American International Company Your insurance coverage ID card is in your Handbook Also in the Handbook you will find a brochure summarizing the plan's coverage Please read it carefully Below is a list of the plan's main features

- basic accident and sickness medical expense benefits,
- maternity expense benefit,
- newborn coverage benefit,
- emergency medical evacuation,
- repatriation of remains, and
- accidental death and dismemberment

Please note that this plan is not intended to provide comprehensive coverage Rather, its purpose is to provide *basic* coverage in the event of an emergency for the fellow only Spouses, dependents and others are **not** covered or included in this policy, it applies only to the fellow If you have any questions regarding insurance coverage, please contact the DFP

Duration of Coverage

You will automatically be enrolled in this insurance plan for the term of your fellowship (please refer to your Fellowship Award Letter for the exact dates) Coverage will begin on the date that your fellowship begins, and it will end one month after your fellowship ends

Pre-existing Conditions

As with many other insurance policies, this plan does *not* cover injury or sickness resulting from a pre-existing condition There are other important limitations as well, including requirements for prior approval of the insurance carrier, reimbursement limits, lifetime limits, etc Please read the enclosed brochure for further information

Claim Forms

In your Handbook you will find some blank insurance claim forms Instructions for filing a claim are on the front of the form Since several World Learning programs use this insurance plan for their participants, you must indicate which program you are enrolled in Our program is not yet listed on the preprinted form, so check "Other" and write "Democracy Fellows Program" in that blank

If you would like to file a claim, you must send it *directly* to American International Company The address is listed on the back of the brochure as well as on the claim form itself

Emergencies

Emergency situations are unexpected, unpredictable, and demand immediate attention Even so, the DFP asks that you take the time to inform both our staff and your contact person at your sponsor organization of any emergency which requires you to be absent from your fellowship activities for any period of time You may notify the DFP through the most convenient and appropriate means available, including telephone, fax, telegram, or e-mail (remember, though, that e-mail is not instantly delivered) The DFP has already had to deal with two situations where local political conditions have caused Democracy Fellows to be evacuated from the countries where they were assigned We therefore strongly suggest that you establish emergency contact procedures with your sponsor organization and the U S Embassy upon your arrival in-country

In the front of the Handbook you have been given the home telephone numbers and individual e-mail addresses for the DFP staff Please be considerate in using this information -- DFP staff should be contacted at home **only** in case of an emergency, and their home telephone numbers should **not** be given out without their permission

If you must leave your fellowship site due to illness or injury which cannot be treated locally, remember that the insurance plan in which World Learning enrolls all Democracy Fellows includes emergency medical evacuation when approved by the appropriate medical authorities (See the plan brochure for further details) It is a good idea to make sure that someone other than yourself (either a friend or someone at your sponsor organization) knows the DFP office telephone and fax numbers and e-mail address in case you are unable to contact us yourself When they contact us, they should be prepared to briefly describe the problem (i e , accident or illness, life-threatening or not), the immediate steps being taken to correct or improve the situation, and whether your emergency contact in the United States has been notified Unless you request otherwise, DFP staff will inform your emergency contact of your situation immediately if this has not already been done

About the Fellows

Address List - Fall 1996 Class

Fellow	Host Organization	Fellowship Address	Permanent Address
Lisa Cannon (10/29/96 to 10/28/97)	**Development Resources Centre** P O Box 6079 Johannesburg 2000 South Africa Tel (27-11) 838-7504 Fax (27-11) 838-6310 E-mail gavina@wn apc org	N/A	c/o Cannon 47 Lakeridge Drive Matawan, NJ 07747 Tel (908) 566-5505
J Michele Guttmann (9/28/96 to 9/27/97)	**Corporacion Participa** Almirante Simpson 014 Santiago Chile Tel (56-2) 222-5384 Fax (56-2) 222-1374	N/A	1314 Fruit Avenue Albuquerque, NM 87104 Tel (505) 842-1652 Work (505) 842-9960 Fax (202) 842-0761
Linn Hammergren (4/1/96 to 3/31/99)	**USAID/Global Bureau/ Democracy Center/Rule of Law** 320 21st Street, NW SA-2, Room 301 Washington, DC 20523 Tel (202) 663-2692 E-mail lihammergren@usaid gov	437 North Park Avenue #4 Arlington, VA 22203 Home (703) 526-0962	Same

Fellow	Host Organization	Fellowship Address	Permanent Address
Brian Kelliher (10/12/96 to 10/11/97)	**Foundation for Human Rights Initiative** P O Box 11027 Kampala Uganda Tel (256-41) 530-095 Fax (256-41) 540-461 E-mail fhri@starcom co ug	N/A	5130 Connecticut Ave , NW #208 Washington, DC 20008
Elizabeth Hart (10/21/96 to 10/20/98)	**USAID/Global Bureau/ Democracy Center/Civil Society** 320 21st Street, NW G/DG, Room 301, SA-2 Washington, DC 20523-0211 Tel (202) 663-2659 Fax (202) 663-2772 E-mail ehart@usaid gov	2115 Newport Place, NW Apartment B Washington, DC 20037	Same

Fellow	Host Organization	Fellowship Address	Permanent Address
Brian Murphy (2/1/96 to 3/31/97)	**USAID/Regional Economic Development Services Office & Greater Horn of Africa Initiative/East and Southern Africa** APB-USAID/REDSO/ESA Unit 64102 APO AE 09831-4102 Tel (254-2) 331-160 Fax (254-4) 233-7304 E-mail bmurphy@usaid gov	Same	4601 North Park Avenue Apartment 1704 Chevy Chase, MD 20815 Tel (301) 951-8670
Sara Steinmetz (1/6/97 to 1/5/99)	**USAID/Bureau of Policy and Planning Coordination** 320 21st Street, NW Washington, DC 20523 Tel (202) 647-8383 E-mail ssteinmetz@usaid gov	1255 New Hampshire Avenue, NW Aptartment 424 Washington, DC 20036	1401 55th Street Apartment 2-D Brooklyn, NY 11219 Tel (718) 438-4328 Work (212) 517-0455 E-mail ssteinmetz@ marymount mmm edu
Mark Thieroff (9/30/96 to 9/29/97)	**Tolerance Foundation** Senovazne nam 24 110 00 Praha 1 Czech Republic Tel (42-2) 241-02361 Fax (42-2) 241-02314 E-mail pospisim@s3 msmt cz	Adamovska 3/804 141 00 Praha 4 - Michle Czech Republic Tel (42-2) 612-22705 E-mail thieroff@ecn cz	---

Address List - Winter 1997 Class

Fellow	Host Organization	Fellowship Address	Permanent Address
Stephen Brager (5/19/97 to 11/18/98)	**USAID/Global Bureau/** **Democracy Center/Governance** 320 21st Street, NW Room 5258 Washington, DC 20523-0001 Tel (202) 736-7893 Fax (202) 76-7886 E-mail sbrager@usaid gov	8013 Glenbrook Road Bethesda, MD 20814	Same
Carrie Chernov (1/31/97 to 5/7/97)	**USAID/Asuncion** Washington, DC 20523-0001 Tel (595-21) 213-715 Fax (595-21) 205-018	N/A	2610 Tunlaw Road, NW Apartment 203 Washington, DC 20007 Tel (202) 338-5186
Dawn Emling (4/26/97 to 4/25/98)	**USAID/Pretoria** Washington, DC 20523-0001 Tel (27-12) 323-8869 Fax (27-12) 323-6443	N/A	3941 Davis Place, NW Apartment 4 Washington, DC 20007 Tel (202) 965-6968 E-mail 76055 2645@ compuserve com

Fellow	Host Organization	Fellowship Address	Permanent Address
Patricia Kendall (3/16/97 to 9/15/98)	**USAID/Jakarta** Washington, DC 20523-0001 Tel (62-21) 360-360 Fax (62-21) 380-6694 E-mail pkendall@usaid gov	Same	537 West Roscoe Apartment 1 Chicago, IL 60657 Tel (312) 883-2029
Michael McCord (1/1/97 to 5/31/98, 8/18/98 to 9/30/98)	**USAID/Asmara** Washington, DC 20523-0001 Tel (291-1) 111-895 Fax (291-1) 123-093	N/A	1103 N Taylor Street Apartment B Arlington, VA 22201

Address List - Fall 1997 Class

Fellow	Host Organization	Fellowship Address	Permanent Address
Robert Barr (9/1/97 to 8/31/98)	**USAID/Global Bureau/** **Democracy Center/Strategies** 1300 Pennsylvania Avenue, NW Washington, DC 20523 Tel (202) 712-1892 Fax (202) 216-3231	N/A	701 Franklin Boulevard Austin, TX 78751 Tel (512) 419-7128 E-mail rrbarr@ mail utexas edu
Abigail Horn (10/1/97 to 9/30/98)	**USAID/Asuncion** Washington, DC 20523-0001 Tel (595-21) 213-715 Fax (595-21) 205-018 E-mail ahorn@usaid gov	Same	1762 U Street, NW Apartment 1 Washington, DC 20009 Tel (202) 319-3578
Ann Hudock (1/1/98 to 12/31/98)	**USAID/Global Bureau/** **Democracy Center/Civil Society** Washington, DC 20523 Tel (202) 712-4491 Fax (202) 216-3231 E-mail ahudock@usaid gov	2013 37th Street, NW Apartment 4 Washington, DC 20007 Tel (202) 337-5724	Same

Fellow	Host Organization	Fellowship Address	Permanent Address
Carolyn Logan (12/1/97 to 11/30/98)	**USAID/Regional Economic Development Services Office (East and Southern Africa)/ Greater Horn of Africa Initiative** APB-USAID/REDSO/ESA Unit 64102 APO AE 09831-4102 Tel (254-2) 331-160 Fax (254-2) 233-7304 E-mail clogan@usaid gov	Same	74 Jerome Street Apartment 1 Medford, MA 02155 Tel (617) 488-3832 E-mail clogan@ emerald tufts edu
Ronald Shaiko (12/8/97 to 12/7/98)	**USAID/Global Bureau/ Democracy Center/Elections** 1300 Pennsylvania Avenue, NW Washington, DC 20523 Tel (202) 712-1892 Fax (202) 216-3231 E-mail rshaiko@usaid gov	1350 Beverly Road Apartment 1105 McLean, VA 22101 Tel (703) 506-8568 E-mail rshaiko@american edu	Same

Fellow Biographical Profile

Name:	**Robert Barr**
Placement·	USAID/Global Bureau/ Center for Democracy and Governance/Strategies Team, Washington, DC
Fellowship Goals·	Robert focused on the development of indicators of democracy in programs on democracy and governance
Duration.	September 1, 1997 - August 31, 1998

Professional Experience:	Teaching/Research Assistant University of Texas, 1994-95, Seminar Leader, University of Virginia Summer Enrichment Program, 1993, Economist, International Price Program, Bureau of Labor Statistics, U S Department of Labor, 1990-92
Academic Background	Ph D (in process), Comparative Politics/International Relations, University of Texas, M A , Foreign Affairs, University of Virginia, 1994, B A , Economics, University of Virginia, 1990
Overseas Experience·	Lived in El Salvador, Mexico, Traveled to Europe
Languages	Spanish (S-3, R-3)
Areas of Interest·	Governance, political parties, patronage, economic reform
Other Information·	Robert's current research focuses on the effects of corruption on the style of governance and the process of reform in Latin America His master's thesis was titled "Alternatives for the Left The Strategic Decisions of the Chilean Socialist Party " Robert has taught classes in the politics of environmental issues, U S foreign policy, and the role of the military in Latin America He has authored several papers on economic reform, drug-trafficking, and privatization in Latin America

Fellow Biographical Profile

Name:	**Stephen M. Brager**
Placement:	USAID/Global Bureau/ Center for Democracy and Governance/Governance Team, Washington, DC
Fellowship Goals	Stephen is examining various issues in good governance, including civil/military relations, government integrity, decentralization/local governance, democratic transitions, and conflict mitigation
Duration·	May 19, 1997 - November 18, 1998

Professional Experience:	Research Intern (researched role of NGOs in strengthening civil society), InterAction, 1996, Research Consultant (wrote first draft of guidebook on implementation of demining operations), Terra Segura International, 1994-95, Teaching/Research Assistant (U S politics, international relations, security issues, comparative politics, ethnic conflict), University of California at San Diego, 1989-92, Project Coordinator (planned programs on U S foreign policy toward Latin America/Southern Africa for government officials, diplomats, academics, and reporters, designed and implemented negotiations training games, critiqued/edited conference papers, produced annual reports), World Peace Foundation, 1986-88
Academic Background·	M A , Political Science, University of California/San Diego, 1993, A B (cum laude), Social Studies, Harvard University, 1985
Overseas Experience	Lived in Brazil, Chile, Israel, Spain, Traveled to Egypt, Europe, Latin America
Languages	Spanish (S-4, R-4), French (S-2, R-3), Portuguese (S-2, R-2)
Areas of Interest	Rule of law, civil society, political parties, elections, civil-military relations, political reform

Other Information

While in graduate school, Stephen won numerous awards for language study and teaching excellence He is a member of the Latin American Studies Association, American Political Science Association, and Society for International Development Stephen has authored several papers on Chilean elections and on the transition for authoritarian regimes to democratic systems In 1989-90, he served as an observer to the transition elections in Chile and authored an analysis of the results

Fellow Biographical Profile

Name: **Lisa M. Cannon**

Placement: Development Resources Centre,
Johannesburg/Cape Town, South Africa

Fellowship Goals. The Development Resources Centre serves as a network for South African non-governmental organizations During her fellowship, Lisa worked on issues of financial sustainability In particular, she assisted in improving the organizational management capacities of members, developing the network of NGOs, facilitating partnerships with the corporate sector, increasing citizen support and involvement, and developing fund-raising strategies

Duration: October 29, 1996 - October 28, 1997

Professional Experience NGO Organizational Development Consultant, South Africa, 1995, Organizational Development Consultant, NGO Training and Resource Center, Armenia, 1995, National Coordinator, Southern Africa Educational Campaign, 1994, Program Manager, South-North Development Initiative, 1991-94, Development Educator, Oxfam America, 1990-91, Adult Education Trainer, CHP International, Costa Rica, 1990, Education Volunteer, U S Peace Corps/Honduras (bilingual literacy program for Ministry of Education), 1987-89, Community Development Promoter, Sonoran Friends Service Committee, Mexico, 1986, Publications Coordinator, Overseas Development Council, 1984-86

Academic Background Ed M , International Education, Harvard University, 1991,
B S , Foreign Service, Georgetown University, 1984

Overseas Experience Lived in Armenia, Costa Rica, Honduras, Mexico, South Africa, Spain, Traveled to Botswana, Europe, Mozambique, Zimbabwe

Languages Spanish (S-4, R-4)

Areas of Interest NGO development, organizational development, financial management, civil society

Fellow Biographical Profile

Name:	**Carrie S. Chernov**
Placement.	USAID/Asuncion, Paraguay
Fellowship Goals:	Carrie worked with local units of government on issues of decentralization and community participation, including local government training and technical assistance and NGO and grassroots community group development, especially within the environment and rule of law sectors
Duration:	January 31, 1997 - May 7, 1997

Professional Experience.	Consultant, World Resources Institute (drafted agenda for Latin American conference on sustainable development), 1995-present, Legal Consultant, Goldstein & Claxton, P C (litigation, legal counseling, planning in environmental law), 1995, General Counsel and Business Analyst, The Commonwealth Group (provided legal/business advice on international operations), 1993-94, Counsel and Professional Staff Member, Subcommittee on Environment, Committee on Science, Space, and Technology, 1991-93, Legislative Assistant, Office of Representative James Scheuer (responsible for environment, health, budget, drug, human rights issues), 1988-90, Associate, Sive, Paget & Riesel, P C (state/federal environmental litigation), 1988-90
Academic Background·	Ll M , Int'l /Comparative Law, Georgetown University, 1996, J D , New York University, 1988, B A (Honors), History, Brown University, 1984
Overseas Experience	Lived in Spain, United Kingdom, Traveled to Botswana, Costa Rica, Zambia, Zimbabwe
Languages	Spanish (S-4, R-4), French (S-2, R-2)
Areas of Interest	Rule of law, civil society, legislative reform, environmental development and law, local government, decentralization

Fellow Biographical Profile

Name.	**Dawn P Emling**
Placement·	USAID/Pretoria, South Africa
Fellowship Goals	Dawn worked on conflict resolution with local NGOs supported by USAID/Pretoria She also worked closely with USAID/Pretoria's Community Development Foundation Program During her fellowship, Dawn researched and began editing a book assessing mediation and conflict resolution programs
Duration:	April 26, 1997 - April 25, 1998

Professional Experience·	International Programs Coordinator, National Institute for Citizen Education in the Law (design, manage evaluate civic education programs around the world, draft publications, host training institutes), 1996-present, Consultant/Researcher, Institute for Democracy in South Africa, South Africa, 1995-96, Volunteer English Resource Teacher/Trainer, Worldteach, South Africa, 1995, Consultant, The Futures Group (worked on Gender in Economic and Social Systems project), 1994, Consultant/Researcher, Development Alternatives, Inc (worked on economic and policy analysis for USAID projects), 1992-94, Research Assistant, Office of Congressman David Obey, 1991-92, Research Assistant, Office of the Vice-President of Legislative Affairs, U S Sprint Telecommunications, 1989, 1990
Academic Background	M A , International Development, The American University, 1993, B A , Political Science, University of Michigan at Ann Arbor, 1990
Overseas Experience	Lived in Nigeria, South Africa, Traveled to Caribbean, Europe, Mexico
Languages·	Afrikaans (S-2, R-3), French (S-1, R-2)
Areas of Interest	Legislative reform, democratic initiatives, advocacy, women's groups, civil society

Fellow Biographical Profile

Name. J Michele Guttmann

Placement: Corporacion Participa,
Santiago, Chile

Fellowship Goals Participa is a non-governmental, civic education organization based in Santiago, Chile It conducts training programs in voter education, advocacy, and legal and judicial reform Michelle worked with Participa's five-year advocacy training program and its Global Women in Politics program She also provided the staff of Participa with professional advice regarding ways to increase citizen participation throughout civil society

Duration: September 28, 1996 - September 27, 1997

Professional Experience. Partner, Freedman, Boyd, Daniels, Peifer, Hollander, Guttmann & Goldberg, P A , (civil trial law, educational law, court-appointed mediator/arbitrator), 1985-present, Associate Attorney, Freedman, Boyd, and Daniels, P S , 1982-84, Adjunct Professor of Law, University of New Mexico, 1986-87 and 1990-91, Law Clerk, Willart Kitts, Esq , 1980-82—

Academic Background J D , University of New Mexico, 1982,
B A , Modern Languages, University of New Mexico, 1979

Overseas Experience· Lived in Ecuador, Traveled to Austria, Caribbean, Chile, Czech Republic, France, Hungary, Mexico

Languages Spanish (S-3, R-3), French (S-2, R-2)

Areas of Interest Rule of law, judicial reform, constitutional law, democratic initiatives, NGO development, advocacy, women's issues, minority issues, comparative legal or political systems

Other Information Michele worked as a *pro bono* attorney in a suit that successfully challenged unconstitutional violations of the rights of poor women to Medicaid benefits under the New Mexico State Equal Rights Amendment She also served as a member of the editorial board for the new Mexico Trial Lawyers Association and co-authored a section of the two-volume *Litigation Manual*

Fellow Biographical Profile

Name: **Linn A. Hammergren**

Placement: USAID/Global Bureau/
Center for Democracy and Governance/Rule of Law Team,
Washington, DC

Fellowship Goals: Linn's fellowship focuses on an analysis of rule of law (ROL) activities and the development of rule of law materials, both drawing on USAID programs in Latin America During her appointment Linn will develop a series of manuals on judicial training, code reform, institutional creation/strengthening in prosecution and public defense, and coalition/consensus building, analyze regional trends in ROL projects, activities and obstacles to effective ROL reforms, author a paper on the socio-political significance of ROL reforms in Latin America, and begin to establish a network of scholars, advocates and practitioners interested in ROL issues

Duration: April 1, 1996 - March 31, 1999

Professional Experience: Project Manger, Judicial Reform II, USAID/El Salvador (managed project in justice sector reform), 1993-96, Regional Administration of Justice Officer, USAID/Costa Rica (managed grant to United Nations Latin American Institute for Crime Prevention and Treatment of the Offender), 1991-93, Special Projects Adviser, Regional Administration of Justice Office, USAID/Costa Rica, 1989-91, Project Manger, Administration of Justice Project, USAID/Peru, 1986-89, Assistant to the Program Officer, USAID/Peru, 1984-86, Development Studies Program Instructor, USAID/Training, 1981-84, Assistant Professor of Political Science, Vanderbilt University, 1974-81

Academic Background: Ph D , Political Science, University of Wisconsin at Madison,
M A , Political Science, University of Wisconsin at Madison,
B A , Political Science, Stanford University

Linn A. Hammergren (cont'd)

Publications·	*The Politics of Justice and Justice Reform in Latin America The Peruvian Case in Comparative Perspective*, "Justice in Latin America Reflections on the Political Role of the Judiciary and Its Prospects for Future Change," *Development and the Politics of Administrative Reform Lessons from the Latin American Experience*
Overseas Experience:	Lived in Colombia, Costa Rica, El Salvador, France, Ghana, Peru, Venezuela
Languages·	Spanish (S-4, R-4), French (S-2 5, R-3)
Areas of Interest.	Justice sector reform, comparative legal systems, local government and decentralization, national integration and civil society, political science research
Other Information.	Linn has received Fellowships from the Fulbright Commission, Vanderbilt Center for Latin American Studies, Vanderbilt Venture Fund, and the Social Science Research Council

Fellow Biographical Profile

Name:	**Elizabeth I. Hart**
Placement·	USAID/Global Bureau/ Center for Democracy and Governance/Civil Society Team, Washington, DC
Fellowship Goals:	Elizabeth is pursuing the relationship between economic and political liberalization, as well the area of civil society at large, as "an independent, vital, and growing private sector at the crux of the processes of economic and political reform " She also assists the Democracy Center with the development and presentation of workshops designed to increase their understanding of civil society and other topics related to democracy
Duration:	October 21, 1996 - October 20, 1998

Professional Experience:	Assistant Master, Forbes College, Princeton University, 1993-94, Research Assistant, Princeton University Department of Politics, 1990-91, Assistant in Instruction, Princeton University, 1990-91, 1992-93, Community Relations Assistant, Salvation Army, 1987-88, Teaching Assistant and Grader, Whitman College Department of Economics, 1985-87
Academic Background	Ph D , Politics, Princeton University, 1996, M A (Honors), Politics, Princeton University, 1990, B A (Honors), Political Science, Whitman College, 1987
Publications	"Liberal Reforms in the Balance The Private Sector and the State in Ghana" (dissertation), "Government-Private Sector Consultation in Ghana's Economic Recovery Program," "Sustaining Liberal Reforms in Africa Statism, Social Structure, and Questions About Renewal," "Ethnic Politics in Kenya Under Kenyatta and Moi," "State, Society, and Development in Kenya and Tanzania"
Overseas Experience	Lived in Ghana
Languages	French (S-3, R-3), Italian (S-1, R-1)
Areas of Interest	Comparative political science research, civil society, applied research, political economy

Fellow Biographical Profile

Name:	**Abigail Horn**
Placement:	USAID/Asuncion, Paraguay
Fellowship Goals:	Abigail is involved with mission programs supporting Paraguay's upcoming elections Specifically she works with voter education, electoral administration, local election monitoring, political party development, and judicial strengthening
Duration:	October 1, 1997 - September 30, 1998

Professional Experience·	Program Associate, Inter-American Dialogue, 1996-97, Departmental Research Assistant, Institute of Latin American and Iberian Studies, Columbia University (managed academic and cultural programs), 1994-96, Consultant, International Planned Parenthood Federation, Graduate Workshop in Development, 1996, Communications Intern, Alianza Cívica, 1995, Latin America Section Intern, United Nations Development Fund for Women (assisted preparations for Fourth World Conference on Women), 1995
Academic Background	M I A , Economic & Political Development/Latin America, Columbia University, 1996, B A (Honors), Latin American Studies, Yale University, 1992
Overseas Experience·	Lived in Argentina, Chile, Mexico, Traveled to China, India, Southeast Asia
Languages·	Spanish (S-3 5, R-3 5), Portuguese (S-2, R-2)
Areas of Interest·	Civil society, NGO networks, institution building, democratic initiatives, elections, women's advocacy
Other Information	Abigail was a Fulbright Scholar for one year in Chile While there, she researched student political participation since Chile's transition to democracy and worked with the civic group *Participa* conducting civic and human rights education programs Abigail also interned with the Carnegie Endowment of International Peace, updating and editing their book *Nuclear Thresholds*

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Fellow Biographical Profile

Name:	**Ann Hudock**
Placement:	USAID/Global Bureau/ Center for Democracy and Governance/Civil Society Team, Washington, DC
Fellowship Goals·	Ann is focusing on the development of government laws and regulations governing the NGO sector, as well as media development and the financial sustainability of NGO's
Duration:	January 1, 1998 - December 31, 1998

Professional Experience	Guest Lecturer, Birkbeck College, London, 1997, Consultant, Johns Hopkins University, International Freelance Writer, 1988-97, Tutor, Brighton College of Technology, 1996, Consultant, Open University, 1994-95, Researcher, Institute of Development Studies, University of Sussex, 1995, Writer, Media for Development International, 1993, Project Assistant, Association for Rural Development, Sierra Leone, 1990-91
Academic Background	Ph D , Institute of Development Studies, University of Sussex, United Kingdom, 1996, M A (summa cum laude), International Affairs, University of Dayton, 1993, B A (cum laude), English, University of Dayton, 1990
Publications.	*NGOs Sustainable Idealism* (forthcoming), "Grants, Contracts, and NGO Accountability in the North and South," "Sustaining Local NGOs in Resource Dependent Environments," "Encouraging Cooperation The Creation of Sustainable Relationships Between NGOs in Sierra Leone"
Overseas Experience	Lived in Sierra Leone, United Kingdom, Worked in Mongolia, South Africa, The Gambia
Languages·	Creole (S-3), French (S-2, R-2)
Areas of Interest	Sustainable financing strategies for NGOs, NGO advocacy, media

Ann Hudock (cont'd)

Other Information

Ann looks forward to applying her academic work to the policy-making process in the United States She is a member of the Development Studies Association and National Union of Journalists, and has won several awards including a Rotary International Ambassadorial Scholarship, Regional Award from Soroptimist International, and Marj Heyduck Journalist of the Year

Fellow Biographical Profile

Name.	**Brian D. Kelliher**
Placement	Foundation for Human Rights Initiative, Kampala, Uganda
Fellowship Goals	The Foundation for Human Rights Initiative monitors human rights abuses and the development of legal protections of human rights in Uganda During his fellowship, Brian developed a moot court competition to assist in the training of new lawyers, designed a curriculum for a paralegal training program, monitored the independence of the judiciary, and conducted community outreach and education programs Brian also assisted in networking with other human rights groups in the region
Duration	October 12, 1996 - October 11, 1997

Professional Experience:	Attorney-Advisor, U S Department of Justice (Honors Program), Executive Office for Immigration Review, Board of Immigration Appeals, 1993-present
Academic Background	J D , The George Washington University, 1993, B A (Honors), Political Science, University of Michigan, 1990
Overseas Experience	Lived in Italy, Namibia, Traveled to Malawi, South Africa, Zimbabwe
Languages·	French (S-1, R-2), Italian (S-1, R-1)
Areas of Interest	Rule of law, civil society, elections, civil and human rights education, NGO democratic initiatives, international human rights, access to legal services, voter education, election monitor training
Other Information	Brian has interned with GWU's Community Legal Clinic and the District of Columbia Superior Court He served as a Public Interest Law Fellow with Harlem Legal Services, Inc , and as a Fellow with the University of Namibia's Human Rights and Documentation Center In an internship with the National Democratic Institute for International Affairs, Brian helped train South African election monitors in preparation for that nation's 1994 elections

Fellow Biographical Profile

Name.	**Patricia J Kendall**
Placement	USAID/Jakarta, Indonesia
Fellowship Goals	Patricia is concentrating on issues of legal and judicial reform, development of NGO advocacy and organizational capacities, and legal issues relating to democratic participation and human rights She expects to use her Democracy Fellowship as a transition from trial/constitutional law to international law and building democratic institutions
Duration	March 16, 1997 - September 15, 1998

Professional Experience:	Assistant Corporation Counsel/Supervisor, City of Chicago (defense of civil rights claims, constitutional litigation and tort actions, litigation relating to lawsuits involving city policies), 1992-present, Litigation Associate, Sachnoff & Weaver (commercial and tort litigation), 1991-92, Litigation Associate, Jackson & Walker (commercial and tort litigation), 1985-90, Law Clerk, Fifth U S Circuit Court of Appeals, 1984-85
Academic Background	J D , University of Illinois, 1984, M Higher Education Administration, Vanderbilt University, 1981, B A , English, Vanderbilt University, 1979
Publications	"Colson v Steig The First Amendment, Defamation, and Non-Media Defendants," "Public School Fees in Illinois A Reexamination of Constitutional and Policy Questions"
Overseas Experience	Traveled to Australia, Europe, Asia/Southeast Asia, United Kingdom, USSR
Languages·	Spanish (S-2 5, R-2), French (S-1, R-1)
Areas of Interest	Constitutionality of government practices, rule of law, human rights, local government, constitutional law, legal issues relating to women and minorities, criminal justice, law enforcement

Fellow Biographical Profile

Name:	**Carolyn Logan**
Placement.	USAID/Regional Economic Development Services Offices (East and Southern Africa)/Greater Horn of Africa Initiative Nairobi, Kenya
Fellowship Goals:	Carolyn is working in the areas of regional crisis prevention, crisis management, and conflict resolution
Duration·	December 1, 1997 - November 30, 1998

Professional Experience·	Research Assistant, Global Development and Environment Institute, Tufts University, 1994-97, Water Sector Manager, International Rescue Committee, Rwanda, 1995, Irrigation/Agriculture Sector Manager, IRC, Somalia Cross-border Operation, 1993, Irrigation Engineer, Lesotho, 1987-92 (including service as a volunteer with the U S Peace Corps), Water Resources Engineer Intern, Ford Foundation, India, 1987, Consultant Water Resources Engineer, World Bank, 1985, Assistant Project Engineer, Limno-Tech, Inc , 1983-84
Academic Background·	Ph D (in process), International Relations, Tufts University, M A L D , International Relations, Tufts University, 1996, M S , Environmental and Water Resource Engineering, Cornell University, 1987, B S (summa cum laude), Civil Engineering, University of Michigan, 1983
Publications	"Increasing State-Society Articulation in Africa The Indigenization of Political Systems," "U S Public Opinion and the Intervention in Somalia Lessons for the Future of Military-Humanitarian Interventions"
Overseas Experience	Lived in India, Lesotho, Rwanda, Somalia, Traveled in Belize, Guatemala, Madagascar, Mexico, Europe
Languages	Sesotho (S-3, R-3), French (S-2, R-3)
Areas of Interest	Political participation and representation, indigenous practices

Carolyn Logan (cont'd)

Other Information: Carolyn's recent academic work served as the bridge from her technical career to that of policy/social science, and illustrates her interest in issues related to participation and representation

Fellow Biographical Profile

Name·	**Michael R McCord**
Placement	USAID/Asmara, Eritrea
Fellowship Goals	Eritrea lacks a functioning judicial system, including insufficient trained personnel, legal training, and infrastructure During his fellowship, Mike worked to establish an independent bar association, strengthen formal legal education at the University of Asmara, and provide practical training for village-level judges
Duration	January 1, 1997 - December 31, 1997, August 18, 1998 - September 30, 1998

Professional Experience.	Program Officer, International Rescue Committee, Rwanda, Tanzania and Zaire (coordinated activities of Country Directors in 3 nations with IRC Regional Support Center in Nairobi, reviewed financial and purchasing decisions, directed personnel recruitment for country programs, served as liaison with IRC headquarters, assessed IRC field activities to establish administrative and logistic systems Based in Nairobi, with 50% travel to Zaire, Rwanda, Tanzania and Burundi) 1994-1995 Law Clerk (private law practice specializing in municipal law, civil rights and due process issues), Springfield, Oregon 1993 Insurance Branch Office Manager and Claims Representative, Eugene, Oregon, 1989-1992, Non-Commissioned Officer, US Army, awarded Army Commendation and Army Achievement Medals, 1983-1992
Academic Background	J D , University of Oregon, 1996, B A , Economics, San Diego State University, 1988
Publications	Evaluation of Democratic Transition in Kenya, Developing an Interdisciplinary Approach to Democratization Programs
Overseas Experience	Lived in Kenya 1994-1995, Traveled to Rwanda, Burundi, Zaire, Eritrea, Zimbabwe, South Africa, Swaziland and Tanzania
Languages	Spanish (S-1, R-1)
Areas of Interest	Rule of law, judicial reform, democratic initiatives, legislative reform and legislative processes

Fellow Biographical Profile

Name: **Brian C. Murphy**

Placement. USAID/Regional Economic Development Services Office for East and Southern Africa, and Greater Horn of Africa Initiative, Nairobi, Kenya

Fellowship Goals: The objective of Brian's fellowship was to support the growth of democracy in the transitional and emerging democracies supported by REDSO Specific goals included assessing the legal and judicial systems of countries within the region, making recommendations and proposals for reform and/or technical assistance, and providing training in the fields of conflict resolution and alternative dispute resolution to legal and judicial officials

Duration: February 1, 1996 - March 31, 1997

Professional Experience: Fulbright Lecturer in Law, Sofia University, Bulgaria, 1992-94, Attorney, Office of the Chairman, Administrative Conference of the US, 1987-92, Legislative Fellow, US Senate, 1987, Manager, Foreign Business Practices/Foreign Sales Corporation Act Programs, International Trade Admin , US Commerce Dept , 1984-87, Senior Compliance Officer, Antiboycott Compliance Office, US Commerce Dept , 1981-84 and 1978-79, Project Leader, Office of Information and Regulatory Affairs, Office of Management and Budget, 1980, Associate Attorney, Barham, Radigan, Suiters & Brown, 1977, Hearing Officer, US Civil Service Comm , 1973-75

Academic Background J D , University of Virginia, 1973,
A B (Honors), Government, Harvard University, 1970

Publications: *An Overview of United States Export Controls* (Co-author), "Implementation of the Federal Advisory Committee Act An Overview"

Overseas Experience Lived in Bulgaria, United Kingdom, Visited Eritrea

Languages French (S-2, R-2), Bulgarian (S-1, R-1)

Brian Murphy (cont'd)

Areas of Interest	Conflict resolution, alternative dispute resolution, international trade regulation
Other Information:	Brian served as editor and editor-in-chief for several foreign trade journals He has done *pro bono* work for the Federal Bar Association Democracy Development Initiative and served in leadership positions in the FBA's international law section, international trade and customs law committee, District of Columbia chapter, national membership committee, national council, and select committee on the federal advisory committee act

Fellow Biographical Profile

Name:	**Ronald Shaiko**
Placement:	USAID/Global Bureau/ Center for Democracy and Governance/Elections Team, Washington, DC
Fellowship Goals:	Ron is involved with all aspects of elections programs including political party development, civic education, and elections administration
Duration.	December 8, 1997 - December 7, 1998

Professional Experience	Associate Professor of Government, The American University, 1995-1997, Assistant Professor of Government, The American University, 1990-95, Assistant Professor, Department of Political Science, Virginia Polytechnic Institute and State University, 1989-90, Instructor, Department of Political Science, Syracuse University, 1986-87, Instructor, Department of Political Science, Hobart and Smith College, 1984-85
Academic Background	Ph D , Political Science, Syracuse University, 1989, MA , Political Science, Syracuse University, 1982, B A , Political Science/History, Ursinus College, 1981
Publications	*Voices and Echoes for the Environment Public Iterest Representation in the 1990s, Information, Access, Influence The Art and Craft ofLobbying, The Interest Group Connection Electioneering, Lobbying, and Policymaking in Washington* (co-edited), "The Role of the Loyal Oppostion in a Democracy," "Female Participation in Public Interest Nonprofit Governance Yet Another Glass Ceiling?," "Changing the Washington Culture Lobby Disclosure and the Gift Ban," others98
Overseas Experience	Traveled to Canada, Russia, Tunisia, West Bank/Gaza
Languages	French (S-1, R-2)
Areas of Interest	Democratization, indicators, civil society, elections, lobbying

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Ronald Shaiko (cont'd)

Other Information

Ron is looking to supplement his academic background with practical field experience He has taught classes on U S government, lobbying, political parties, legislative behavior, and political leadership, and worked briefly as a consultant on a USAID-sponsored project on legislative strengthening in West Bank/Gaza Ron also worked as an expert on U S government for USIA's International Visitors Program and has consulted as a pollster and political analyst

Fellow Biographical Profile

Name: **Sara Steinmetz**

Placement. USAID/Bureau of Policy and Planning Coordination, Washington, DC

Fellowship Goals Sara is applying her current research to policy analysis, focusing on the degree of, and potential for, democratization in host states She is interested in the extent to which basic institutions and fundamentals of a democratic political system and culture exist, the degree to which government is transparent, and the level of NGO participation in the policy-making process

Duration: January 6, 1997 - January 5, 1999

Professional Experience. Curriculum Consultant, Caldwell College, 1996, Adjunct Assistant Professor, Marymount Manhattan College, 1995-96, Visiting Assistant Professor/Adjunct Lecturer, Rutgers University, 1992-95, Adjunct Assistant Professor, CUNY/Brooklyn College, 1993, Associate Director, Center for Multilateral Initiatives, 1991, Administrator, Philip Morris Political Action Committee, 1988-89, Consultant, Congressional Human Rights Foundation, 1988, Director, Subcommittee on Human Rights, New York State Assembly, 1986-88, Information Officer, Global Committee of Parliamentarians on Population and Development, 1982-84

Academic Background Ph D , International Relations/Comparative Politics/Political and Economic Development, New York University, 1991,
M A , International Relations, New York University, 1978,
B A , English/Political Science, City University of New York, 1974

Publications *Democratic Transition and Human Rights*, "Linking Democracy and Good Governance to Foreign Aid New Strategies for Western Assistance," "Affirmative Action in New York State Design for Disaster or Strategy for Success, " "To 1985 and Beyond The Role of Foundations in the U N Decade for Women"

Overseas Experience Lived in India, Israel, Tunisia, Traveled to Europe

Languages. Hebrew (S-3, R-3), German (S-2, R-2)

Sara Steinmetz (cont'd)

Areas of Interest	Public policy analysis, political science research, civil society, democratic initiatives, NGO development, international human rights, women's groups, local government, advocacy, rule of law
Other Information·	Sara has worked with the Carnegie Corporation of New York and with the United Nations Department of Political and Security Council Affairs

Fellow Biographical Profile

Name:	**Mark H. Thieroff**
Placement	Tolerance Foundation, Prague, Czech Republic
Fellowship Goals	The Tolerance Foundation supports the prevention of human rights abuses through education and public awareness programs Mark's fellowship was with its Article 8 Project, focusing on the citizenship rights of Roma in the Czech Republic and Slovakia Specific activities included locating victims of abuse, documenting their cases for presentation to the European Commission of Human Rights, identifying lawyers and judges willing to provide legal assistance on a *pro bono* basis, and networking with other organizations working in the same area
Duration	September 30, 1996 - September 29, 1997

Professional Experience:	Consultant, Coalition for an International Criminal Court, 1996, Project Director/Eastern Europe Section and Member/Burma Section, Allard K Lowenstein International Human Rights Law Project, Yale Law School, 1994-present, Founder and Member, Nigeria Action Coalition, 1995-present, Research Intern, British Institute of Human Rights, 1995
Academic Background	M A , International Relations, Yale University, 1996, B A , German Language and International Studies, University of Miami (FL), 1992
Overseas Experience	Lived in Czech Republic, Germany, United Kingdom, Traveled to Eastern and Western Europe
Languages	German (S-4, R-4), Russian (S-2, R-2), Spanish (S-1, R-1)
Areas of Interest.	International human rights, minority issues, NGO development, transitional justice issues, social justice

Attachments

RESULTS REVIEW

Democracy and Governance Center

FY 1996

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

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RESULTS REVIEW FOR THE CENTER FOR DEMOCRACY AND GOVERNANCE

I G/DG STRATEGY OVERVIEW

A. Policy

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

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

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

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

B. Overall Approach

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

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

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

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

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

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

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

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

C. Factors Affecting Program Performance

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

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

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

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

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

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

D. Progress Toward Achievement of Strategic and Special Objectives

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Original Strategic Framework adopted in FY 95

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

SO-1 TECHNICAL LEADERSHIP More effective use of information and methodologies by USAID and other international organizations and partners better promotes democracy worldwide (technical excellence), by promoting sustainable development through technical and intellectual leadership and services in democracy and governance

SO-2: DIRECT PROGRAM SUPPORT Greater number of citizens in selected countries directly benefit from and participate in democratic practices, (Direct program support) so that when appropriate, G/DG would undertake direct responsibility for implementing individual field programs

SSO FIELD SUPPORT Greater number of citizens benefit from and participate in democratic processes through improved USAID mission programs (program support for interim customers i e field missions, the regional bureaus and PPC) that assists the Agency in developing and advancing democratic governance as a cornerstone of its sustainable development strategy and programs

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

1) **Rule of Law:** legal systems which promote democratic principles and protect human rights

2) **Governance:** governmental institutions which are responsive and accountable to the

people

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

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

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

ii. Strategic Framework for 1996 R4 Review

(SEE Annex A)

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

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

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

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

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

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

iii Effect of Changing Objectives on of Operating Units

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

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

G. Effect of Reengineering on Performance of Unit

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

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

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

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

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

H. Approach to the R2 Process

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

ANNEX A

ANNEX A G/DG STRATEGIC FRAMEWORK CHART

I STRATEGIC OBJECTIVES FOR FY 1995

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

II REVISED STRATEGIC OBJECTIVES FOR 1996 R4

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

ANNEX B

STRATEGIC OBJECTIVE 1: RULE OF LAW

Strengthen legal systems which promoote democratic principles and protect human rights

A Approach

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

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

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

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

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

B Intermediate Results, Areas of Focus and Indicators

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

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

Indicators to measure progress include

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

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

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

C Progress

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

Technical Leadership

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

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

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

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

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

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

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

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

Field SSupport

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

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

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

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

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

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

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

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

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

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

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

D. Program Management Activities

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

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

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

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

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

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

E. Issues Affecting Women and Disadvantaged Groups

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

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

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

F. Partnering with other USG Agencies

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

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

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

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

G. Expected Progress in FY 97 and 98

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

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

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

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

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

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

STRATEGIC OBJECTIVE 2 GOVERNANCE

Strengthen systems to make governmental institutions more transparent and accountable

A. Approach

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

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

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

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

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

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

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

B. Intermediate Results, Areas of Focus and Indicators

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

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

Indicators to measure progress include

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

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

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

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

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

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

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

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

C. Progress

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

Technical Leadership

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

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

results in legislative strengthening programs

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

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

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

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

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

Field Support

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

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

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

local revenue collection

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

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

Program Management

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

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

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

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

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

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

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

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

D. Expected Progress in FY 97 and 98

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

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

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

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

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

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

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

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

SO 2 Governance

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

SO INDICATOR
Improved accountability, effectiveness and transparency of governmental institutions

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

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

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

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

1 Conduct assessments to identify needs and current governmental practices in selected governance areas

2 Develop workable Governance models strategies and programs for mission adoption and implementation

3 Conduct global comparative analyses and facilitate exchange of ideas to identify lessons learned develop more effective methodologies and achieve cross-border impact

4 Establish effective G/DG mechanisms for intermediate customers

STRATEGIC OBJECTIVE 3. ELECTIONS AND POLITICAL PROCESSES

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

A. Approach

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

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

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

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

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

B Intermediate Results, Areas of Focus and Indicators

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

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

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

Indicators to measure progress include

- improved electoral administration, including the establishment of a legal electoral framework that is fair, open, and encourages participation by all elements of society,

- political processes which are free, and include political parties which represent the various constituencies, sector issues and ideologies in specific societies,

- increase citizen knowledge and awareness of electoral and political processes

- increased citizen ability to monitor elections

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

- training, technical advice and commodities provided to improve electoral administration, including assistance to independent electoral commissions

- training and capacity building for political parties

- voter and civic education programs

- training and capacity building for monitoring efforts

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

- conduct assessments to identify needs and current practices in elections

- develop and disseminate appropriate strategies, models, methodologies and indicators,

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

C Progress

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

Technical Leadership

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

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

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

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

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

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

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

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

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

Field Support

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

Improved election administration.

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

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

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

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

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

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

• In 1995 and early 1996, the Nicaraguan mission provided assistance to the Nicaraguan Supreme Electoral Council to procure computer hardware, contract with information speecialists and develop a permanent voter registry In connection with this work, over 6500,000 voter identification cards were requested, and it is now estimated that more than 50% of the registered voters in Nicaraguanmunicipalities with a permanent registry will have been issued voter ID cards before the new election scheduled for October, 1996

• **Voter education programs increase citizen knowledge and awareness**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

civilian government

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

D. Challenges for Future Progress

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

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

E. Gender Issues

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

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

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

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

F. Summary

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

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

social contract that citizens are achieving with their respective governments

G Expected Progress in FY 1997 and 1998

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

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

Specific technical leadership initiatives include

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

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

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

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

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

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

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

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

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

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

Program Activities and Field Support

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

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

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

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

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

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

Direct Program Impact in Elections

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

SO 3 Elections

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

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

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

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

SO INDICATOR
Increased citizen ability to monitor elections

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

Specific Actions Within Identified Countries

1 Provide training technical advice and commodities to improve electoral administration including assistance to independent electoral commissions

2 Provide training and capacity building for political parties

3 Provide voter and civic education programs

4 Build capacity for monitoring efforts

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

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

1 Conduct assessments to identify needs and current election practices

2 Develop and disseminate appropriate strategies models methodologies and indicators

3 Conduct global comparative analyses and facilitate the exchange of ideas to identify lessons learned develop more effective methodologies and achieve cross-border impact

STRATEGIC OBJECTIVE 4: CIVIL SOCIETY

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

A. Approach

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

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

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

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

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

Labor

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

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

B. Intermediate results, Areas of Focus and Indicators

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

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

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

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

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

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

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

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

- facilitate the implementation of field services

Labor

For labor programs, intermediate results include

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

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

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

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

C. Progress (excluding labor)

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

emphasis on civil society

Technical Leadership (excluding labor)

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

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

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

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

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

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

Field Support

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

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

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

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

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

D. Program management

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

Labor

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

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

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

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

• In Mexico, AIFLD has assisted a newly formed coalition of 21 independent unions, representing 2 1 million members, in strengthening their institutional capabilities to promote the social and economic interests of their members and the influence government policies

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

E. Analysis of Data

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

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

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

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

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

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

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

F <u>Issues Affecting Women and Disadvantaged Groups</u>

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

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

<u>Labor</u>

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

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

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

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

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

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

G <u>Expected Progress in FY 97 and FY 98</u>

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

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

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

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

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

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

NI Tarity

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

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

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

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

Labor

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

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

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

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

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

SO 4 Civil Society

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

SO INDICATOR

The development of sustainable nongovernmental organizations

SO INDICATORS

Increased citizen access to information

SO INDICATORS

The establishment of an independent media

SO INDICATORS

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

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

1 Develop and disseminate models strategies methodologies and indicators for the implementation of civil society programs

2 Identify and apply lessons learned based on field programs and selected interventions

3 Increase capacity for public organizations to design and implement civil society programs

4 Facilitate the implementation of field services

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

1 Unions demonstrate the capacity to be free viable and self sustaining

2 Union led coalitions which advocate for institutional and policy reform at the national regional and local levels

3 Unions actively participate in electoral processes

4 Unions monitor the extent to which internationally recognized worker rights are adhered to

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

A. Approach

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

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

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

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

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

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

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

B. Intermediate Results, Areas of Focus and Indicators

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

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

- more effective overall strategies for implementing DG programs, including results measurement
- integration of cross-cutting issues within and outside of the DG sector, and
- developing and strengthening a cadre of trained DG professionals within USAID

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

- development of effective systems to coordinate the Center's regional backstop responsibilities, including communicating with field missions on a regular basis, participating in the review of CPSPs and R4s, and providing quality technical advice for separate mission proposals for DG programs
- identification of appropriate strategies, theories/models, methodologies, evaluations and indicators to successfully integrate the four DG sectors, including recommendations for sequencing and cross-sectoral integration both within DG and between DG and other sectors of USAID's work
- providing analyses, research, and information to assure better USAID programming in the DG area, both within USAID and the broader DG community
- managing mechanisms to address critical cross-cutting themes, including women's

political empowerment

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

C. Progress

Technical Leadership

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

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

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

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

Field Support

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

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

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

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

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

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

DG Center's Information Team

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

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

D. Gender Issues

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

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

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

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

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

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

E DG Professionals

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

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

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

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

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

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

F. Expected Progress in FY 97 and FY 98

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

Technical Leadership

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

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

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

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

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

Special Objective

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

SO INDICATOR
More effective strategies for implementing programs established

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

SO INDICATOR
A cadre of DG professional trained and developed

SO INDICATOR
Methods for measuring results developed

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

1 Develop effective systems to coordinate the Center's regional backstop responsibilities

2 Identify appropriate strategies theories models, methodologies evaluations and indicators to successfully integrate different DG sectors

3 Provide analyses research and information to assure better USAID DG programming

4 Manage mechanisms to address critical cross-cutting themes such as women s political empowerment

5 Enhance professional development through DG training workshops and recruitment

Annual Performance Report 1995

Full Report

Center for Development Information and Evaluation
Bureau for Policy and Program Coordination
U.S. Agency for International Development

February 1996

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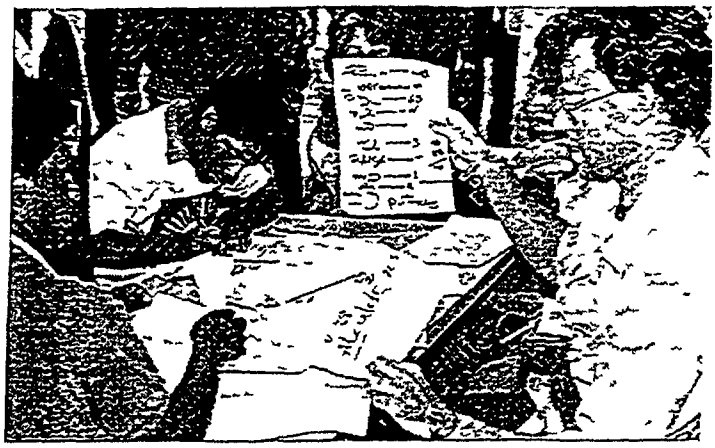

3. Building Democracy

IN AN ERA of unparalleled political change, scores of nations are making the painful transition from repressive, autarchic regimes to democratic governance USAID is in the forefront of this great wave, helping countries, where invited, build democratic institutions and strengthen the societal underpinnings essential to their success In 65 countries on four continents, the Agency is helping guide the people and their leaders toward open, representative government

Assistance in democracy and governance has obvious benefits for countries in transition But it is in the U S national interest as well Democratic countries are less likely to engage in war, generate large refugees flows, or disintegrate into complex crises, which then consume significant donor resources

Some examples illustrate how democratic development directly benefits U S economic and security interests

Not even a decade ago, much of Latin America and the Caribbean was characterized by dictatorship and military government, violence, conflicts, and closed economies Those conditions brought on chronic, large-scale illegal migration to the United States Today, almost all governments of this region are democratically elected The level of conflict has reduced dramatically, and refugee flows from the region have slowed considerably In addition, U S exports have made substantial gains during 1985–94, the annual increase in U S exports to Nicaragua averaged 17 9 percent, to Argentina, 22 5 percent, to Brazil, 11 2 percent, and to Chile, 16 9 percent

Racism, economic controls, and labor oppression dominated Southern Africa, a region with considerable mineral deposits and trade potential These conditions moved the United States to divest, disinvest, and impose sanctions in that region—bringing to a halt normal trade relations Today, Mozambique, Namibia, Zambia, Zimbabwe, and most significantly South Africa have all progressed through the early stages of democratic transition The region is open to, and encouraging of, U S investment and trade

For decades, the states of Eastern Europe were part of a politically authoritarian, economically closed, and militarily hostile bloc Today, countries of the region operate on a democratic basis, and U S exports to the region have grown dramatically During 1985–94, U S exports to Poland grew by 11 3 percent a year and to Hungary by 14 1 percent Even more remarkably, a number of countries in the region have indicated their

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desire to become security allies with the United States through NATO Albania and Hungary have both demonstrated their willingness to help the United States and NATO in the Serbian–Bosnian conflict

By contrast, in some countries whose political situation has deteriorated, no similar rise in U S exports has occurred In the same period (1985–94), for example, U S exports to Burma, Nigeria, Sudan, and Zaire have all experienced negative or no growth

These examples are not intended to suggest that democracies in these regions are without serious problems, or that democratization is a sufficient or even necessary condition for increased U S exports International trade is far too complex for such simple connections to be made But they do suggest there are some positive links of substantial advantage to U S economic interests

Another direct benefit of the democratization process concerns the environment As chapter 5 demonstrates, problems associated with pollution, deforestation, diminishing biological diversity, and possible global climate change are all transnational and global They are of immediate concern to citizens of the United States New political openings in many countries enable the United States more easily to provide training, technical assistance, and public education in environmental matters Such aid has helped Eastern Europe and the fo ner Soviet Union, for example, deal with grave soil and air pollution It has helped countries in Asia and Latin America find alternatives to wholesale deforestation

In addition, the whole endeavor of building civil society is creating a demand for better environmental and natural resource management policies and practices and encouraging community management of natural resources Formulation of monitoring, advocacy, and public interest organizations is essential to sustained interest in environmental protection

To maximize progress toward achieving the Agency goal of building sustainable democracies, and in light of limited resources, USAID programs are targeted in four priority areas (see table 3 1) Their objectives are

- Strengthened rule of law and respect for human rights
- More genuine and competitive political processes
- Increased development of politically active civil society
- More transparent and accountable government institutions

This chapter discusses accomplishments in each area and notes what still needs to be done to consolidate that progress and continue striving to achieve the overall goal of building sustainable democracies [11]

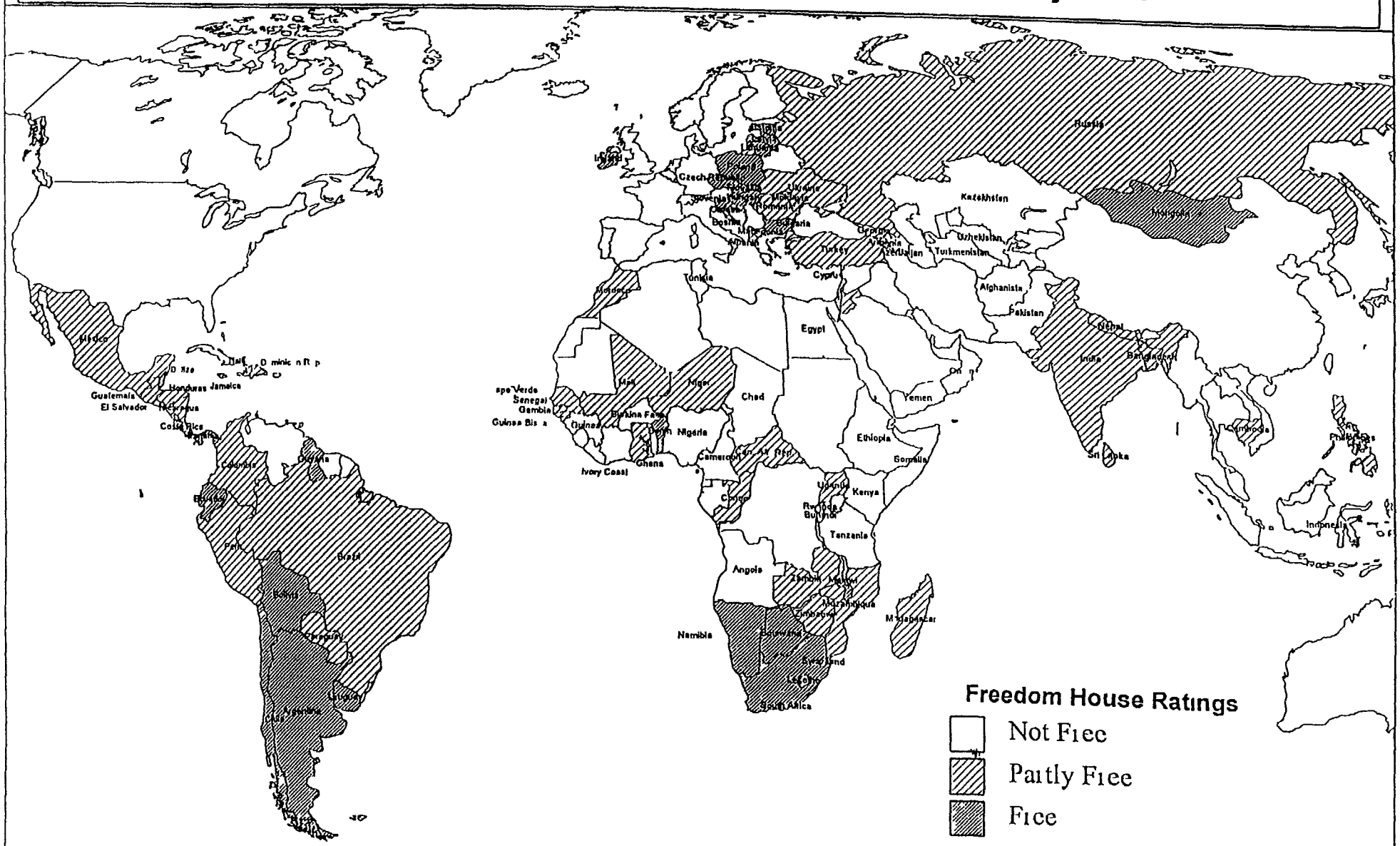
Measuring Program Performance

USAID assistance in democracy and governance is relatively new And whereas other sectors rely on decades of research and information collection, in democracy and governance USAID is helping define the boundaries of assistance and methods for determining the impact of democracy and governance assistance Given the incremental, complex, and nonlinear nat . of political change, the Agency faces considerable challenges in measuring the success of democratization programs

Increasingly, the Agency is refining and using structured performance measurement tools During the past year, USAID staff developed a straightforward yet comprehensive framework for guiding programming (see figure 3 1) In addition, the Agency's program performance database tracks country-level strategic objectives and program outcomes, their indicators, projected results, and actual results for all programs

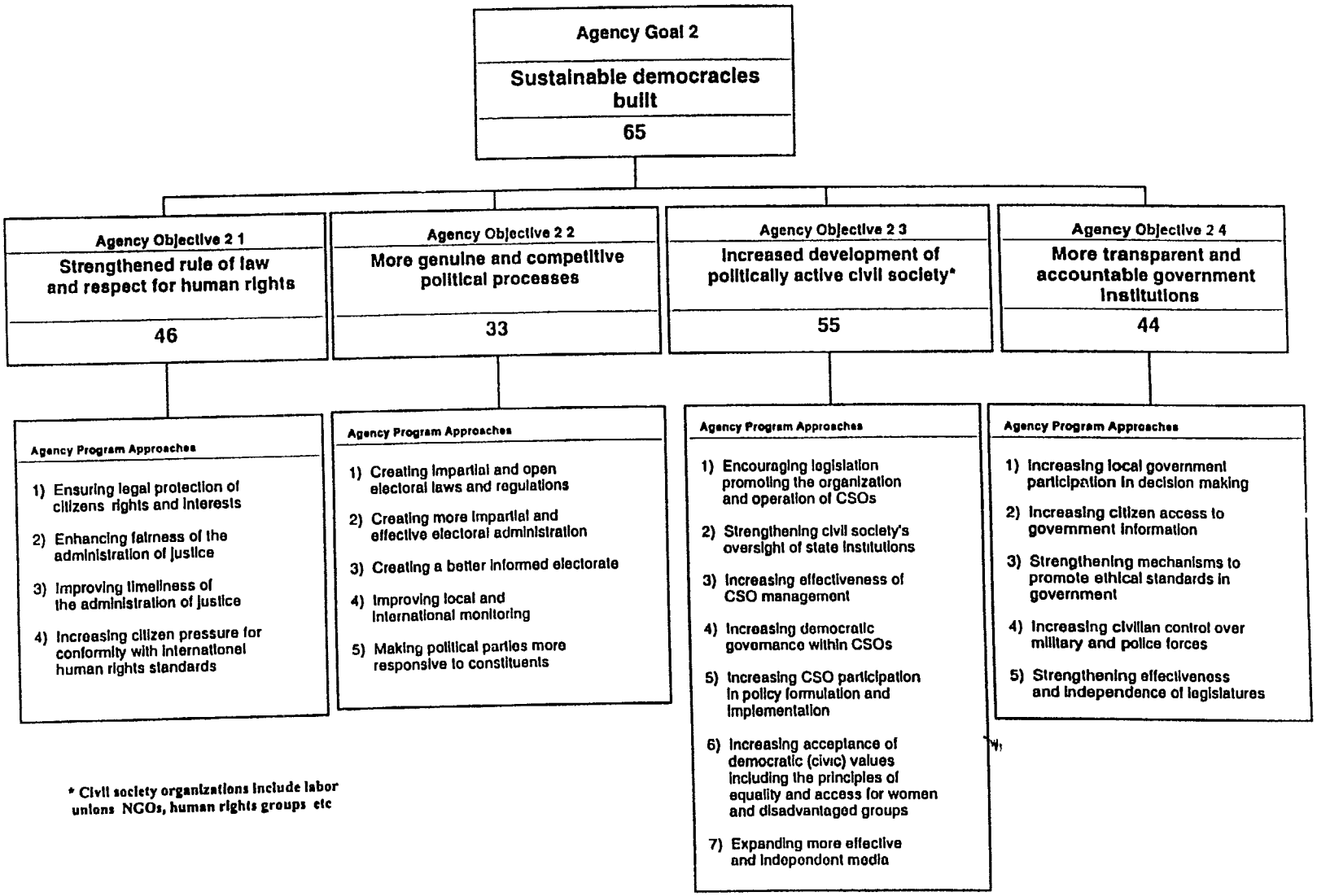
[11] Map 3 1 shows the current status of democracy in the countries where USAID has programs *Source* Freedom House *Freedom in the World The Annual Survey of Political Rights and Civil Liberties 1994-95* New York, 1995

Map 3.1. Freedom Ranking in Countries Identifying Democracy and Governance as a Strategic Objective



Source Freedom House, *Freedom in the World the Annual Survey of Political Rights and Civil Liberties, 1994/95*

Figure 3 1
Democracy Strategic Framework 1995
Number of Country Programs Contributing to each Objective



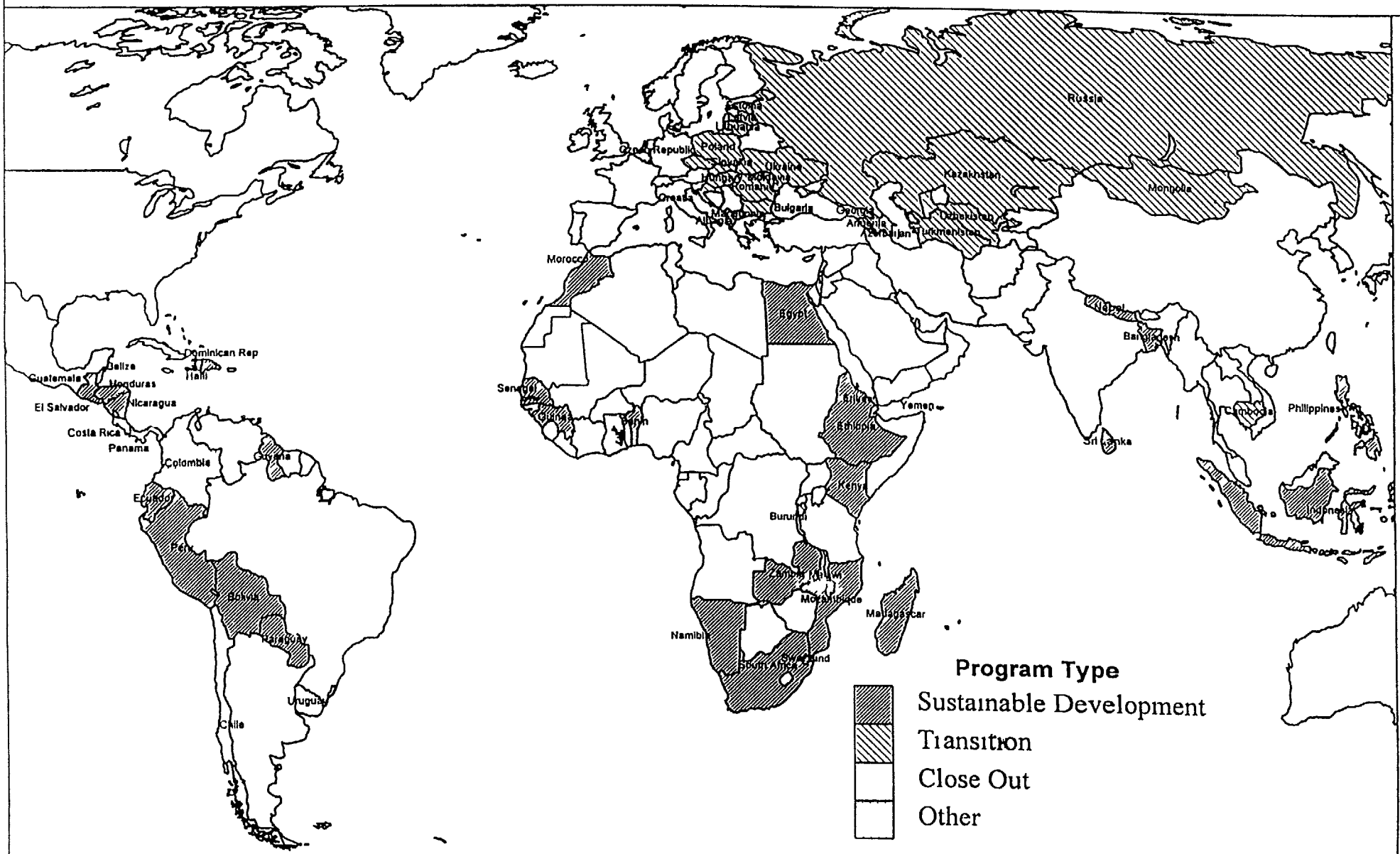
* Civil society organizations include labor unions NGOs, human rights groups etc

Table 3.1 USAID Programs with Democracy and Governance Objectives in 1995[a]

	Africa	Asia/Near East	Europe and the New Independent States	Latin America and the Caribbean	Total
Number of programs	29	18	26	20	93
Number with DG objectives	14 (48%)	10 (56%)	24 (92%)	17 (85%)	65 (70%)
Objective 2 1 Strengthened rule of law and respect for human rights	Burundi *Ethiopia Kenya Madagascar Malawi South Africa Zambia* (7)	*Bangladesh* Cambodia, *Egypt Indonesia* Mongolia *Nepal Sri Lanka* (7)	Albania Armenia Belarus Croatia Czech Republic Estonia Georgia Kazakhstan Kyrgyzstan Moldova Poland Russia Slovakia Tajikistan Ukraine Uzbekistan (16)	*Bolivia* Chile Columbia Costa Rica, *Dominican Republic Ecuador El Salvador Guatemala Guyana* Haiti *Honduras Nicaragua* Panama, *Paraguay Peru* Uruguay (16)	46 (50%)
Objective 2 2 More genuine and competitive political processes	Burundi *Ethiopia Guinea Malawi Mozambique South Africa Zambia* (7)	*Bangladesh* Cambodia, Mongolia (3)	Albania, Armenia Azerbaijan Bulgaria, Estonia, Georgia Kazakhstan, Kyrgyzstan Latvia, Lithuania, Macedonia Moldova, Romania, Russia, Slovakia Tajikistan, Ukraine Uzbekistan (18)	Chile *Dominican Republic El Salvador* Haiti *Nicaragua (5)*	33 (36%)
Objective 2 3 Increased development of politically active civil society	Benin, Ethiopia, Guinea Kenya, Madagascar Malawi Mozambique Nambia South Africa, Zambia (10)	*Bangladesh* Cambodia, *Egypt Indoresia* Mongolia *Morocco Nepal Philippines Sri Lanka Yemen* (10)	Albania, Armenia Azerbaijan, Belarus Bulgaria, Croatia Czech Republic Estonia Georgia Hungary Kazakhstan Kyrgyzstan Latvia, Lithuania, Macedonia Moldova Poland Romania, Russia, Slovakia Tajikistan Turkmenistan, Ukraine Uzbekistan (24)	Belize *Bolivia Dominican Republic Ecuador El Salvador Guatemala Honduras Nicaragua* Panama, *Paraguay Peru* (11)	55 (59%)
Objective 2 4 More transparent and accountable government institutions	*Guinea Kenya Malawi Mozambique Senegal* Swaziland, *Zambia* (7)	*Bangladesh* Cambodia, *Egypt* Mongolia *Morocco Nepal Philippines Sri Lanka* (8)	Albania Bulgaria, Croatia, Czech Rep Estonia Georgia, Hungary Kazakhstan Kyrgyzstan Latvia Lithuania, Macedonia, Poland, Romania Russia Slovakia Ukraine (17)	*Bolivia* Chile Costa Rica *El Salvador Guatemala Guyana* Haiti *Honduras Nicaragua* Panama *Paraguay Peru* (12)	44 (47%)

[a]Sustainable development countries are in italics Table presents all programs with an approved Strategic Plan submitted by June 1995 that identify democracy and governance as a strategic objective or target of opportunity Countries that are working in this arena and are either in the process of submitting a democracy and governance strategy or have a smaller program not classified as a strategic objective include Angola, Eritrea Gambia Ghana Jordan, Mali, Somalia, Tanzania, Uganda and the West Bank–Gaza

Map 3 2 Progams with Strategies Contributing to Democracy and Governance Goal



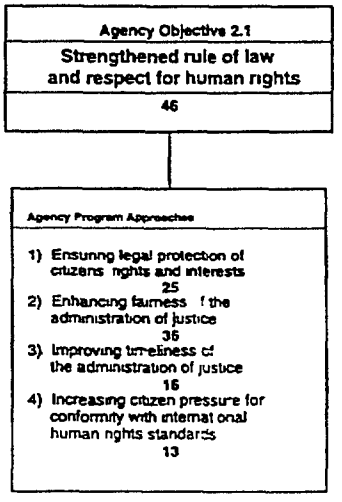
Strengthened Rule of Law and Respect for Human Rights

The first Agency objective in democracy and governance is strengthened rule of law and respect for human rights Rule of law protects citizens against arbitrary use of state authority and against the lawless acts of other citizens It ensures that all citizens are treated fairly and are not subject to the whims of the powerful

Internationally recognized human rights provide a framework for citizens to interact with each other and with the state Human rights guarantees include security of person and property, freedom of speech, assembly, movement, and religion, the right to due process, freedom to work at a job of one's choosing for a salary one is able to negotiate, and equality for women and other marginalized groups

Without rights, and a legal system that protects those rights, citizens do not have the opportunity to defend their interests and to have them weighed in public policy formulation Furthermore, the existence of professional and equitable legal systems abroad directly benefits U S citizens and corporations by laying the foundation for equal and predictable treatment under the law USAID's approaches to strengthening rule of law and respect for human rights include ensuring legal protections of citizens' rights and interests, enhancing fairness of the administration of justice, improving timeliness of the administration of justice, and increasing citizen pressure for conformity with international human rights standards (see figure 3 2)

Figure 3 2
Number of Country Programs
Contributing to Agency Objective 2 1



Program Performance

Several strategies for ensuring legal protection of citizens' rights and interests have been successful In newly emerging democracies, USAID often directs its efforts initially on the basic instrument of any democracy—its constitution

In 1990, virtually all African countries were operating under constitutions that were vestiges of documents inherited from the former colonial power These documents had been amended, usually on an ad hoc basis, to suit the needs of a series of increasingly authoritarian governments Consequently constitutional and ordinary laws increasingly infringed on basic human and civil rights and produced unsustainable patronage-based governance

As an outgrowth of the democratic revolution that has occurred in Africa since the early 1990s, constitutional reforms have been promulgated in more than 17 African countries These new or amended constitutions are providing improved protection of both human and civil rights and have in various ways diluted the power of the central state, in some cases dramatically These constitutional changes have strengthened and opened the possibility for strengthening democratic institutions Legislatures, courts, and civil society groups are increasingly invoking constitutional law as they play out their respective roles This phenomenon could not have occurred under the authoritarian regimes that dominated until 1990

Malawi provides one example of USAID's role in constitutional development In 1993 Malawi's leadership began to move from a single-party dictatorship toward a multiparty system This presented the women of Malawi with a unique opportunity to have a voice in the constitutional process USAID support, both formal and informal, was critical to their success Initially, USAID assistance enabled women delegates to attend a preelection All Party Conference At the close of this conference, seven of Malawi's political parties endorsed the concept of constitutionally established equal rights One month later, at the first national constitutional conference, women leveraged this commitment to gain support for inclusion of women's rights in the bill of rights They also recommended equal representation for men and women in the senate

As the constitutional-drafting process proceeded, the USAID Mission in Malawi served as an informal link between the drafting commission and women's groups This ensured the women timely knowledge of potential changes to the draft constitution That knowledge enabled them to successfully defend four separate challenges to the provisions for women in the bill of rights and equal representation in the senate One year later, at a conference held to address proposed amendments to the constitution, the women, in alliance with local chiefs, successfully resisted a ruling party proposal to abolish the senate The final result of these activities is a gender-sensitive constitution that provides equal rights and equitable representation

Once a fundamental legal framework is in place, USAID programs often direct attention to the quality of personnel and systems in place for rendering justice Strategies for training personnel in the judiciary and attorneys general offices emphasize increasing access to and knowledge of the law, independence, ethical standards, and investigative and prosecutorial capacity

In 1993 and 1994, Russia began reinitiating jury trials in nine regions after a hiatus of more than 70 years Responding to this initiative, USAID supported workshops where judges and lawyers were trained in the fundamentals of trial by jury and the adversarial process, and (at conferences for legal professionals) where issues—such as jury selection, evidence, ethics, and criminal procedure—were addressed This initiative received support through a growing public awareness generated by working with the media to publicize utilization of jury trials Its success has led four additional regions in the country—including Moscow City and St Petersburg—to reinstitute jury trials beginning in January 1996

In 1993, Honduran public prosecutors presented fewer than 700 criminal cases to tribunals, none involving public corruption With USAID assistance, the Honduran attorney general's office was created During 1995, more than 12,000 criminal prosecutions have been presented around the country For the first time in the history of Honduras, corruption charges have been pressed against 73 high- and middle-level government officials, including national and local political and judicial officials

But a functioning judicial system alone is not sufficient for fair administration of justice Citizen access is also essential One strategy for increasing access is to improve the government's ability to provide representation for citizens Many programs in the Latin American and Caribbean region emphasize the importance of expanding and upgrading public defenders' offices to help indigent defendants and reduce the large number of detainees languishing in prisons (see box 3 3)

In addition to governments, civil society organizations, particularly legal advocacy groups, have a strong and increasing role in promoting access to judicial systems They are inexpensive to support and largely self-directed They empower citizens by increasing both knowledge of their rights and access to the justice system

The South Africa Mission has funded 60 legal advice centers In addition to providing legal education, these centers filed more than 10,000 cases that resulted in the collection of more then $1,085,000 in money and property on behalf of their clients The Mission also supported the South Africa Legal Defense Fund, whose network of attorneys handled cases involving women's right to inherit

Box 3 1 Ensuring Public Security in Haiti

USAID's involvement in Haiti has affected a number of sectors of Haitian society One is the justice sector

The Agency's goal in its administration of justice program in Haiti is to improve the effectiveness, accessibility, and accountability of the Haitian justice system Through USAID funding, Haiti for the first time in its history has a police force under civilian control This force, which will eventually number 5,000, is being trained by the International Criminal Investigative Training Assistance Program of the U S Department of Justice USAID funds the project Public security being of primary concern to the restoration of democracy, the existence of a capable civilian police force is essential for the short-term departure of U S and UN forces from Haiti and the long-term stability of democracy

In addition to creation of a civilian police force, USAID developed a training program for the 500 judicial officers (prosecutors and judges) throughout Haiti It has also established a judicial training school in Port-au Prince More than 50 civilian police have been trained by former U S Department of Justice personnel in maintaining order and control in the courthouse and in providing security for judges, prosecutors, witnesses, and accused This program has improved the image and functioning of Haiti's courts

USAID has also funded technical assistance to the Ministry of Justice The assistance goes toward creating procedures for monitoring court operations and toward developing capacity for a case-tracking system and continual supervision and inspection of judicial offices USAID funds also support renovation of decrepit court facilities

Finally, USAID is contributing to a prison reform program It includes training prison personnel, renovating prison facilities, and ensuring timely detention hearings

property and complex constitutional law issues, such as the right to bail and use of racial classifications

Programs addressing the *fairness* of the administration of justice often concurrently direct attention to *timeliness* USAID programs work on improving case management, including streamlining and automating the process Case-tracking systems are one tactic aimed at increasing timeliness

In Panama, for example, officials were in the past not held accountable for the cases they handled The USAID Mission and Panamanian government agreed that it was necessary to establish targets for current and future resources to improve the justice system The government not only met these targets but exceeded them At the end of 1994, courts handling 77 percent of Panama's criminal case load began using a new standardized case-tracking and statistical control system developed with USAID assistance By March 1996 the system will cover the country There are already signs of improvement in the timeliness of criminal processing by the courts, despite the relative newness of the system The percentage of cases processed within legally prescribed deadlines has increased This is particularly impressive given that case loads were increasing during that same period

Case-tracking systems often support the protection of human rights but are not necessarily sufficient by themselves USAID also supports human rights ombudsmen, improvements in the investigative process, and programs to strengthen the ability of the media and nongovernmental organizations (NGOs) to raise human rights issues

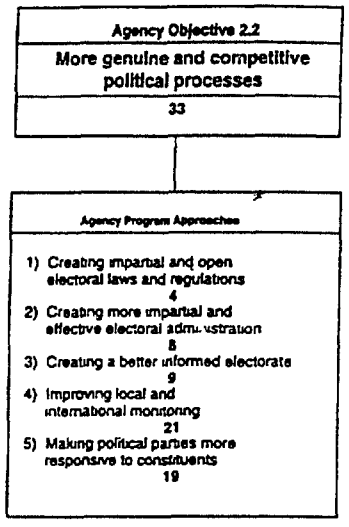
Although USAID has had many successes, there have also been instances in which valuable lessons were learned when programs were not implemented as planned For example, with the assistance of USAID/Guatemala, a long-awaited computerized human rights case-tracking system finally came on-line However, the Office of the Human Rights Ombudsman (OHRO) failed to use the system aggressively to investigate human rights abuses This led the Mis-

sion to condition further technical assistance on OHRO's taking a demonstrably more proactive role in investigation Other donors have followed USAID's lead in conditioning assistance on OHRO's performance The Mission is appropriately holding the Guatemalan government accountable for continuing enforcement of agreed-to reforms

More Genuine and Competitive Political Processes

The second Agency objective in democracy and governance is more genuine and competitive political processes When elections are manipulated, poorly managed, or held only after lengthy and unpredictable intervals, participation, competition, and the will of citizens are all compromised [12] USAID plays an important role in helping to ensure free and fair electoral contests around the world and to enhance competition USAID's approaches to achieving this objective include creating impartial and open electoral laws and regulations, creating more impartial and effective electoral administration, creating a better informed electorate, improving local and international monitoring, and making political parties more responsive to constituents (see figure 3 3)

Figure 3 3
Number of Country Programs
Contributing to Agency Objective 2 2



Program Performance

The constitution, laws, and regulations establish the framework for elections in a given country They can be written in such a way as to encourage fairness, openness, and participation by all elements of society—or they can create unfair advantages In several instances, USAID has supported technical advice concerning reform of the legal and administrative framework governing elections This has yielded significant results

Russia Major legislation on elections to the state duma and the presidency were signed into law Substantial segments of the new law were drawn directly from advice provided by USAID-funded NGOs and were based on weaknesses they detected in previous elections Of the 21 recommendations made by one NGO, 12 were implemented in their entirety and another six in part These reforms included balloting and vote-counting procedures, processes for reporting and disseminating results promptly at the local and national levels, and voting procedures for military personnel and absentee voters

[12] In addition to the countries reflected in figure 3 3 USAID-supported NGOs undertook election and political party-related ork in, or with representatives of more than 20 other countries They include, in Africa Benin, Botswana, Central African Republic, Chad Congo, Cote d Ivoire, Gabon, Gambia, Ghana Guinea, Kenya, Mali, Niger, Tanzania, Uganda, and Zimbabwe, in Latin America and the Caribbean Bolivia Brazil, Colombia, Guyana, Jamaica, Mexico, Panama, Paraguay, Peru, and Venezuela in Asia and the Near East Nepal and West Bank–Gaza, and in Europe Albania With the notable exceptions of Ghana and the West Bank–Gaza, most of these undertakings were relatively limited

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South Africa A USAID-sponsored organization helped determine why people were not registering for the 1995 local government elections and what was wrong with the registration system As a result, the South African government extended the registration period, allowed simultaneous intensification of voter education, and expressed greater flexibility about voting without preregistration These adaptations helped make the elections far more inclusive and less conflictual than had been anticipated

Dominican Republic Possibly the most interesting example of long-term impact emerges from the Dominican Republic, where the 1994 election was seriously flawed USAID provided technical assistance to the election commission and funding for election observation After considerable pressure, the election commission set up an investigation into the irregularities The investigation report of the troubled election was ignored by the election commission Mounting pressure from the civil society and the United States led to a political accord that called for limiting the president's four-year term, no presidential re-election, and other constitutional changes, including the judiciary Congress passed the accord with some modifications, and the new Presidential elections are set for May 1996

If election results are to reflect the popular will, citizens must understand the issues and must be able to determine which candidates represent their interests In addition, citizens need to know how and where to vote, and sometimes they need to know, or be reminded of why, voting is important USAID supports activities of NGOs and the media to improve citizen understanding, and to address gender-specific obstacles that limit women's participation in the electoral process

Voter education programs specifically tailored to local circumstances continue to have positive effects on public participation in elections Such outcomes become even more important in countries where citizens disheartened by the poor economic performance of their new governments have shown a tendency toward political apathy In Uganda, for example, a comprehensive Agency-supported voter education program contributed to an 87 percent voter registration rate and a ballot spoilage rate of only 3 4 percent

The Agency has also been at the forefront of implementing innovative methods to educate and encourage active electoral participation The emphasis has been on women and young people, who traditionally are less involved in electoral politics

For example, in collaboration with its partners, USAID in 1993 launched the Women in Politics project to increase women's political participation in Asia The project supports indigenous initiatives that encourage women to participate in all aspects and at all levels of public decision-making—as voters, advocates, and leaders In Mongolia the project's support for leading women's NGOs has recently culminated in establishment of the Women's Coalition It brings together 20 women's NGOs for the purpose of influencing the parliamentary elections that will be held in June 1996 In particular, the Women's Coalition educates voters, seeks to put more women into elected positions, and presses for inclusion of gender issues in the platforms of all the political parties

Another example of innovation is occurring in the West Bank–Gaza Although elections there have not yet taken place, the Agency is working to develop a strong voter education program USAID-supported voter education programs are targeting women, youth, and ex–political prisone The Women's Center for Legal Aid and Counseling, for example, has prepared and presented democracy materials for women The Palestine Center for Peace and Democracy has conducted 153 workshops for students at 134 high and vocational schools And the Center for Palestine Research and Studies is using polls to encourage informed communication between citizens and politicians

In countries that are in transition to democracy or in the early stages of democratic consolidation, monitoring can play an important role in applying pressure on those conducting the election to do so in an honest manner Monitors can also increase public confidence in the privacy and importance of the vote Establishing nonpartisan local monitoring capacity is critical and increasingly emphasized by USAID In contrast to

international monitors, indigenous monitors are able to track election preparation well before elections are held, cover more polling places, and understand where deception is likely and how it occurs Moreover, emphasis on local monitoring helps create a sustained capacity that can be applied to elections whenever they occur, at both local and national levels

Armenia In the recent election, three organizations wanted to monitor the elections separately With U S –sponsored facilitation, an umbrella coalition of the three, Vote Armenia, was formed The coalition developed a monitoring plan, negotiated it jointly with the government and international agencies, and trained 1,200 election monitors, who were deployed throughout the country Although the election was far from perfect, distortions were reduced by the presence of the monitors, and the members of Vote Armenia gained both experience and confidence At the same time, costs were reduced and the coalition was able to judge the freeness and fairness of the election independently

Peru The Agency helped a Peruvian civic organization organize an election observation and quick-count program for the April 1995 national elections Over four months, this NGO grew from a staff of 3 to a national network of 47 regional committees and 9,000 volunteers In a highly charged political environment, it provided the general public, as well as political parties, with election-day reports and early results, indicating that problems encountered were insufficient to undermine the integrity and results of the electoral process

This was the first time in Peruvian history that citizens have independently and directly verified the results of an election and assessed the quality of the process Moreover, the NGO addressed specific cultural constraints for women in rural areas and designed its activities specifically to encourage participation of women as voters, as members of electoral boards, and as participants in training events

Bangladesh Fairness of elections is one of the greatest issues in current Bangladeshi politics Indeed, the opposition political parties have resigned from the current parliament and called for appointment of a caretaker government to manage the next parliamentary elections, scheduled for early 1996 To address the issue of free and fair elections, USAID during the past year has supported the Fair Election Monitoring Alliance It is a coalition of almost 50 Bangladeshi NGOs devoted to election monitoring at both the local and national levels As part of its assistance, USAID recently trained 35 regional coordinators who will build local chapters of the alliance throughout the country

Moreover, the Agency has built a coalition of donors on this issue Through USAID's leadership, the coalition consists of Canada, Denmark, Great Britain, Japan, the Netherlands, Norway, Sweden, the UN Development Program, and the United States

As evidenced in the Bangladesh example, whenever possible, for reasons of effectiveness and economy, USAID seeks close cooperation with other donors, especially UN agencies USAID programs have established a strong track record of taking the initiative in this regard For example, in Mozambique's recent post–civil war election, not only did all U S government agencies cooperate to great effect, USAID took a lead role in a multidonor advisory commission that developed voter education materials and trained party officials and nongovernmental monitors Some 32,000 poll watchers were trained to staff 7,000 polling stations The success of that election is considered to have helped democracy in Mozambique and also to have boosted U S efforts to stabilize Southern Africa's political and economic systems

More active and effective political parties increase the vitality of competition and give citizens greater choices Much of USAID's support for political parties occurs in the context of elections In Thailand, for example, the USAID Women in Politics Program provided political party training to more than a thousand women in five northern provinces before the 1995 local elections Of the 289 women who ran, two thirds had received training, and 109 (34 percent) were elected The number of women holding office

in these provinces increased from an average of 1 percent before the elections to 14 percent afterward

Similarly, USAID/Argentina supported training for women in politics Of 343 women who received training, 111 had been engaged in politics before training, after training, this number increased to 168 Thirty-seven of these trainees have been elected to political office

Parties can also play an important role in managing conflict successfully Working on a nonpartisan or multipartisan basis, USAID supports building the capacity of political parties to analyze policy issues and to interpret and incorporate the wishes of their constituents in developing and promoting platforms The South African election, in which USAID support assisted four previously disenfranchised parties, provides one among a number of recent examples of the utility of this type of assistance

In addition to strengthening parties for election participation, USAID aims to reduce interparty hostility and to enhance parties' role in peaceful political conflict resolution In Côte d'Ivoire, USAID assistance contributed to the establishment of a forum that brought together no fewer than 82 political parties This was the first time such a comprehensive gathering of political actors had occurred The forum drafted a code of conduct that curtailed infringements of party regulations and reduced interparty tensions

Similarly, in Haiti, the election, while flawed, was relatively free of violence and intimidation despite a highly polarized environment Critical to this achievement was USAID's support for a public debate between the parties The debate was peaceful and well publicized, and it served to keep the parties engaged in the election process and focused on issues

USAID has learned the importance of, and therefore gives more emphasis to, programs conducted after elections The Agency also now gives more emphasis to the period between elections when there is still time to make carefully considered improvements in laws and regulations and in voter information and attitudes After the recent election in Peru, for example, the Agency continued assistance to various nonpartisan civic organizations concerned with elections In Venezuela, civic education continued after the election in order to help voters better understand the roles of their newly elected representatives USAID/Nicaragua is already providing voter registration assistance for the 1996 election Widespread registration is seen as crucial to democratic progress in that country

The Agency continues its efforts to find and refine methods for making a greater impact at less expense Toward this end it undertakes such activities as putting more emphasis on training trainers, who in turn train others, relying more on local organizations, and cooperating more effectively with other donors USAID activities in Mozambique and Peru provide successful examples of these efforts

The Agency also continues to bring election officers together on a regional basis to facilitate learning and sharing of lessons and experience as a cost-effective way of educating and providing support for election officials and NGOs In Africa, for example, USAID supported a colloquium for African electoral administrators, establishment of the African Association of Election Authorities, and a pan-African workshop on designing democracy materials Similar conferences have been held in Europe and the Americas

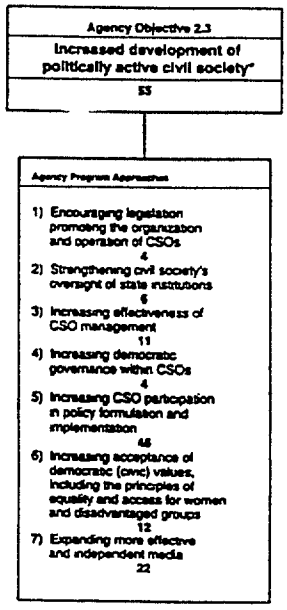
Increased Development of Politically Active Civil Society

The third Agency objective in democracy and governance is increased development of politically active civil society A strong civil society is crucial to democracy "Civil society" is the broad term given to voluntary associations of all sorts, it inhabits the area between individuals and the state Nongovernmental organizations constitute a vital channel for sharing information and for the formulation and representation of interests Their collective nature helps ensure that their members' interests are weighed by policymaking bodies In addition, collective action helps protect individual members from

arbitrary and capricious governmental retaliation

With their assorted political interests, organizations monitor government performance and create strong pressure for accountability They inculcate democratic values, giving people practice in democratic principles and creating opportunities for new leaders to rise USAID democracy programs designed to strengthen civil society generally focus on civil society organizations (CSOs) engaged in or having the potential for championing adoption and consolidation of democratic governance reforms USAID's approaches for strengthening these CSOs as well as civil society in general include encouraging legislation promoting the organization and operation of CSOs, strengthening civil society's oversight of state institutions, increasing effectiveness of CSO management, increasing democratic governance within CSOs, increasing CSO participation in policy formulation and implementation, increasing acceptance of democratic values, and expanding more effective and independent media (see figure 3 4)

Figure 3 4
Number of Country Programs Contributing to Agency Objective 2.3



Civil society organizations include labor unions, NGOs, human rights groups, etc.

Program Performance

Democratic governance requires societal participation in policymaking and policy implementation Civil society organizations provide a means by which ordinary men and women can affect decisions made in the public realm Increasing CSO participation in policy analysis, formulation, and implementation is the most common aim of USAID's civil society programming USAID strategies include supporting development of networks of civil society organizations, improving the organizations' capabilities in management, planning, advocacy, fundraising, and policy analysis, and creating forums that provide increased opportunities for the organizations to engage government in policy dialogue

Because strengthening organizations in civil society is both an objective and a means of promoting democracy, support for civil society organizations is frequently a strategy for achieving results under other democracy objectives Enhancing good governance requires strengthening the organizational capacity of society to demand greater accountability from political and bureaucratic institutions Similarly, rule-of-law programming includes support for human rights and other legal assistance organizations And civic education projects are often closely tied to efforts to promote broad and meaningful participation in elections

USAID investments in civil society organizations that target particular issues can generate spillover effects that contribute to systemic reform In Thailand, for example, the growth of environmental CSO activism strengthened the call for more fundamental democratic reforms The Agency began working with environmental advocacy groups in 1990 as part of its new democracy program This effort aimed at improving CSO skills in coalition building, strategic planning, media projection, fundraising, and policy advocacy

Many of these USAID-assisted environmental CSOs became active in organizing forums to protest against the military regime that seized power in 1991 Later they engaged themselves in educating the public on election issues and monitoring the election process In addition, CSO calls for empow

ing community resource management are reinforcing demand for government decentralization The government's proposed constitutional amendment to introduce a freedom of information act also reflects persistent environmental CSOs' pressure for public hearings on infrastructure projects

The foregoing example, as well as others throughout this chapter, detail activities of civil society organizations that specifically aim to further democratization However, even more broadly, USAID and others donors have recognized that progress in addressing major development issues (such as broad-based economic growth, management of natural resources, and population growth and health needs) *depends* on the generation of indigenous social activism and advocacy The Agency's support for civil society organizations therefore cuts across its sectors of program emphasis—economic growth, environment, and population, health, and nutrition, as well as democracy and governance

For example, CSO activities often target particular sectoral reforms, such as private sector development or environmental protection USAID's Implementing Policy Change project has worked with business associations to develop market-based economic policies that expand opportunities for the private sector and encourage greater interregional trade and cooperation In Uganda, the Manufacturers' Association has received assistance from the Implementing Policy Change project for its annual forum The forum brings together academics, private sector leaders, and high-level government officials to formulate economic policy reforms that are liberalizing the country's trade and investment regime Across the Sahel, the Implementing Policy Change project has worked to improve the management, planning, and advocacy skills of a coalition of private sector business networks These networks, after only a few years' existence, have already persuaded governments to reduce tariff rates, liberalize investment policies, and reduce commercial tax rates The relaxation of policies has led to new jobs and an improved quality of life in the region

The Philippines provides another example of an Agency program in economic growth that utilizes civil advocacy organizations to achieve their objectives

An agribusiness coalition in the Philippines has recently affected economic policy decisions in a way that will lead to broader based, market-driven economic growth The USAID Mission had been working over the past two years with agricultural groups to encourage policy analysis and deliberation of important issues within the agricultural community During that time a draft executive order on tariffs was released It would have given special incentives to a few industrialists and increased packaging input costs for most farmers

Alarmed at the prospects, the groups with whom USAID had been working forged a new coalition In a public hearing, they used the tools and experience gained with USAID support to protect the interests of small farmers and to gain a modification of the executive order USAID support was crucial to the emergence of a new consensus on agricultural policies that will make Filipino farmers more competitive in the market emerging as a result of the General Agreement on Tariffs and Trade

A major function of civil society is to spread democratic values so widely that they become the norm and govern relationships among individuals and between state and nonstate actors Widespread acceptance of democratic values is of course vital to the sustainability of democracies USAID directs its interventions at expanding knowledge about and belief in democratic principles through civic education programs One mechanism for providing information and a check on the behavior of public institutions is to develop independent, competent, and diverse media USAID works with media organizations, through training and technical assistance, to improve the quality of their work The Agency also assists media entities in improving their financial, management, and planning skills

Since 1992, USAID/Zambia has provided assistance to privatize state-owned print and broadcast media It has also supported development of legislative and regulatory reform to improve the availability of public information and ensure freedom of ex-

pression As a result, several private newspapers are now publishing Private sector journalists now account for 45 percent of working journalists, up from 24 percent in 1993 In addition, the state monopoly on electronic media was broken in December 1994 when Zambia's first privately owned radio station began broadcasting Six additional applications for privately owned electronic broadcast media are now pending While there have been incidents of government interference in the affairs of one newspaper in retaliation for critical reporting on some powerful politicians, for the most part the record has been positive Open and critical discussion of politicians and policies is now common in Zambia's media (see also box 3 2)

In Nicaragua, USAID matching grants to media broadcast organizations to purchase better equipment has stimulated an increase in public affairs broadcasting on both ra and television Interviews, debates, and c in programs have helped inform citizens major political issues, including consti tional reform and the new military code A result, as the government develops and

Box 3.2 Democracy Consolidated in Mali

By 1992 the people of Mali had suffered through nearly 30 years of increasingly authoritarian regimes that had maintained their power through a strategy of elite cooptation and coercion The strategy was based on an unsustainable system of patronage bolstered by an increa ngly harsh system of political coercion These systems produced a repressive environment in which an independent media and civil society were not allowed to develop, opposition political parties were banned, the legislature and judiciary were weak, corrupt, and used as tools of the regime, and the military's main role was to maintain internal stability and the regime These systems were based on social, economic, and financial policies that produced economic stagnation and decline, and eventually generated social and political unrest

In 1991 violent student demonstrations, culminating in a thousand deaths, led to a military overthrow of the regime In the context of the democratic revolution in Eastern Europe and the Soviet Union, the military set up a broad-based national transition government whose primary mandate was to guide the transition to democracy One of the first decisions of the transition government was to establish a National Conference as the primary mechanism for designing a new democratic system of governance The National Conference s mandate was to draw up a new constitution and set the rules, procedures, and structures for national elections

Responding rapidly to the emergi situation, USAID took the lead in supporting the National Conference The Agency became its primary source of financing and technical assistance USAID also provided financial and technical support to the National Election Commission and supported voter education program

The transition government and the National Conference were remarkably successful in carrying out their mandates A liberal democratic constitution was completed on schedule and ratified through a national referendum National elections were successfully conducted in 1992 Now, less than four years after the revolution, a dramatic change has occurred in Mali's political system Repression is no longer a tool used to control the masses

Mali now has more than 500 new NGOs registered and more than a thousand other civil society groups engaging in various forms of self governance at the national and local levels It has a competitively elected a parliament actively engaged in reviewing, revising, and drafting new legislation and in overseeing the performance of t executive The country has seen an explosion (more than 80) of daily, weekly, and monthly newspapers and periodicals, and people receive information from more than 25 national and regional radio stations

During this period, Mali has become one of the star performers in Africa under the World Bank's Structural Adjustment Program in that it has met or surpassed all its reform targets More important, political and economic reform are beginning to boost economic growth These changes are evidence of serious democratic consolidation processes under way in Mali Most important, none of this would have happened had the transition not occurred

plements new policies, it has been giving greater weight to public opinion In addition, the Agency has supported journalism training, and that has led to a noticeable improvement in objective reporting over the past year

As their independence has increased, Nicaraguan journalists' associations have become more vocal in support of reporting that is free from government interference For example, journalist unions recently prevented a purge of moderates from party-owned media The Nicaragua program is an outgrowth of a nine-year regional activity to strengthen the media in Central America That project now in its final stages, is establishing a self-sufficient training faculty in Panama, funded and managed by Central Americans

The International Media Center in Ukraine, with assistance from a USAID-funded grantee, broadcasts the news four times daily on state television This is the first independently produced television news program to be broadcast throughout Ukraine

With USAID funding, small television studios in Russian provincial cities have been linked into a growing network of producers and broadcasters, sharing programs, spreading know-how, and bringing uncensored news to their viewers The importance of an independent media was exemplified in the accurate reporting presented on the war in Chechnya, exposing differing points of view in that military operation

More Transparent and Accountable Government Institutions

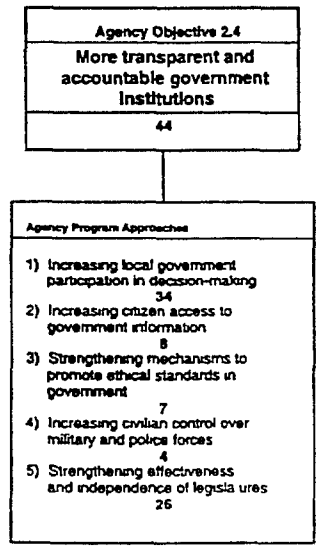
The fourth Agency objective in democracy and governance is more transparent and accountable government institutions The behavior of formal state actors can support or undermine developmental and democratic processes Strengthening performance, respecting ethical standards, consulting broadly to ascertain citizen interests, sharing information and acting in an open manner, diffusing power by sharing decision-making with local government entities (and with citizens by increasing the space for self-governance)—all these help ensure that government decision-making is impartial and informed and that follow-up implementation is competent Such behavior supports the long-term sustainability of political institutions and people's confidence in democratic principles

Accordingly, USAID supports development of more transparent and accountable government, utilizing the following approaches increasing local government participation in decision-making, increasing citizen access to government information, strengthening mechanisms to promote ethical standards in government, increasing civilian control over military and police forces, and strengthening effectiveness and independence of legislatures (see figure 3 5)

Program Performance

Decentralization can increase the competence of public agencies by lightening the burden of those at the center and allowing those closest to an issue to make decisions It enables citizens who are most concerned about an issue to influence the decision-making by putting the source of the decision closer to them Dispersing power also reduces the political stakes and minimizes, or at

Figure 3 5
Number of Country Programs Contributing to Agency Objective 2 4



least scatters, opportunities for corruption and political patronage At the same time, it leads to greater community self-reliance In its work to promote decentralization, USAID stresses devolution of authority to local governments, improving the effectiveness of those units and increasing community involvement in local government decision-making and service delivery

USAID's approach to supporting decentralization differs from country to country depending on the capabilities and system of government in place Enabling legislation may be a necessary first step In Central America, for example, mayors historically have not been granted revenue collection and retention authority In the rare instances where they have, tax rates have often been based on outdated formulas In Honduras, USAID assistance to the municipal association enabled it to advocate policy reform, increasing municipal revenue and expenditure authority Subsequently, the Honduran government passed decentralization legislation, and Honduran municipalities now have more fiscal autonomy than any others in Central America

In Bolivia, USAID assistance has been instrumental in helping formulate and implement that country's landmark Popular Participation Law of 1994 This law transfers substantial political and budgetary authority from the federal government to the municipal level and empowers citizen organizations and oversight committees to participate in the disbursement and monitoring of municipal budget allocations

Once legislation is enacted, meaningful implementation may require concerted effort The Philippines, since the passage of the Local Government Code in 1991, has initiated one of the most far-reaching and ambitious decentralization programs in the world Under authoritarian President Ferdinand Marcos, local development meant divide and control The new local code calls for 40 percent of national revenues to be transferred to local government units and provides local governments great latitude in developing municipal and regional tax codes and investment policies

Few communities were adequately prepared for these responsibilities In particular, in light of pressure on the national legislature from civil servants who preferred the old centralized bureaucracies, the communities needed to effectively represent their interests to the legislature

USAID's local government project responded across the board It helped specific local government units look at new solutions It studied fundamental policies such as personnel management It gathered data on successes to show that although things were difficult, meaningful progress was being made And it helped the local councils reestablish themselves as effective representatives of their members The Agency's efforts to improve the public administration capabilities of local governments have resulted in an 80 percent increase in local revenue collection This increase has helped reduce the national government's control over local decision-making and to reform a budgetary process formerly prone to political patronage and abuse

In Latin America, the Agency's efforts in local governance and municipal development have aimed to strengthen local governments through policy dialog In particular the Agency encourages dialog that expands the role of local governments in development activities and promotes community participation in local decision-making For example, USAID's Women in Local Development project, carried out in nine countries, increased participation of women in local governments and local governments' capacity to respond to the needs of women

Recent reforms in Asuncion, Paraguay, provide a detailed picture of the decentralization process Paraguay only recently emerged from a decades-long dictatorship that severely limited free association and expression In Asuncion in 1995, with modest amounts of technical and advisory assistance from USAID, the new, reform-minded mayor held the country's first public budget hearing The mayor had been convinced of the usefulness of hearings in contacts between the governments of Asuncion and Metro Dade County in Florida These city-to-city contacts

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were developed by USAID to transfer municipal management lessons learned in the United States to Latin America

Before the open budget hearing, radio spots and posters exhorted people to participate More than 400 people from various socioeconomic backgrounds attended, and more than 100 spoke Proposals considered viable at the hearing were presented to the municipal council, which approved more than 50 of them The council will issue a public document informing Asuncion's citizens of the decisions made and soliciting further feedback USAID is now providing assistance to Paraguay's capital in establishing a performance-based budget system Asuncion's hearing received extensive nationwide media coverage Shortly after it took place, Coronel Oviedo, an important secondary center in Paraguay, announced it too would hold open hearings as part of its budget process

USAID has been at the forefront of anticorruption efforts in Latin America and has raised awareness of the costs of corruption across the hemisphere Last year, this increased awareness yielded the Summit of the Americas' "No to Corruption" initiative As part of the initiative, USAID is taking a lead role in coordinating donor assistance to improve financial management across the region

Argentina provides an example where USAID has followed yet a different tack and is supporting citizen action against corruption It works with an Argentine NGO to spark local action At last count, 113 schools and NGOs were carrying out their own anticorruption programs This is up from 34 in 1993, and more than three times the number targeted by USAID

In many new democracies, the military retains considerable political and economic influence and can threaten fragile democratic gains Redefining the role of the armed forces in ways that subordinate them to civilian authority therefore makes a pivotal contribution to sustaining democracy and promoting overall development on a path responsive to citizen needs and desires Despite occasional attempted military coups and some leaders' use of alliances with the military to further their ambitions, a number of countries have made significant progress in whittling away military prerogatives and in increasing military professionalism The Global Bureau's Center for Democracy and Governance manages a particularly successful regional program in Latin America and is now considering expanding it to other parts of the world

Instituting civilian control is a long-term process with few quick fixes Decreasing the size of the armed forces by supporting demobilization of excess troops and reintegration of ex-soldiers into civilian society is a critical step in the process The larger the number of troops, the more potential the military has to interfere in political life and threaten civilian government

USAID programs in support of demobilization and reintegration have been effective In Mozambique, the Agency supported demobilization of 91,000 soldiers When restless soldiers at demobilization sites started rioting on the eve of the 1994 elections, the Agency organized transportation home, thus defusing a potentially dangerous situation In addition, USAID established provincial information and referral centers, which help ex-combatants resolve problems associated with reentering civilian life

In Uganda, USAID supported a multidonor initiative to reduce the size of the military The Agency funded severance packages for 10,000 former soldiers and provided an agricultural technology and credit program to 2,000 veteran households to help ex-combatants return to farming

And in El Salvador, ex-combatants characterized the USAID-supported reintegration program as among "the best of all" donor efforts It is considered a model program by the UN (see also chapter 6, Providing Humanitarian Assistance)

One important lesson USAID has learned in supporting demobilization and reintegration programs is that severance pay encourages demobilization Lump-sum severance payments are preferable because continuing subsidies are very expensive to administer What's more, they tend to reinforce the former status of ex-combatants and relieve them of the need to find alternative

employment Severance pay is not, however, a substitute for other kinds of assistance Additional programs—loans, technical assistance, and training—are needed to make a successful transition possible, especially when soldiers have spent years in the military and have no other skills

Expansion of the armed forces into nontraditional roles should be avoided, however In Latin America, the armed forces were used to fight narcotrafficking and promote economic development in order to provide a legitimate role, but this has sometimes led to heightened corruption as well as gains in power

Another lesson learned is the importance of not singling out veterans for benefits, assistance should be provided to the broader community In Uganda, noncombatant families receive agricultural assistance just as do the veterans This helps minimize community resentment at receiving no help, while soldiers, who often caused great suffering, appear to be rewarded

It is important to develop the military's trust in civilian competence in defense matters This can be done only by creating civilian specialists and making information available In many transition countries, there initially were few civilians knowledgeable enough to engage military leaders in a constructive discussion about military requirements and to exercise oversight Across Latin America, USAID has provided training to more than 150 defense policy specialists The Agency has also helped make information about the region's militaries much more widely available

Nicaragua provides an interesting case study of the importance of information and dialog After the 1990 election of Violeta Chamorro as president, many viewed the continuing presence of the Popular Sandinista Army, headed by General Humberto Ortega, as a threat to Mrs Chamorro's efforts to build a democratic society To address the sensitive questions of civil–military relations in Nicaragua, USAID first supported an evaluation of the state of relations at the time The resultant report was widely distributed and then discussed by key political actors and military representatives in a USAID-sponsored forum

At the forum, General Ortega announced he would retire as chief of the armed forces in accordance with a new military law passed by the national assembly He declared further that he would agree to formation of a legitimate Ministry of Defense USAID's efforts to build consensus on issues central to military reform thus contributed to development and passage of a reformed military code (enacted in 1994) It takes important steps toward greater civilian control of the military and establishes a more circumscribed role for the armed forces in Nicaraguan society

The final institution USAID concentrates on in developing transparent and accountable governments is the legislature Well-functioning legislatures play a critical role in democracies They provide a forum for discussion and negotiation of competing interests They give citizens access to the policy process And they act as a check on executive branch behavior Unfortunately, legislatures in newly democratizing countries tend to be organizationally and technically weak, and they are often dominated by the executive branch In particular, legislatures may rely on the executive branch for research and information, or the executive branch may often draft legislation, with the legislature having only limited capability to amend it

A key USAID strategy, therefore, is to make available information and analysis to legislators and to improve bill-drafting skills Independently provided information and analysis are essential if the legislature is to serve as a check on the executive branch Moreover, well-drafted, well-researched bills tend to garner greater support and are more likely to be enacted Among other interventions supported by USAID are 1) creating stronger committee structures (see box 3 3), 2) linking representatives more closely with constituents and public interest groups, and 3) developing parliamentary and administrative skills so that legislators can work more effectively within the institution

In Costa Rica, USAID is working to institutionalize the research center it created to provide training and information services to the legislature The center has produced sev-

Box 3.3 Strengthening Bolivia's Legislative and Judicial Branches

The Bolivian National Congress's lack of organizational capacity and independent sources of information hobbled its effectiveness, making it a rubber stamp for the executive branch In response, USAID helped build a professional nonpartisan internal legislative assistance capability the National Center for Congressional Research The research center provides budget and bill-drafting information and research services to congress, enabling its members to make informed decisions The center's budget analysis office has produced data that legislators find so useful it cannot now keep up with demand In the past year, the number of committees using its services doubled

In recognition of the research center's value, the congress passed an almost unanimous resolution in October 1995 that recognizes the center as a permanent integral unit of the congress That body is now more assertive USAID had targeted a 2 percent increase in significant laws originating in congress for 1994, the actual increase was 14 percent Since 1993, congress has passed major pieces of legislation that further democratization These include laws on decentralization, judicial reform, and popular participation in governance

USAID complements its support to the legislature with support to the Ministry of Justice Through the ministry, the Agency provides training and material support to the Bolivian Office of Public Defenders After only two years of institutional existence, public defenders in 1994 obtained the release of 3,442 detainees of 6,045 judicial cases they handled They obtained the release of 1,174 of 5,255 police detainees as well

The public defenders are also playing an important role in filing for releases of inmates who have been denied justice through prolonged detention They are supported by a recently approved law to abolish prison-for-debt In the nine months since the law was passed, the public defense has obtained the release of 322 inmates who had already served their criminal sentences but remained in prison indefinitely because they could not pay their debts

While moving to fortify government institutional actors, the Mission has not neglected civil society, including potential victims of a system that historically has been poorly and capriciously applied The Agency supports a grass-roots NGO that provides basic legal education to approximately 2,700 poor people in La Paz The NGO consists of law students and professors who train poor women, students, and prison inmates The knowledge has enabled inmates to exert pressure on their lawyers to ensure that their rights are protected to the fullest extent

eral publications, including guides to legislative procedure and legislative oversight It also offers frequent workshops It has, for example, provided training to legislative staff in constitutional law, strategic management, and parliamentary procedure The legislature now generates both *more* legislation and *better quality* legislation than the executive branch Bills are more likely now to gain cosponsors because they are solidly researched and well drafted Cosponsorship in turn helps secure passage of the legislation

USAID support has yielded similar results in Paraguay The bicameral legislature there is proactively exercising oversight of the federal budget, investigating corruption, and pressing for privatization, decentralization, and improved protection of the environment

Conclusion and Continuing Challenges

USAID assistance has effected major improvements in the rights of citizens and the quality of governance, still, more progress remains to be made Continued assistance is needed in all geographic regions in 1) maintaining and building on the progress that has been made in consolidating democracy, 2) completing the transition to a freely, fairly, and competitively elected national government, and 3) initiating the transition process in key countries suffering from significant internal instability

The challenge in helping develop democratic institutions is made all the more difficult in the present environment of severely declining resources Thus, USAID must be-

come even more strategic in applying declining resources among highly diverse and competitive needs This implies difficult choices Those choices will be made within given boundaries

First, USAID will continue to operate on the principle that democratization must be driven and led by the countries requesting assistance This has been a main element of the Agency's democracy and governance activities It will remain the cornerstone

Second, since important elements of democratic governance—particularly conflict prevention and mitigation—often transcend country boundaries, USAID will expand the use of regional program initiatives and management approaches

Third, because of the diversity of the problem mix in democratizing countries, USAID will continue to apply the full range of tools available for promoting democratization

And fourth, to strengthen impact, USAID will increase emphasis on coordinating with other donors

AID ACRONYMS AND ABBREVIATIONS

A

A	Bureau for Administration (State)
AA	Assistant Administrator
AAA	Associate Assistant Administrator
AAAS	American Academy for the Advancement of Science
AAASA	Association for the Advancement of Agricultural Sciences in Africa
AAC	Administrator's Advisory Council
AADC	American Agricultural Development Corporation
A/AID	Administrator; Office of the Administrator (AID)
AAO	AID Affairs Officer
AAPC	Afro-American Procurement Center
AAPL	Approved Assistance Planning Level (5-year planning level)
AB	Assignment Board
ABS	Annual Budget Submission
ACDA	Arms Control and Disarmament Agency
ACDI	Agricultural Cooperative Development International
ACIAR	Australian Centre for International Agricultural Research
ACO	Area Contracting Officer, Authorized Certifying Officer
ACRIS	AID Consultant Registry Information System
ACS	Activity Characteristic Sheet
ACT	Action
ACVFA	Advisory Committee on Voluntary Foreign Aid
AD	Administratively Determined; Administrative Decision
ADAB	Australian Development Assistance Bureau
ADB	Asian Development Bank
ADC	Advanced Developing Countries, Agriculture Development Council; Office of Arab Donor Coordination (AID)
ADDS	AID Document Distribution System
ADO	Area Development Office(r)
ADP	Automated Data Processing
AES	AID Evaluation Summary
AETR	Academic Enrollment and Term Report
AF	Bureau of African Affairs (State); The Asia Foundation
AfDB	African Development Bank
AfDF	African Development Fund
AFEO	A.I.D.-Financed Export Opportunities
AFGE	American Federation of Government Employees
AFM	American Family Member
AFR	Bureau for Africa (A.I.D.)
AFSA	American Foreign Service Association
AG	Auditor General

AGRIS	Agricultural Information Service (FAO)
AID	Agency for International Development
AIDAR	Agency for International Development Acquisition Regulation
AIDMIS	AID Management Information System
AID/W	Agency for International Development/Washington
AIFLD	American Institute for Free Labor Development
AIP	Accelerated Impact Program
AL	Annual Leave
ALI/GU	American Language Institute/Georgetown University
AMED	Administrative Management Executive Development Program
ANE	Bureau for Asia and Near East (AID)
AOAD	Arab Organization for Agricultural Development
AOSC	Agency Occupational Specialty Code
AP	Action Plan
APHA	American Public Health Association
APO	Army Post Office; Assistant Program Officer
AR	Bureau of Inter-American Affairs (State)
ARDA	AID Research and Development Abstracts
ARFSN	Asian Rice Farming Systems Network
AS	Administrative Service
ASAP	As Soon as Possible
ASEAN	Association of South East Asian Nations
ASHA	American Schools and Hospitals Abroad
ASSET	Automated Small Suppliers for Export Trade
ATI	Appropriate Technology Institute
AUB	American University of Beirut
AUSUDIAP	Association of U.S. University Directors of International Agricultural Programs
AWOL	Absent Without Leave
AVRDC	Asian Vegetable Research and Development Center

B

BANEX	Agroindustrial and Export Bank (Costa Rica)
BERR	Business Enterprise Rate of Return
B/G	Borrower/Grantee
BHN	Basic Human Needs
BIFAD	Board of International Food and Agricultural Development
BIFAD/S	BIFAD Support Staff (A.I.D.)
BIT	Bilateral Investment Treaty
B/L	Bill of Lading
BLANDEX	Latin American Export Bank
BOP	Balance of Payment
BOPS	Beginning of Project Status
BRB	Budget Review Board (Cabinet Level)
BS	Backstop
BWS	Budget Worksheet
BX	Base Exchange

C	Counselor of the Department (State)
C&R	Communications and Records
CAB	Commonwealth Agricultural Bureau
CABEI	Central American Bank for Economic Integration
CACIPEX	Central American Center for International Marketing and Export Promotion
CACM	Central American Common Market
CADA	Concerted Action for Development in Africa
CAIC	Caribbean Association of Industry & Commerce
C/AID	Counselor (AID)
CAMO	Central Administrative Management
CAMSF	Central American Monetary Stabilization Fund
CAP	Capital Assistance (loan) Paper
CAPS	Central American Peace Scholarship
CAR	Capital Assistance Request
CARE	Cooperative for American Relief Everywhere
CAREC	Caribbean Epidemiological Center
CARICOM	Caribbean Community and Common Market
CASP	Central American Scholarship Program
CATIE	Center for Research and Training in Tropical Agriculture (Costa Rica)
CBD	Commerce Business Daily
CBI	Caribbean Basin Initiative
CCC	Commodity Credit Corporation
CCCT	Cabinet Council on Commerce and Trade
CCEA	Cabinet Council on Economic Affairs
CCN	Cooperating Country National
CCR	Commission on Civil Rights
CD	Community Development
CDA	Cooperation for Development in Africa
CDB	Carribean Development Bank
CDC	Center for Disease Control
CDF	Carribean Development Facility
CDIE	Center for Development Information & Evaluation
CDO	Country Development Office(r); Community Development Office(r); Capital Development Office(R)
CDSS	Country Development Strategy Statement
CEQ	Council on Environmental Quality
CERDS	Charter for Economic Rights and Duties of States
CERP	Comprehensive Economic Reporting Program
CFEP	Council on Foreign Economic Policy
CFF	Compensatory Financing Facility (IMF)
CG	Consultative Group
CGIAR	Consultative Group in International Agricultural Research
CIA	Central Intelligence Agency
CIAT	International Center for Tropical Agriculture
CID	Consortium on International Development
CIDA	Committee on International Disaster Assistance

	Canadian International Development Agency
CIEC	Conference on International Economic Cooperati
CIF	Cost (of the Commodity) plus (ocean) freight
CILSS	Permanent Interstate Committee for Drought Control in the Sahel
CIMMYT	International Maize and Wheat Improvement Center (Mexico)
CINDE	Costa Rican Coalition for Development Initiatives
CINEC	Community Integrated Nutrition & Education Centers
CIP	Commodity Import Program, Centro Internacional de la Papa (Peru)
CIPE	Center for International Private Enterprise
CLASP	Caribbean and Latin American Scholarship Programs
CLO	Congressional Liaison Officer; Community Liaison Office(r)
CLUSA	Cooperative League of the U.S.A.
CM	Contract Management (Office of)
CMEA	Council for Mutual Economic Assistance
CMP	Complement
CN	Congressional Notification of program change
CO	Contracting Officer
COAR	Completion of Assignment Report
COB	Close of Business
COM	Commodity Management (Office of)
COMENER	Central American Commission for Energy
COLRS	Contract on Line Reporting System
CP	Condition Precedent; Congressional Presentation Concept Paper (alternative to PAIP or preliminary CDSS)
CPDB	Country Program Data Bank
CPI	Critical Performance Indicator
CPM	Critical Path Method
CPSS	Central Program Strategy Statement
CPWG	Congressional Presentation Working Group
CR	Continuing Resolution; Congressional Relations (State)
CRB	Communications Review Board
CRS	Catholic Relief Service; Congressional Research Service
CRSP	Collaborative Research Support Program
CSIRO	Commonwealth Scientific and Industrial Research Organization
CTP	Country Training Plan
CWS	Church World Services
CY	Calendar Year

D

D	Office of the Deputy Secretary (State)
DA	Development Assistance; Department of the Arm
DA/AID	Deputy Administrator of AID
DAC	Development Assistance Committee of the OECD

DAP	Development Assistance Plan
DAS	Deputy Assistant Secretary (State)
DCC	Development Coordination Committee
DCM	Deputy Chief of Mission
DEC	National District Export Council
DEOB	Deobligation
DFA	Development Fund for Africa
DH	Direct Hire
DIA	Defense Intelligence Agency
DIS	Development Information System
DIU	Development Information Utilization Service
DLC	Development Loan Committee
DLSC	Development Loan Staff Committee
DOD	Department of Defense
DOE	Department of Energy
DOT	Department of Transportation
DP	Development Programs
DRA	Direct Reimbursement Authority
DSP	Development Studies Program
DTR	Department of the Treasury

E

E	Under Secretary for Economic Affairs (State)
EA	Bureau of East Asian and Pacific Affairs (State)
EAA	Export Administration Act
EAC	East African Community
EAORA	East African Office of Regional Activities
EB	Bureau of Economic and Business Affairs (State
ECOSOC	United Nations Economic and Social Council
ECPR	Executive Committee for Project Review
EDF	European Development Fund
EDI	Economic Development Institute (World Bank)
EDR	Employee Data Record
EEC	European Economic Community
EEC-CSP	EEC-Common Sugar Policy
EEOC	Equal Employment Opportunity Commission
EER	Employee Evaluation Report
E&E	Emergency and Evacuation; Escape and Evasion
ELT	English Language Training
EMRB	Executive Manpower Resource Boards
EMS	Executive Management Staff
EO	Executive Order
EOD	Entry on Duty
EOP	Office of Equal Opportunity Programs
EOPS	End of Project Status
EPA	Environmental Protection Agency
EPAP	Executive Personnel Assignment Panel
EPB	Economic Policy Board
EPT	English Proficiency Test
ERB	Executive Resource Board
ES	Office of the Executive Secretary (AID)

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ESCAP	Economic and Social Commission for Asia and the Pacific
ESDB	Economic and Social Data Bank
ESF	Economic Support Fund
ETA	Estimated Time of Arrival
ETC	Export Trading Company
ETD	Estimated Time of Departure
EUR	Bureau of European Affairs (State)
EVT	Emergency Visitation Travel
EXIMBANK	Export-Import Bank of the United States
EXO	Executive Officer

F

FAA	Foreign Assistance Act of 1961, as amended
FAAS	Foreign Affairs Administration Support
FAC	Federal Advisory Committee
FACS	Financial Accounting Control System
FAO	Food and Agriculture Organization of the U N
FAM	Foreign Affairs Manual
FAR	Fixed Amount Reimbursement; Federal Acquisition Regulation
FARA	Foreign Affairs Recreation Association
FAS	Foreign Agricultural Service (USDA)
FBIS	Foreign Broadcast Information Service
FBO	Foreign Buildings Overseas
FBS	Field Budget Submission
FCC	Federal Communications Commission
FCD	Final Contribution Date
FCIA	Foreign Credit Insurance Association
FCS	Foreign Commercial Service (Dept. of Commerce)
FDA	Food and Drug Administration
FDAP	Functional Development Assistance Programs
	ARDN — Agriculture, Rural Dev. and Nutrition (Sec. 103)
	PN — Population (Sec. 104)
	Health — Health (authorized under Sec 104 as well)
	CS — Child Survival Fund (also under Sec. 104)
	AIDS — Acquired Immune Deficiency Syndrome
	EHR — Education & Human Resources (Sec. 105)
	PSEE — Private Sector, Environment & Energy (Sec. 106)
FDIC	Federal Deposit Insurance Corporation
FDRC	Foreign Disaster Relief Coordinator
FEGLI	Federal Employee Group Life Insurance
FEHB	Federal Employee Health Benefits Program
FEOC	Federal Executive Officers Corps
FERP	Far East Refugee Program
FF	Ford Foundation

FFP	Food For Peace
FFW	Food For Work
FICA	Federal Insurance Contribution Act (Social Security)
FIS	Financial Information System
FITC	Foundation for International Technological Cooperation
FLO	Family Liaison Office(r) (State)
FM	Office of Financial management
FMIS	Financial Management Information System
FMS	Foreign Military Sales
FOA	Foreign Operations Administration
FOB	Free on Board
FOC	Field of Concentration
FOMIN	Foreign Ministry; Foreign Minister
FPO	Fleet Post Office
FPR	Federal Procurement Regulations
FR	Financing Request
FRG	Federeal Republic of Germany
FRLC	Federal Reserve Letter of Credit
FRS	Federal Reserve System
FS	Foreign Service
FSA	Foreign Service Act
FSB	Foreign Service Board or Board of Examiners for the Foreign Service
FSGB	Foreign Service Grievance Board
FSI	Foreign Service Institute
FSIDP	Foreign Service Impasse Disputes Panel
FSLRB	Foreign Service Labor Relations Board
FSN	Foreign Service National
FSO	Foreign Service Officer
FSP	Foreign Service Personnel, Farming Systems Program
FSR	Foreign Service Reserve
FSRD	Farming Systems Research and Development
FSRDS	Foreign Service Retirement and Disability System
FSRL	Foreign Service Reserve Limited
FSS	Foreign Service Staff
FTA	Field Training Advisor
FTC	Federal Trade Commission
FTEPP	Full-time Employees Permanent Position
FTS	Federal Telecommunications System
FVA	Bureau for Food for Peace and Voluntary Assistance
FY	Fiscal Year
FYI	For Your Information

G

GA	UN General Assembly
GAO	General Accounting Office
GATT	General Agreement on Tariffs and Trade
GBL	Government Bill of Landing
GC	Office of the General Counsel

GDP	Gross Domestic Product
GEO	U.S. Geological Survey
GEU	Genetic Evaluation and Utilization Program
GHI	Government Health Insurance
GLI	Government Life Insurance
GNP	Gross National Product
GO_	Government of _____ [See HG]
GPO	Government Printing Office
GPOI	Goal, Purpose, Outputs, Inputs (Logframe)
GS	General Schedule; Government Services
GSA	General Service Administration
GSO	General Services Office(r)
GSP	Generalized System of Preferences
G-77	"Group of 77" (Consortium of Developing Nations)
GTR	Government Transportation Request
GTZ	German Agency for Technical Cooperation
GVW	Gross Vehicle Weight

H

H	Congressional Relations (State)
HA	Bureau of Human Rights and Humanitarian Affairs (State)
HAC	House Appropriations Committee; Health and Accident Coverage
HACHO	Haitian-American Community Health Organization
HB 10	Handbook 10, Participant Training
HBCU	Historically Black Colleges and Universities
HC	Host Country
HCC	Host Country Contract
HCA	Head of Contracting Activity
HFAC	House Foreign Affairs Committee
HG	Host Government; Housing Guaranty program
HHE	Household Effects
HHS	U.S. Dept. of Health and Human Services
HIG	Housing Investment Guarante-
HL	Home Leave
HL/RTP	Home Leave and Return to Post Orders
HL/TRF	Home Leave and Transfer Orders
HHS	Department of Health and Human Services
HRDA	Human Resources Development Assistance
HUD	Department of Housing and Urban Development

I

IAC	Interagency Council on Admininstrative Support
IADS	International Agricultural Development Service (Private U.S. Organization)
IAEA	International Atomic Energy Agency
IAF	Inter-American Foundation

IAP66A	Form for requesting J-1 Visa for A I D participants
IARC	International Agricultural Research Center
IASP	Office of Interbureau Affairs and Special Projects, Bureau for External Affairs (AID)
IBPGR	International Board for Plant Genetic Resources
IBRD	International Bank for Reconstruction and Development (World Bank)
ICA	International Communication Agency
ICAITI	Central American Industrial Research Institute
ICARDA	International Center for Agricultural Research in Dry Areas
ICC	Interstate Commerce Commission
ICDDR/B	International Center for Diarrheal Disease Research/Bangladesh
ICI	Intermediate Credit Institutions
ICIPE	International Center for Insect Physiology and Ecology
ICLARM	International Center for Living Aquatic Resources Management
ICRAF	International Council for Research in Agroforestry
ICRC	International Committee of the Red Cross
ICRISAT	International Crops Research Institute for the Semi-arid Tropics
IDA	International Development Association
IDB	Inter-American Development Bank
IDCA	International Development Cooperating Agency
IDI	International Development Intern
IDRC	International Development Research Centre
IDS	International Development Strategy
IEA	International Energy Agency
IESC	International Executive Service Corps
IFAD	International Fund for Agricultural Development
IFB	Invitation for Bids
IFC	International Finance Corporation
IFDC	International Fertilizer Development Center
IFI	International Financial Institute
IFPRI	International Food Policy Research Institute
IFS	International Foundation for Science
IG	Office of the Inspector General
IGA	Inspector General of Foreign Assistance
IIA	Intragovernmental and International Affairs Bureau
IICA	Inter-American Institute of Agricultural Cooperation (Costa Rica)
IIE	Institute of International Education
IIMI	International Irrigation Management Institute
IIRR	International Institute for Rural Reconstruction
IIS	Inspection and Investigation Office
IITA	International Institute for Tropical Agriculture
ILCA	International Livestock Center for Africa
ILI	International Lending Institutions
ILO	International Labor Organization

K

L

L	Legal Advisor (State)
LAAD	Latin American Agribusiness Development Cooperation (Corporation)
LAC	Bureau for Latin America and the Caribbean (AID)
LAIS	Loan Accounting Information System
LASPAU	Latin America Scholarship Programs at American Universities
LATF	Latin America Teaching Fellowship
LC	Letter of Credit
LCE	Limited Career Extension
LCI	Latin Carribean Investments
L/COMM	Letter of Commitment
LDC	Less Developed Country
LEG	Office of Legislative Affairs (AID)
LLDCs	Least Developed Countries
LN	Local National
LOB	Line of Balance
LOC-TFCS	Letter of Credit-Treasury Financial Communications System
LOGFRAME	Logical Framework
LOP	Length (Life) of Project
LWOP	Leave Without Pay

M

M	Under Secretary for Management (State); Bureau for Management (AID)
MAAG	Military Assistance Advisory Group
MACS	Mission Accounting Control System
MAP	Military Assistance Program
MBE	Minority Business Enterprise
MCH	Maternal and Child Health
MDA	Master Disbursing Account
MDBs	Multilateral Development Banks
MFA	Multifiber Agreement
M/FM	Office of Financial Management
MED	Office of Medical Services (State)
MEDEVAC	Medical Evacuation
MFN	Most Favored Nation
MIAC	Mid-America International Agricultural Consortium
MIC	Middle Income Country
MINAG	Ministry of Agriculture
MINISIS	Computer software package for bibliographical data

ILRAD	International Laboratory for Research on Animal Diseases
IMET	International Military Education Training
IMF	International Monetary Fund
IMI	International Marketing Institute
INCAE	Central American Business School (Costa Rica)
INCAP	Nutrition Institute for Central America and Panama
INM	Bureau for International Narcotics Matters (State)
INR	Bureau of Intelligence and Research (State)
INRA	International Natural Rubber Agreement
INSFFER	International Network on Soil Fertility and Fertilizer Evaluation for Rice
INTSOY	International Soybean Center
IO	Bureau of International Organization Affairs (State)
IO&P	International Organizations and Programs
IPA	Intergovernmental Personnel Act
IPETF	President's Task Force on International Private Enterprise
IPIAC	International Private Investment Advisory Council on Foreign Aid
IPM	Integrated Pest Management
IQC	Indefinite Quantity Contract
IRM	Information Resources Management
IRR	Intensive Review Request; Internal Rate of Return
IRRI	International Rice Research Institute
IRTP	International Rice Testing Program
ISC	Interagency Staff Committee
ISNAR	International Service for National Agricultural Research
ISTC	Institute for Scientific and Technical Cooperation
ITA	International Trade Administration
ITC	International Trade Commission; International Institute for Aerial Survey and Earth Sciences
ITF	Interdepartmental Task Force
IVACG	International Vitamin A Consultative Group
IVS	International Voluntary Service

J

JACC	Joint Agribusiness Consultative Committee, Joint Agricultural Consultative Corporation
JAO	Joint Administrative Operation; Joint Administrative Organization
JAS	Joint Administrative Services
JCARD	Joint Committee on Agricultural Research and Development
JCC	Joint Career Corps
JOT	Junior Officer Trainee (replaced by IDI)
JPIP	Joint Project Implementation Plan
JRB	Joint Regulations Board (Interagency-State/AID/USIA)

MinPlan	Ministry of Planning
MIS	Management Information System
MLAT	Modern Language Aptitude Test
MO	Management Operations
MODE	Monitoring Overseas Direct Employment
MODEM	Modulation-demodulation device for computer transmission of data
MOE	Ministry of Education
MOF	Ministry of Finance
MOH	Ministry of Health
MOU	Memorandum of Understanding
M/PM	Office of Personnel Management
MS	Marital Status
M/SER	Directorate for Program and Management Services (AID)
MT	Metric Tons
MTN	Multilateral Trade Negotiations
MUCIA	Midwest Universities Consortium for International Activities

N

NA	Not Applicable
NAFEO	National Association for Equal Opportunity in Higher Education
NAFSA	National Association of Foreign Student Affairs
NAN	No Action Necessary
NAPA	National Association of Partners of the Americas
NAS	National Academy of Sciences
NASA	National Aeronautics and Space Administration
NASULGC	National Association of State Universities and Land Grant Colleges
NATO	North Atlantic Treaty Organization
NBS	National Bureau of Standards
NCIV	National Council for International Visitors
NEA	Near Eastern and South Asian Affairs (State)
NECID	North East Council for International Development
NGO	Non-Governmental Organization
NIC	Newly Industrialized Country
NIEO	New International Economic Order
NiFTAL	Nitrogen Fixation by Tropical Agricultural Legumes
NIH	National Institute of Health
NLRB	National Labor Relations Board
NLT	Not Later Than
NNRR	Net National Rate of Return
NOA	New Obligation Authority
NOAA	National Oceanic and Atmospheric Administration
NPA	Non-Project Assistance
NPD	New Project Description
NPRB	Non-Competitive Procurement Review Board

NPV	Net Present Value
NRC	Nuclear Regulatory Commission
NS	New State Department Building (Main State)
NSB	National Security Board
NSC	National Security Council
NSF	National Science Foundation
NTE	Not to Exceed
NTIS	National Technical Information Services (Dept of Commerce)
NXP	Non-Expendable Property

O

OAS	Organization of American States; Operations Appraisal Staff
OAU	Organization of African Unity
OBE	Overtaken by Events
OER	Office of Business Relations
OD	Other Donor; Organizational Development
ODA	Official Development Assistance, Overseas Development Administration
ODC	Overseas Development Council
OE	Operating Expenses
OECD	Organization for Economic Cooperation and Development
OECS	Organization of Eastern Caribbean States
OEF	Overseas Education Fund
OES	Bureau of Oceans and International Environmental and Scientific Affairs (State)
OFDA	Office of U.S. Foreign Disaster Assistance (A I D)
OFPP	Office of Federal Procurement Policy
OICD	Office of International Cooperation and Development (USDA)
OICI	Opportunities Industrialization Center International
OIT	Office of International Training
OJT	On-the-job Training
OMB	Office of Management and Budget
OLAB	Office of Labor Affairs
OPA	Office of Public Affairs
OPD	Office of Policy Development
OPEC	Organization of Petroleum Exporting Countries
OPG	Operations Program Grant
OPIC	Overseas Private Investment Corporation
OPM	Office of Personnel Management
Origin	The country in which a commodity has been mined, grown, produced, manufactured or assembled
ORT	Oral Rehydration Therapy
O/S	Overseas
OSARAC	Office of Southern Africa Regional Activities Coordination

OSDBU	Office of Small and Disadvantaged Business Utilization
OT	Overtime
OYB	Operational Year Budget

P

P	Under Secretary for Political Affairs (State)
PA	Bureau of Public Affairs (State)
PAAD	Project Assistance Approval Document
PACD	Project Assistance Completion Date
PAF	Project Authorization and Request for Allotment of Funds
PAHO	Pan American Health Organization
PAIP	Program Assistance Identification Paper
PAIS	Project Accounting Information System
PA/PR	Procurement Authorization/Purchasing Requisition
PAR	Project Appraisal Report
PARIS	Project Analysis and Reporting Information System
Partners	Partners for International Training & Education
PAS	Project Appraisal Report
PASA	Participating Agency Service Agreement
PBS	Program Budget Submission
PC	Peace Corps
PCGP	Productive(ion) Credit Guaranty Program
PCV	Peace Corps Volunteer
PD	Program Determination
PD&E	Program Design and Evaluation
PDF	Participant Data Form
PDG	Policy Discussion Group
PD&M	Program Design and Management
PD&S	Program Development and Support
PEA	Peace Corps Advisory Council
PEC	Program Evaluation Committee
PEFCO	Private Export Funding Corporation
PELLERZI TEST	Test of what possibilities exist to contract inside before taking contract outside
PER	Personnel Evaluation Report
PERT	Program Evaluation Review Technique
PES	Program Evaluation Summary
PFP	Partnership for Productivity
PHC	Primary Health Care
PHS	Public Health Service
PIB	Public Information Bulletin
PID	Project Identification Document
PIET	Partners for International Education and Training
PIL	Project Implementation Letter
PIO	Project Implementation Order
PIO/C	Project Implementation Order/Commodity
PIO/P	Project Implementation Order/Participant
PIO/T	Project Implementation Order/Technical Services

PIP	Project Implementation Plan; Post-harvest Institute for Perishables
PIR	Project Implementation Report
PISCES	Program for Investment in the Small Capital Enterprise Sector
PL	Public Law (i.e., PL-480)
PL 480	The Agricultural Trade, Development and Assistance Act Title I - loans Title II - grants Title III - loan, but conditional grant Sec. 416 - surplus commodities
PM	Office of Personnel Management (AID)
PM/TD	Personnel Management/Training Division
PO	Purchase Order Program Office(r) Project Officer
POE	Ports of Entry
POL	Political, Petroleum, Oil and Lubricants
POV	Privately Owned Vehicle
PP	Project Paper
PPAP	Procedure Policy Advisory Panel
PPC	Bureau for Program and Policy Coordination
PRE	Bureau for Private Enterprise
PRITECH	Technology for Primary Health Care
PROAG (ProAg)	Project Agreement
PROG	Program; Programming Information System
PSB	Performance Standards Boards
PSC	Personal Services Contract
PTE	Private Trade Entity
PTIIC	Presidential Training Initiative for the Island Carribean
PTIS	Participant Training Information System
PTMS	Participant Training Management System
PTN	Participant Training Notice
PVO	Private Voluntary Organization
PX	Post Exchange
P'	Person Years

Q

R

R	U.S. Refugee Coordinator (State)
R&S	Research and Studies
RAC	Research Advisory Committee (AID)
R&D	Research and Development
R&R	Rest and Recuperation
RAMPS	Revised Automated Manpower and Personnel System

RAPID	Resources for the Awareness of Population Impact in Development
RCA	Request for Contract Action
RCO	Regional Contracting Officer
RD	Rural Development
RDO	Rural Development Office(r), Regional Development Office(r)
RDO/C	Regional Development Office/Caribbean
RDO/EA	Regional Development Office for East Asia
RED	Regional Economic Development
REDSO	Regional Economic Development Service Office
REDSO/EA	REDSO/East Africa (Kenya)
REDSO/WA	REDSO/West Africa (Ivory Coast)
REG 1	AID Regulation 1 of HB 15
REOB	Reobligation (of previously deobligated funds)
RF	Rockefeller Foundation
RFP	Request for Proposal
RFQ	Request for Quotation
RFTP	Request for Technical Proposal
RHUDO	Regional Housing and Urban Development Office
RIF	Reduction in Force
RIG	Regional Inspector
RIR	Registry of International Resources
RLA	Regional Legal Advisor
RLDC	Relatively Least Developed Country
RMO	Regional Medical Officer
ROCAP	Regional Office for Central American Program
RP	Rosslyn Plaza
RPCV	Returned Peace Corps Volunteer (Organization)
RPE	Rosslyn Plaza East
RSSA	Resources Support Services Agreement
RTA	Retroactive Terms Adjustment
RTD	Return to Duty
RTP	Return to Post; Reimbursable Training Program

S

S	Office of the Secretary (State)
SA	Supporting Assistance; Special Assistant, State Annex
SAA	Senior Assistant Administrator
SAC	Senate Appropriations Committee
SADCC	Southern Africa Development Coordination Conference
SALT	Strategic Arms Limitation Talk
SAREC	Swedish Agency for Research Cooperation with Developing Countries
SAS	Shared Administrative Support
SBA	Small Business Administration
SBM	AID Small Business Memo
SCD	Service Computation Date

SCHED B	Schedule B (Dept. of Commerce), commodities for export identified by a seven digit code
SCI	Office of Science Advisor (A.I.D.)
SDA	Selected Development Activities
SDB	Office of Small and Disadvantaged Business Utilization
SDRs	Special Drawing Rights
SEC	Securities and Exchange Commission
SECID	South East Consortium for International Development
SEL	Statement of Earnings and Leave
SER	Directorate for Program and Management Services, Bureau of Management
SER/RM	Office of Information Resources Management
SER/MS	Office of Management Support
SER/MO	Office of Management Operations
SER/OP	Office of Procurement
SES	Senior Executive Service
SES/PRB	Senior Executive Service/Performance Review Board
SEZ	Special Economic Zones
SF	Standard Form (i.e., SF-171)
SFRC	Senate Foreign Relations Committee
SFS	Senior Foreign Service
Shortlist	Listing of potential contractors deemed qualified after an evaluation of submitter prequalification information
SID	Society for International Development
SIECA	Permanent Secretariat of the General Treaty for Central American Economic Integration
SIG-IEP	Senior Interagency Group -- International Economic Policy
SLC	Special Letter of Credit -- Bank Issued
SLDC	Selected Less Developed Countries
SMA	Separate Maintenance Allowance
SOG	Senior Operations Group
Source	The country from which a commodity is shipped, country where the commodity is located at the time of purchase
SOW	Scope of Work
S/P	Policy Planning Staff (State)
SPAR	Staffing Pattern Action Request
SRB	Special Reviews Board
S/S	Executive Secretariat (State)
SSA	Social Security Administration
SSM	Sinai Support Mission
S&T	Bureau for Science and Technology
S&T/E	Directorate for Education
S&T/EN	Directorate for Energy and Natural Resources
S&T/FA	Directorate for Food and Agriculture
S&T/HR	Directorate for Human Resources

S&T/H	Directorate for Health
S&T/POP	Directorate for Population
START	Strategic Arms Reduction Talks

T

T	Under Secretary for Security Assistance, Science and Technology (State)
TA	Travel Authorization; Technical Assistance
TAC	Training Advisory Council (A.I.D.) (replaces EMRB)
T&A	Time and Attendance
TBA	To be Announced
TBD	To be Determined
TCA	Training Cost Analysis
TCIP	Trade Credit Insurance Program
TCN	Third Country National
TCT	Third Country Training
TDD	Terminal Disbursement Date
TDP	Trade and Development Program
TDY	Temporary Duty
TFAF	Interagency Task Force on African Emergency
TGIF	"Thank God It's Friday!"
TIC	Time in Class (Foreign Service)
TIP	Training Implementation Plan
Title XII	Section of the Foreign Assistance Act which places emphasis on utilization of land grant universities and other institutions in fostering development in food and agriculture
TN	Technical Notification of program change to Congress
TNA	Training Needs Assessment
TOEFL	Test of English as a Foreign Language
TPC	Trade Policy Committee
TPM	Team Planning Meeting
TTLA	Termination Time Limited Appointment

U

UAB	Unaccompanied Air Baggage
UN	United Nations
UN/AID	University North Building (A.I.D. Annex)
UNCDF	United Nations Capital Development Fund
UNCTAD	United Nations Conference on Trade and Development
UNCSTD	United Nations Conference on Science and Technology for Development
UNDP	United Nations Development Programs
UNDRO	United Nations Disaster Relief Organization
UNEP	United Nations Environment Program
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNFPA	United Nations Fund for Population Activity

UNGA	United Nations General Assembly
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations International Children's Fund
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNRISD	United Nations Research Institute for Social Development
UNRWA	United Nations Relief and Works Agency
USAID	Country Mission of the United States Agency for International Development
USC	United States Code
USDA	United States Department of Agriculture
USDH	United States Direct Hire
US&FCS	United States and Foreign Commercial Service
USG	United States Government
USIA	United States Information Agency (Washington, D.C.)
USIS	United States Information Service (Overseas)
USOAS	U.S. Representative to Organization of American States
USOM	United States Operations Mission (Overseas Mission)
USRP	United States Refugee Program
USTR	U.S. Trade Representative
USUN	United States Mission to the United Nations

V

VA	Veterans Administration
VITA	Volunteers in Technical Assistance
VOA	Voice of America
VOLAG	Voluntary Agencies

W

WAO	Women's Action Organization
WARDA	West Africa Rice Development Association
WASH	Water and Sanitation for Health
WBS	Work Breakdown Structure
WFC	World Food Conference
WFP	World Food Program
WHO	World Health Organization
WIC	Washington International Center
WID	Women in Development

X-Y-Z

XA	Bureau for External Affairs (A.I.D.)
YPO	Young Presidents Organization
ZBB	Zero Base Budgeting

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USAID AGENCY NOTICES

JULY 1996 - AGENCY NOTICES Message Text

Msg#: 15 ( )
Date: 07/08/96 Time: 10:05am
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: POLICY-GUIDANCE ON FELLOWS

POLICY

USAID/General Notice
AA/M
07/8/96

SUBJECT: Implementation of Policy Guidance Concerning Fellows

The guidance on workforce utilization which was issued on September 18, 1995 assigns responsibility for developing and managing all fellows programs to the Global Bureau, consistent with its role in providing technical leadership for the Agency. Fellowship programs are intended to provide individuals with practical work experience in the area of economic and humanitarian assistance and to develop a pool of experts devoted to international development assistance. USAID benefits from the research, technical advice, and intellectual stimulus provided by the fellows.

It is recognized that there may be fellows who do not meet the selection criteria established in the new guidance. It is also recognized that some agreements currently in place may not be fully consistent with the new guidance While these individuals and agreements are "grandfathered," the Global Bureau is committed to bringing all fellowship programs into compliance with the new guidance

The following operational guidelines have been jointly developed by the Global Bureau, M/OP, M/MPI, and GC. They are established to ensure that fellows receive consistent treatment and that programs are in compliance with the workforce utilization policies contained in the General Notice, Appropriate Use and Funding of USAID's Non-Direct Hire Workforce, dated 09/18/95.

1. DURATION. Any fellowship program which provides for individual fellowships in excess of two years requires an exception from the DAA/M/HR. The duration of fellowships should be based on the goals of the program of the providing institution

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USAID AGENCY NOTICES

JULY 1996 - AGENCY NOTICES Message Text

Msg#: 15 ( )
Date: 07/08/96 Time: 10:05am
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: POLICY-GUIDANCE ON FELLOWS

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their parent organization; and, when working within USAID organizational units, they may not mentor or supervise other fellows.

5. DUTIES OF FELLOWS.

a. PRIVATE SECTOR FELLOWS. Fellows may not perform inherently governmental functions. For example, fellows may not:

-- officially represent USAID,

-- approve policy documents,

-- supervise USAID employees,

-- negotiate, review or sign contracts on behalf of USAID,

-- certify vouchers,

-- select or recruit USAID employees,

-- give final approval to USAID funding or budget documents,

-- sign responses to IG, GAO or Congressional requests for information, audit reports, Q&As, etc.,

-- be solely responsible for a USAID project or activity,

-- prepare USAID's strategic plan, funding or budget documents, or perform other work requiring access to sensitive or administratively controlled information.

When doubts arise as to specific duties, advice should be sought from G/AMS, Barbara Rogers, the project manager, or the grant officer for the fellowship program involved, on what Agency work can appropriately be undertaken by fellows

b. GOVERNMENT EMPLOYEE FELLOWS Fellows who are direct-hire employees from other Government agencies, e.g. the ComSci

USAID AGENCY NOTICES

JULY 1996 - AGENCY NOTICES Message Text

Msg#: 15 ( )
Date: 07/08/96 Time: 10 05am
To: ALL
From: NOTICE SENDER@M.AS.ISS@AIDW
Subj: POLICY-GUIDANCE ON FELLOWS

-- ensure every fellow has an orientation briefing to USAID and the nature of the fellowship from G and the host office.

-- ensure that a workplan signed by the fellow and his/her grantee institution is on file, which includes an agreed-upon schedule for reviewing/revising the workplan.

Any questions regarding this notice, specific duties or what Agency work can appropriately be undertaken by fellows should be sought from the grant officer, the project manager for the fellowship program involved, or the G/AMS.

POINT OF CONTACT: Ronald E. Olsen, M/MPI/OD, 202-647-2083

Date Fri Nov 03, 1995 8 58 am EST
From Direct Hire
EMS INTERNET / MCI ID 376 5414
MBX bcolwell@usaid gov

TO * Jerrold Keilson / MCI ID 695 2235
Subject Implementation of Non Direct Hire Guidance ref Fellows

Forwarded to internet[695-2235@MCIMAIL COM]
cc Sheron Moore@G DG SA2@AIDW
Comments by Erin Soto@G DG@AIDW
Comments

This document should be given to every fellow and to every mission who is supporting a fellow fyi
ERin

---------- [Original Message] ------ ----------
Followin_ a memo from Sally Shelton establishing bureau operational guidelines for the implementation of non direct hire guidance concerning fellows

MEMORANDUM October 26 1995

TO Global Bureau staff

FROM AA/G, Sally Shelton

SUBJECT Implementation of Non Direct-Hire Guidance concerning fellows

The new guidance on non direct-hires assigns responsibility for veloping and managing all fellows programs to the Global Bureau consistent with its role in providing technical leadership for the Agency Fellowship programs are intended to provide individuals with practical work experience in the area of economic and humanitarian assistance to develop a pool of experts devoted to international development assistance USAID benefits from the research technical advice and intellectual stimulus provided by the Fellow We recognize that there may be fellows who do not meet the selection criteria established in the new guidance We also recognize that some Agreements currently in place may not be fully consistent with the new guidance While these individuals and agreements are 'grandfathered, we will bring programs into compliance w h the new guidance this fiscal year

To ensure that we are consistent across programs and in compliance with the new regulations I am establishing the following operational guidelines I ask that you share these guidelines with all fellows and all USAID units which sponsor fellows

1 Fellows shall not directly supervise or be supervised by USAID

The fellow's workplan should be developed accordingly

7 The duration of fellowships should be based on the goals of the program For any fellowship requiring more than 2 years, a justification should be prepared Any request for an extension beyond 2 years must be compelling and very tightly reasoned and will be decided on a case by case basis

8 Senior and mid-career fellows are those who are employees or staff of their parent organization and have been with that organization for at least 2 years prior to being named to the fellowship through the fellowship management entity They may not mentor or supervise other fellows

9 Implementation It is important to ensure that these procedures are in place and are being followed

Each fellow should have, at a minimum

a signed workplan on file

-an orientation briefing to USAID and the nature of the fellowship from G, the host office, GC/EA and M/HR

an agreed-upon schedule for reviewing/revising the workplan

Each office sponsoring a fellow should

- be briefed on the nature of the fellowship program

--distribute copies of these guidelines to all staff and/or require staff to attend an orientation to answer questions about their responsibilities to and for the fellow

--ensure that fellows are identified as such on telephone lists, office nameplates and staffing patterns

Any questions should be referred to the project manager for the fellowship program involved or to the Director of the Global Bureau s AMS office

cc DAA/M, Carol McGraw

U S Agency for International Development

REFORM GLOSSARY (as of 10/13/95)

(Definitions)

Acquisition and Assistance Business Area	Reengineering of all facets of procurement and grants Any action that affects or is undertaken by a contract officer and/or the Office of Procurement is included in this business area
Activity	An action undertaken either to help achieve a program result or set of results, or to support the functioning of the Agency or one of its operating units
Agency Goal	A long-term development result in a specific strategic sector to which USAID programs contribute There are currently five Agency goals
Agency Mission	The ultimate purpose of the Agency's programs, it is the unique contribution of USAID to our national interests There is one Agency mission
Agency Objective	A significant development result that USAID co itributes to, and which contributes to the achievement of an Agency goal Several Agency objectives contribute to each goal Changes in objectives are typically observable only every few years
Automated Directives System (ADS)	The reengineered Agency Directives System This is an automated directives system that replaces the paper handbook directives format In the new format, directives are distinctly separated into a two-tier system of policy and essential procedures Other relevant information is located in a "Supplementary Reference' section

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Authority	The right and power to command, enforce, determine or influence A person or group invested with this right and power
AWACS	USAID's Worldwide Accounting and Control System (AWACS) This new system includes all facets of the bookkeeping of the Agency's transactions, including grants, loans, accounts payable, payment vouchers, etc
Benchmarking	A process for determining progress against a given target and indicator A point of reference from which measurements can be made It is any standard against which products or services can be compared
Budget Business Area Analysis	An analysis of USAID's budget functions and a blueprint for its improvement
Business Area Analysis (BAA)	The term used to describe the process of analyzing how a particular system (e g , accounting, budget or procurement) actually functions and accomplishes its business The process breaks down the work and flow of communications of a system into a detailed description of specific and separate data elements (referred to as entity types) and activities (business processes)
Business Systems Design (BSD)	A process of taking the analytical work completed for a particular business process and designing the software for the system
Causal Relationship	A plausible cause and effect linkage, i e , where development experts agree that a result is achieved because related, interdependent results were achieved
Communications Business Area	The term used to describe the process of analyzing the handling of all Agency external communications, including those with USAID's customers, partners and stakeholders

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Core Team	U S government employees and others who may be authorized to carry out inherently U S government functions such as procurement actions or obligations For example, only the core team would manage procurement sensitive materials or negotiate formal agreements
Customer	An individual or organization that receives USAID services or products, benefits from USAID programs or is affected by USAID actions
Customer (Intermediate)	A person or organization, internal or external to USAID, that uses USAID services, products, or resources to serve indirectly or directly the needs of the ultimate customers
Customer (Ultimate)	Host country people who are end users or beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results
Customer Satisfaction	Providing quality products and services that meet customer expectations
Customer Service Plan	A document that presents the operating unit's vision for including customers and partners in designing programs to achieve its objectives, articulates the actions necessary to engage participation of its customers and partners in planning, implementing and evaluating USAID programs and objectives, and indicates performance standards for delivery of services
Customer Service Standards	Measureable performance indicators that describe what services/products customers can expect and how they will be treated
Customer Surveys	Surveys (or other strategies) designed to elicit information about the needs, preferences, or

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	reactions of customers regarding an existing or planned activity, result, or strategic objective
Expanded Team	U S government employees, partners, and customer representatives committed to achieving the strategic objective
Human Resources Business Area	This business area integrates the personnel and payroll systems for the Agency's three distinctly different workforces--U S direct hire, Foreign Service Nationals and personal services contractors
Learning Organization	An organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect new knowledge and insights
Managing for Results	Focusing of individual, team, or organizational efforts on achieving planned results via systematic work processes
National Performance Review (NPR)	A review of the federal government for the purpose of "moving from red tape to results" to create a government that works better and costs less in rendering services to its customers Recommendations are identified for a radical change in the way the government operates The NPR focuses on "how the government should work, not on what it does "
New Management Systems (NMS)	The set of management software developed to support Agency functions in the areas of accounting, budgeting, planning, achieving, performance monitoring and evaluation, assistance and acquisition, human resource management, and property management
Operating Unit	USAID field mission or USAID/W office or higher-level organizational unit that expends

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program funds to achieve a strategic objective, strategic support objective, or special objective

Operating Unit Goal

A higher-level development result to which an operating unit contributes, but which lies beyond the unit's level of responsibility It is a longer- term development result that represents the reason for achieving one or more objectives in an operating unit's strategic plan It represents the long-term result in a specific country or program to which an operating unit's programs contribute, and may cross sector boundaries

Participation

The active engagement of USAID staff, partners, and customers in sharing ideas, committing time and resources, making decisions, and taking action to bring about a commonly desired development objective

Partner

An organization or customer representative with whom we work cooperatively to achieve mutually agreed upon objectives and to secure customer participation Partners include private voluntary organizations, indigenous and international non-governmental organizations, universities, other USG agencies, U N and other multilateral organizations, private businesses, and host country governments at all levels

Partnership

An association between USAID and its partners and customers based upon mutual respect, complementary strengths, and shared commitment to achieve mutually agreed upon objectives

Performance Agreement

A document that describes specific results for which the partner will be accountable, and whose achievement may trigger the disbursement of USAID funds

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Performance Indicator — A particular characteristic or dimension used to measure intended changes defined by an organizational unit's results framework

Performance Target — The specific and intended result to be achieved within an explicit time frame and against which actual results are compared and assessed A performance target is to be defined for each performance indicator

Property Management Business Area — The area that analyzes the overall management of the Agency's expendable and real property This includes such functions as inventory, motor pool management, and property planning and management

Reengineering — The radical redesign of business processes, jobs, structures, and controls to achieve dramatic performance improvements in cost, quality, customer service, and efficiency THIS TERM IS USED INTERCHANGEABLY WITH THE TERM REINVENTION
Comment The Agency used this approach to develop its new business systems for delivering developmental assistance As part of the President's initiative for reinventing (reengineering) government, the Agency is a "reinvention laboratory "

Reform — Radical changes in management and business systems and practices

Reinvention — See Reengineering

Result — A change in the condition of customers or host country in relationship to the customer

Results Framework — A narrative statement or graphical representation of the development hypotheses indicating the results and their causal relationships and underlying assumptions necessary for achieving a strategic objective

The framework also establishes an organizing basis for measuring, analyzing, and reporting on the results attendant to achieving the strategic objective

Results Package

Consists of people, funding, authorities, activities, and associated documentation required to achieve a specified result(s) within an established time frame

Results Review and Resource Request

The document that is reviewed internally and submitted to USAID/W by the operating unit on an annual basis It contains two components the results review and the resource request

Special Objective

The result of an activity or activities that does not qualify as a strategic objective, but supports other U S government assistance objectives It is expected to be small in scope relative to the portfolio as a whole

Stakeholder

Individuals and/or groups that have an interest in and influence USAID activities, programs and objectives

Strategic Objective

The most ambitious result (intended measurable change) that a USAID operating unit, along with its partners, can materially affect and for which it is willing to be held responsible It forms the standard by which the operating unit is willing to be judged in terms of its performance

Strategic Plan

The framework that an operating unit uses to articulate the organization's priorities, to manage for results, and to tie the organization's results to the customer/beneficiary It is a comprehensive plan that defines the strategic objectives and describes how it plans to deploy resources to accomplish them It is prepared for each portfolio whether it is managed at a country

	level, regionally, or centrally
Strategic Support Objective	An objective intended to capture and measure a regional or global development objective whose achievement depends, in part, on activities and results at the field mission level
Strategic Objective Team	A group of people who are committed to achieving a specific objective and are willing to be held accountable for the results necessary to achieve that objective This team may establish subsidiary teams for a subset of results or to manage a results package
Team	A group of people committed to a common performance goal for which they hold themselves individually and collectively accountable They may include USAID employees, partners, stakeholders, and customer representatives
Teamwork	The process whereby a group of people work together (often by dividing tasks among members based on relative skills) to reach a common goal, solve a particular problem, or achieve a certain set of results
Total Quality Management	A way of managing an organization at all levels to achieve customer satisfaction by involving employees, suppliers, and customers in continuously improving the work processes of the organization
Value Engineering	A management technique using a systematized approach to seek out the best functional balance between the cost, reliability, and performance of an activity or process, with a particular focus on identifying and eliminating unnecessary costs It can be used in the design stage and as an evaluation tool
Virtual Team	Members of a team who are not co-located and therefore participate primarily through telecommunication systems

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Vision	A statement expressing the future state of an organization or unit, or what it strives to achieve

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Presentation documents:

Intro to Reengineering 1

Strategic Planning & the RF 2

Results Packages 3

Team Functions 4

Handouts 5

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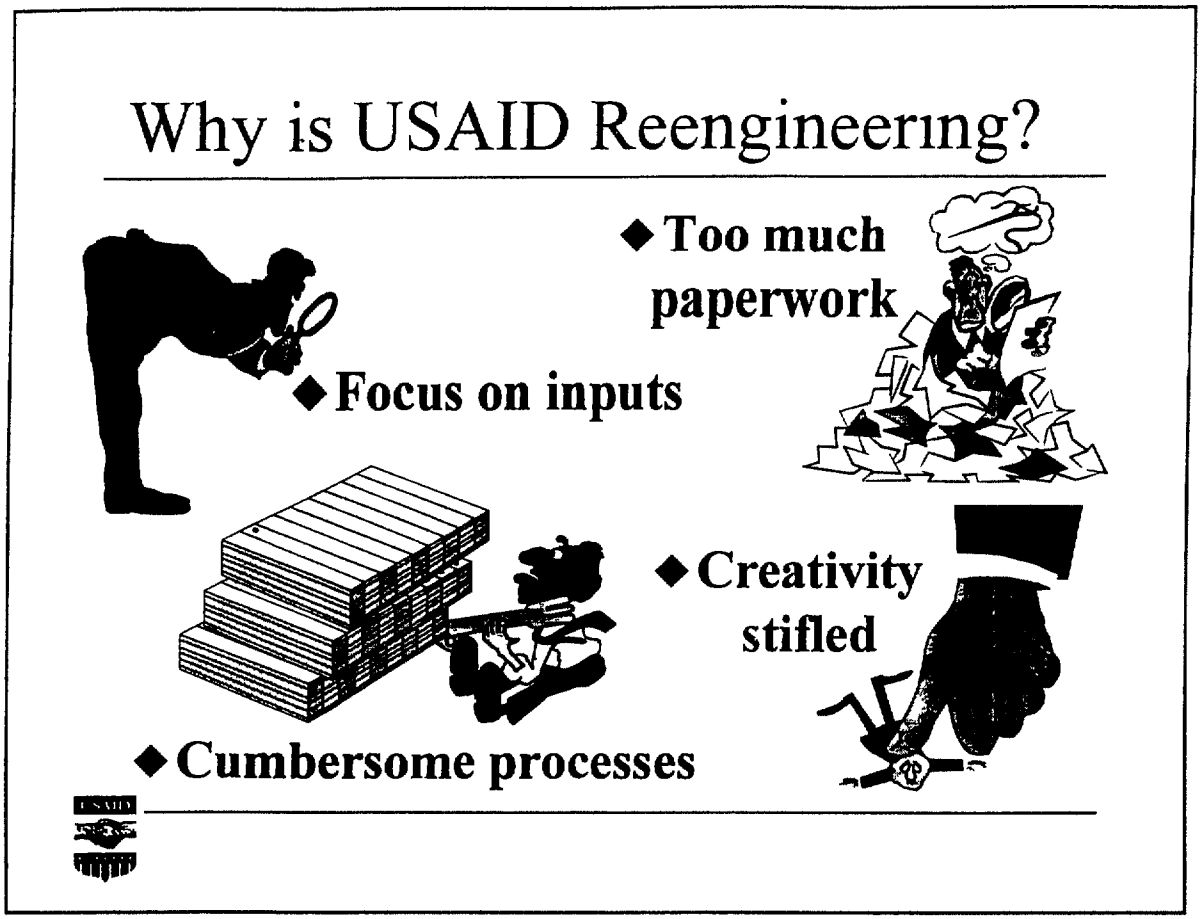
What's Reengineering ?

REENGINEERING requires us to challenge the fundamental assumptions on which bureaucracies are built and radically redesign these organizations around desired outcomes rather than functions or departments. In the process, it forces us to develop new ways of thinking and seeing the world

from **Seamless Government, a Practical Guide to Reengineering in the Public Sector,** *by Russell M Linden - 1994*

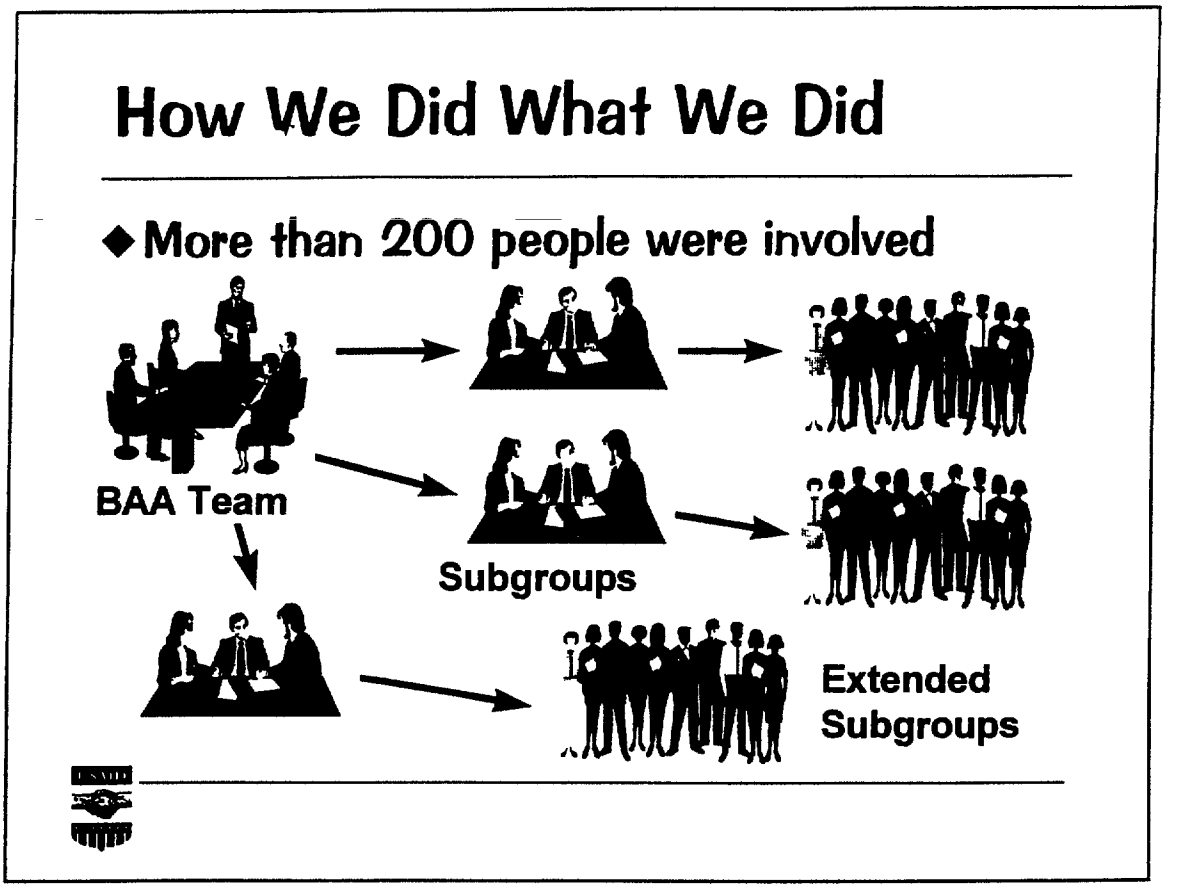
In 1992, surging US budget deficits demanded a re-examination of the role of government in a number of sectors, including foreign aid The new administration sought to renew the mandate of the public service through an initiative called "re-inventing government" which has been spear-headed by Vice President Gore This initiative encouraged all government agencies and operational units to seriously assess, revise and fundamentally redesign, if necessary, their organizational structures and processes in order to render government service more efficient, productive (results-oriented) and responsive to its customers and constituencies

To date more than 150 US government experimental "re-invention" laboratories have become engaged in reengineering These labs span the gamut of government service organizations from units in the military to the government's scientific research operations



By 1992 USAID was considered "broken", demoralized and without a mission in a post-cold war world In response to this internal crisis, the Agency's senior management USAID volunteered the complete agency as an experimental re-invention lab The work began, by employees assembled from all over the world, to assess the agency's mission, its strengths and weaknesses and to determine how to best redesign processes that would enable USAID and it partners to effectively meet its mandate USAID's mission has now been oriented to "sustainable development" Some of the most important features of USAID's reengineering effort are that

- This is NOT a layering on of new regulations but a stripping away of the barnacles that impeded our progress
- Reengineering is based on analyzing how we do our business and eliminating steps that do not add value
- Some changes are radical but in fact many build on successful Agency experience



Most of the work done for the Agency's reengineering has been done internally by USAID employees working in teams made up of both overseas and Washington employees

A dozen Missions worldwide volunteered to serve at Country Experimental Laboratories - CELs - to experiment with reengineering USAID's business since 1994

This combined experience has shown a great variety of applications of reengineering in many country and development contexts

On 10/1/1995, based on the above experience, new procedures and processes under reengineered systems extended Agency-wide

What does this mean for USAID's partners?

As the actual reengineering efforts have been driven by individual missions and bureaus, there is a significant variety of specific interpretations of the guidance and application of the principles Furthermore, from country to country, missions are at different stages of the reengineering process and are moving forward at different speeds Partners who are engaged with more than one operating unit may find different practices and opportunities in each context

The reengineered USAID includes significant changes in operations which will be supported by development of a unified corporate information system called the NMS - new management system.

A Reengineered Operations System

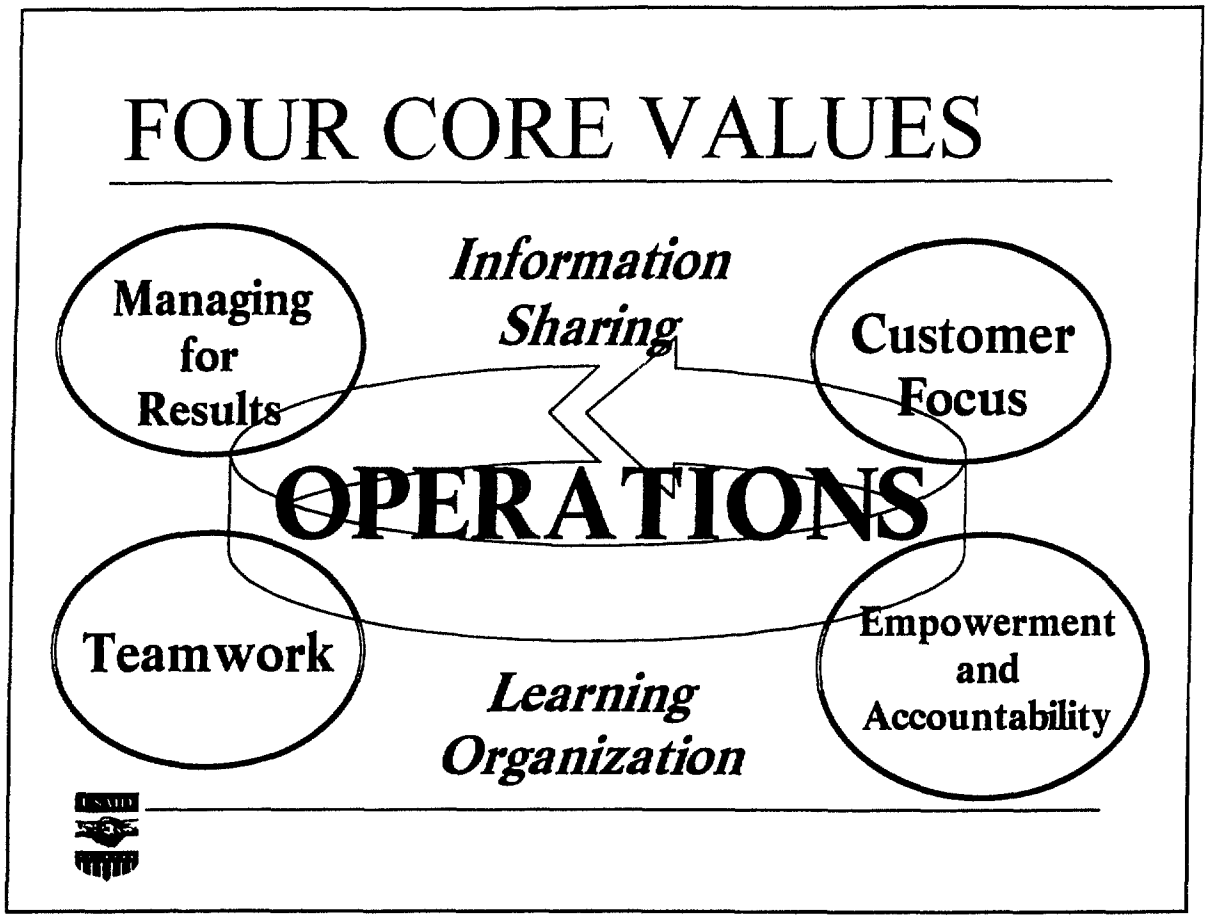
- Ambitious but achievable results
- Authority over resources, tools, and information
- Improved procedures
- Collaboration among teams, partners, and customers

The four features of USAID's reengineered operations system listed here reflect a conscious application of the Agency's four core values

- "Ambitious but achievable results" reflects the Agency's reaffirmed commitment to a **results orientation.**
- "Authority over resources, tools, and information" and "Improved procedures" reflects the commitment to **empowerment**, in this case, of Agency staff and partners

Finally,

- "Collaboration among teams, partners, and customers" reflects the two core values of **customer focus** and **teamwork**



The core values became the basis for redesigning the operations system.

Managing for Results

- Trackable results are crucial for good planning and for our relationship with our stakeholders
- Managing for results will improve our relationship with stakeholders

Customer Focus

- The customer is the recipient of our goods and services (the end user)
- Our ability to listen to customers affects the quality of work. Listening to customers will increase our effectiveness The quality of our work directly affects our impact
- Congress, the American taxpayer etc are "stakeholders" - they give us money to do something for the end users and expect us to be accountable for quality work.

- *continued on the next page*

Teamwork

- Teamwork will change how we think and work together

Empowerment and Acceptability

- Empowerment will give us personal satisfaction on the job
- Missions/Bureaus/Offices will be accountable for results (and empowered to select the best way to achieve them)

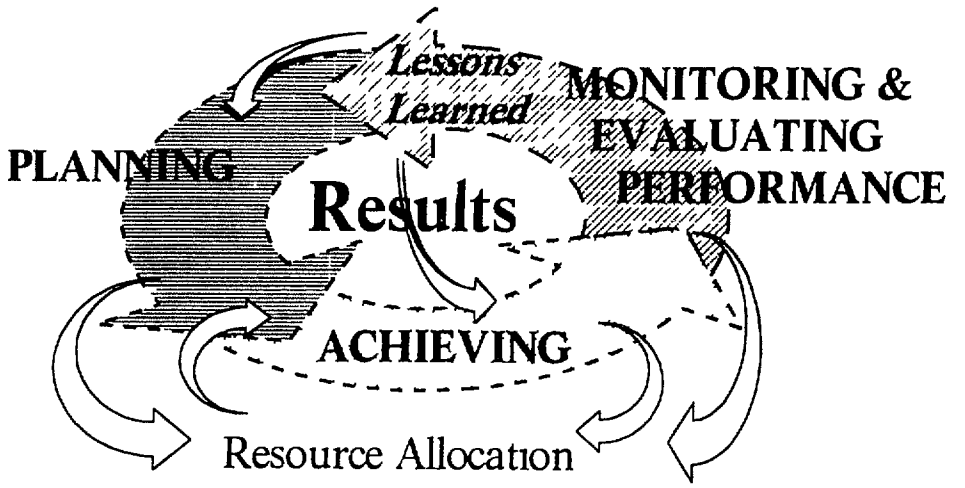
Reengineering doesn't end on October 1 - it starts on October 1. What we put in place should not look the same two years later - it should look better. The people who make reengineering work are you and the people in your Missions.

- Phyllis Forbes, July, 1995

It is important to recognize that reengineering is an on-going process that is intended to build on "best practices" Operating units are encouraged to translate the new operations systems and stream-lined procedures in ways that add value to the way they do their work

Current information on units' innovations is readily available to USAID's partners and agents through the OnTrack (OTRACK@USAID GOV), via the Internet (www info usaid gov - see publications), and via e-mail on RFNet (for membership please contact "JADAIR@USAID GOV")

Key Functions of the System



There are a few key principles that have guided the teams redesigning USAID's implementation process For starters, we now talk about "achieving" as contrasted with "implementation" The term "achieving" emphasizes the focus on results, not just on process Achieving is a means to an end, not an end in itself

Achieving is designed to be a learning process, in which we take risks but we learn from our mistakes, we use information -- which will be more timely and readily available from here on out -- to make modifications in what we are doing, and we share lessons learned with others inside and outside the organization

A companion to learning is the flexibility to act on that learning and make changes as we go along The reengineered Achieving process has built into it certain degrees of flexibility that empower those closest to the processes and activities to decide whether to change them or not The focus, of course, is always on achieving the desired result, at whatever level it may be

Achieving

- A means to an *End* (i.e., a Result)
- A Learning Process
- Flexible
- Collaborative
- Interrelated yet self-contained, result-focused, and time-limited activities

The reengineered Achieving process is designed to be collaborative, with the involvement of customers, stakeholders and partners at every opportunity For, example, activities organized to achieve specific results in the Results Framework should include customers, stakeholders and partners, and "virtual" teaming with collaborators in other parts of USAID is now the norm.

The reengineered Achieving process is designed to make it possible for teams within the Operating Unit to be involved in all phases of achieving specific results -- planning the activities, carrying them out, assessing them, and modifying them -- because Results Packages (or whatever approach for organizing the work chosen by an operating unit) should be focused, time limited and so on The aim here is to avoid situations, common in the past, in which project design and implementation were so long and complex that staff (and partners, for that matter) never participated in the whole process and never could be held accountable for any results

USAID's Approach to Strategic Planning and Performance Measurement

- Emphasis on Results
- Increased focus and "strategic" choice of strategies and resources
- Measure and report on results
- Analyze performance information to learn, re-plan and improve performance
- Use performance information to tell USAID's story

Managing for Results

- Know the customer and their needs
- Know the results we want to achieve
- Understand the process to achieve results
- Use information/data to tell us how well things are working
- Have authority to take corrective action (change process, or change result)

What's Different in Planning?

- Participation at every level
- Joint Planning and programming
- More explicit linkage between achievement of results and budgeting

Here is what, specifically, we expect to be different about the process of Planning, primarily from an operating unit perspective

- The "new" planning system is built on the best practices from Agency experience, particularly the longer experience with planning in the AFR and LAC Bureaus So, in a very real sense, it isn't all that "new" What is new is a commitment at Agency level to make the best practices of some parts of the organization over time the standard for practice throughout the Agency
- Particularly new in planning are the increased and systematic emphasis on customers and participation in planning and joint planning between the field and AID/W Joint planning, if it is done well, should lead to more effective achievement of results and in fewer surprises when strategic plans come into AID/W from the field
- With the new approach to budgeting (by strategic objective, that is), there will be an increased emphasis on past achievement of results and the likelihood of future achievement of results when resources are being allocated

What does this mean for USAID's partners?

Partners may be invited into the planning process as full members of Strategic Objective Teams Besides bringing technical and sectoral expertise to the process, partners may serve to represent the interests of USAID's ultimate customers

What's Different in Planning?

- Only two documents to AID/W:
  - Strategic Plan
  - Results Review and Resource Request (R4)
- Easier access to information

Field operating units are required to send to AID/W only two documents, the once-in-several years Strategic Plan and the annual Results Review and Resource Request For example, missions do not have to send activity-specific documents (such as the old project paper) to AID/W for review

Once the New Management Systems are operational, everyone involved in the planning process will have easier and more timely access to information--information regarding the strategies and results of other operating units that might be relevant to the strategy we are considering, the resources available for the kinds of activities we might want to pursue, and so on

THE STRATEGIC PLAN

The framework which an operating unit uses to articulate the organization's priorities, to manage for desired results, and to tie the organization's results to the customer

The strategic plan replaces (actually, builds upon) the bureau-specific planning documents used heretofore The strategic plan is comprehensive -- it includes strategic objectives (SOs) and a description of how the operating unit plans to use resources to accomplish them.

The Strategic Plan

- Summary analysis of the development assistance environment and the rationale for program focus
- Proposed SP includes:
  - Linkages to Agency's Strategic Framework *(see section 7 of this notebook)*
  - Country goals & subgoal
  - Explanation of each SO
  - Resource requirements by SO

Excerpt from the Directives

E210 5 10 Contents of Strategic Plans

Operating unit strategic plans shall include the information necessary to secure endorsement by Agency management on the proposed strategic objectives and targeted magnitude of impact, associated resource requirements, and, requested delegations of authority Operating units must ensure that any special legislative requirements, as applied to strategic planning, are included Operating units are not required to follow the outline below in its exact form, however, strategies shall include the following three sections and shall provide a clear and concise discussion of the below referenced issues in a form which is appropriate to their program.

PART I Summary Analysis of Assistance Environment and Rationale for Focusing Assistance in Particular Areas

A. US Foreign Policy Relationship of the program to US foreign policy interests

B Overview Country strategies will provide an overview of the country condition to include a summary of overall macro-economic and socio-political trends, a discussion of development constraints and opportunities, how the strategy relates to host country or regional priorities, and the role of other donors Regional and Global strategies will provide a discussion of relevant transnational trends, how the strategy relates to regional or global priorities and the role of other donors

C. Customers A brief discussion of how customers influenced the strategic plan both directly and indirectly using the customer service plan as a basis

D Transitional Issues Transition or phase out issues, for those country programs which are transitional in nature, the strategy will provide a discussion of key transitional issues which are appropriate to the country (whether it is a country nearing graduation or transitioning from relief to development) Regional and global programs may discuss transitional or phase out issues where relevant

PART II Proposed Strategic Plan (Country, Regional, or Global)

A. A discussion of the linkage of the strategy to Agency goals and objectives

B A discussion of country goals and subgoals (where applicable)

C. Each Strategic Objective or Strategic Support Objective must include the following

1 A statement of strategic objective

2 A problem analysis, to include an analysis of the specific problem to be addressed and an identification of affected customers

3 A discussion of critical assumptions and causal relationships which are represented in the Results Framework.

4 The commitment and capacity of other development partners in achieving the objective This may include a trend analysis which demonstrates why the current climate and support by other partners (including the host country government) or customers indicates that the objective can be achieved

5 Illustrative approaches

6 How sustainability will be achieved

7 How the achievement of the strategic objective will be judged including,

a Proposed performance indicators and targets for achievement of each strategic objective as well as monitoring interim progress (see Series 200, Chapter 203)

b Performance targets which convey an understanding of the anticipated magnitude of change visa vis USAID's investment and/or that of USAID's partners These performance targets will represent anticipated results over the entire strategy period to the extent possible (i e where past experience and technical knowledge indicate that targets which are projected to the end date of the strategy are useful and meaningful) There are some cases, most often in new areas, where select targets may be shorter than the planning period, and therefore will need to be updated via the R4 process Also, interim performance targets may be used as par of performance monitoring during the life of the objective

D If the operating unit has identified a special objective, the discussion must include the following for each special objective,

1 The time-frame for the Objective

2 Relationship to Agency goals and objectives and/or the country strategy

3 Expected Results

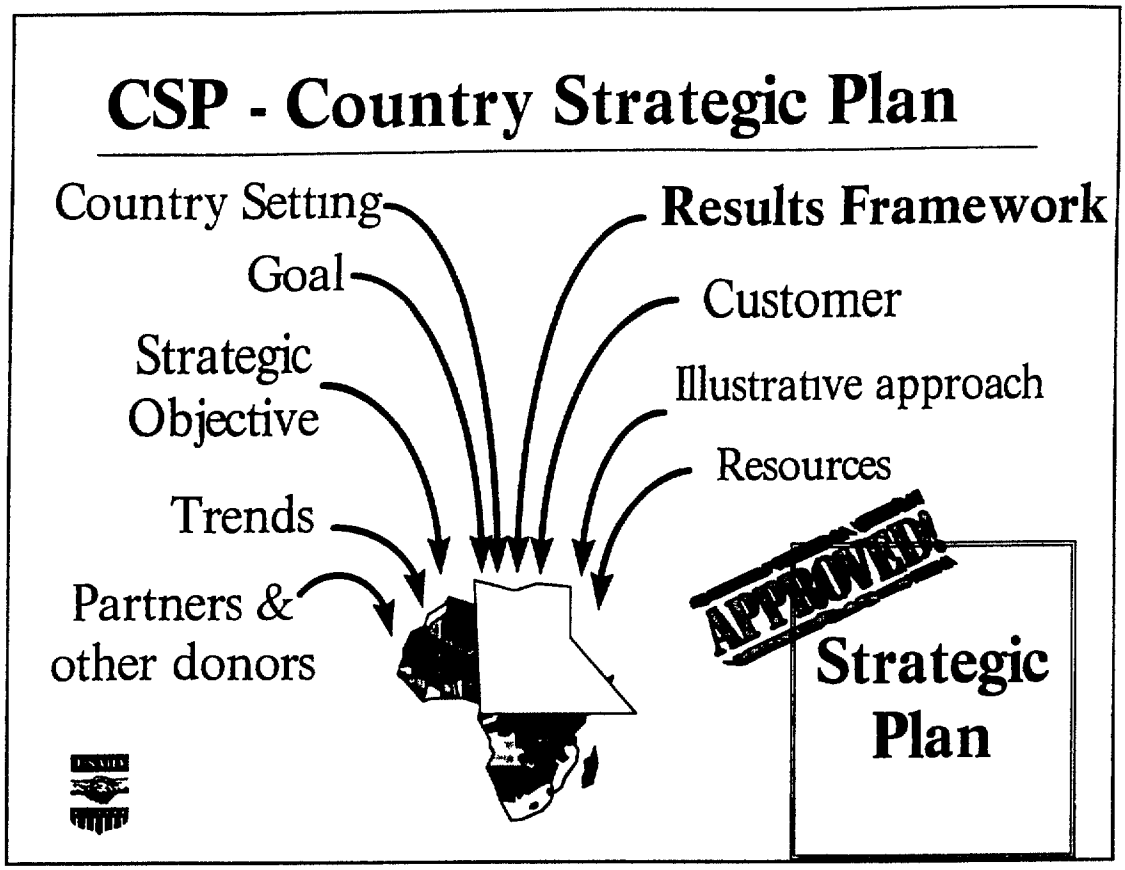
4 A proposal for monitoring achievement of any special objectives as is appropriate to the nature of the objective

E For Field Mission operating units, the strategy shall identify any activities which support global objectives and are outside of the field mission's bilateral strategy The field mission should also identify any management responsibilities for which it is held responsible

PART III Resource Requirements

A. Estimated resource requirements over the planning period to achieve the strategic objectives, including program dollars as well as supportive OE and personnel Program funding shall include the amount for field support provided through G Bureau mechanisms The operating unit shall also identify any USAID/W technical or other support which are necessary to accomplish the strategic objectives

B Discussion of programming options This should be brief and concise and may take the form of a simple matrix which serves to articulate and distill the priorities of the operating unit and is based on high, medium, and low funding levels Such a matrix should take into account Congressional and Administration mandates and may indicate country conditions that would warrant increases or decreases in assistance



Strategic Planning for a *country* program will include all USAID program funding proposed for allocation to the country, including funding in support of centrally managed global programs, food aid, and research activities

Planning fo. regional and global programs must include program funded activities that are

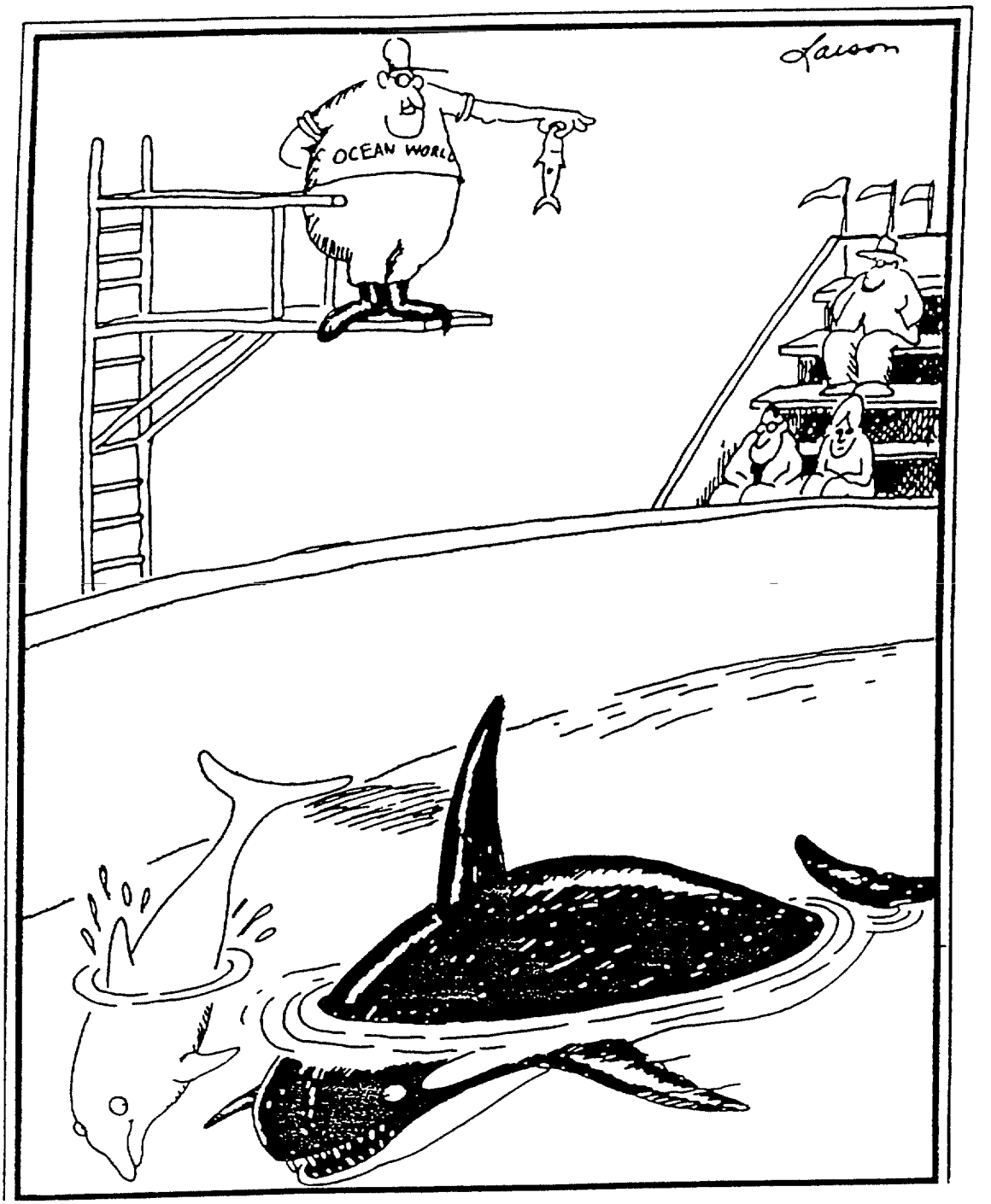
(a) regional or global in nature,

(b) bilateral programs for which the central operating unit has direct responsibility, and/or

(c) activities that have bilateral impact and are managed by a central operating unit due to management efficiencies

Exceptions to the strategic planning process are start-up programs and emergency programs See the Directives for details

Good Strategic Planning Involves Setting Ambitious, Yet Achievable Objectives...



"The herring's nothin' I'm going for the whole shmeer!"

Based on the Strategic Plan, USAID/Washington and the operating unit establish a...

Management Contract

- Agreement on objectives
- Confirmation of estimated resources over the strategy period.
- Provision of appropriate delegations of authority
- Special management concerns requiring action

Strategic Objectives

The most ambitious result in a particular program area that an operating unit (with its partners) can materially affect and for which it is willing to be held accountable.

Types of SOs-

Bi-lateral and Regional/Global Strategic Objectives are like strategic objectives under the old system--each of them is unique to and managed by a single operating unit

Strategic Support Objectives (SSOs) are Regional or Global Bureau development c ,jectives that rely partly on the results of activities performed by the bureau and partly on the results of activities performed by other operating units, such as missions These objectives allow Global and other bureaus to relate their support activities to the high-level development results toward which they are aimed

E g , the Global Bureau may be developing a new vaccine in order to ultimately reduce the incidence of a particular disease (which is a significant development result) Global develops the vaccine, but it relies on missions to distribute the vaccine and ensure its proper use through their health programs It's really a joint objective the missions will most likely be including reduced incidence of the disease in their SOs, and Global will be adopting reduced incidence as its SSO Global will also probably rely on mission data for measuring performance against the SSO

SSOs represent an attempt to allow Global and other central or regional bureaus that are providing critical support to missions' development efforts to relate that support to development results The less attractive alternative would be to reduce Global to low-level strategic objectives, which are separated from the higher level development results toward which they are aimed The aim here is to relate all assistance activities -- including Global's -- to significant development results In effect, those development results are shared by Global and the missions

A **Special Objective** is one that has limited development impact, and therefore does not qualify as a full-fledged SO Special Objectives can include objectives that respond to earmarks, involve phasing out a major development effort, try something exploratory or experimental, or involve research that contributes to an Agency objective

Objectives

- Strategic Objective
  - Bi-lateral Strategic Objective
  - Regional/Global Strategic Objective
- Strategic Support Objective
- Special Objective

Strategic Objective

- a significant development result
  - clear, precise & objectively measurable
- the highest level result for which the operating unit is willing to be held accountable
- unidimensional, in so much as possible
- linked to Agency objectives & goal
- achievable within 5 - 8 years

The directives identify situations in which a strategic objective may have more than one dimension -- when two very interrelated results are being sought, or when the program to achieve two very related results is a very integrated program.

Results Frameworks - Functions

Management Driven NOT Report Driven

Founded on Practical Experience

- Planning
- Management
- Communication
- Building consensus and ownership
- Reporting

The Results Framework is the basic tools used to illustrate the operating unit's development hypothesis It also serves as a framework within which units can develop plans with customers and partners thereby building ownership and shared support for implementation The framework should serve development professionals as a management tool as much as an instrument for planning or reporting

What does this mean for USAID's partners?
The RF must be much more than a reporting document for which USAID is accountable The ability to effectively achieve the SO doesn't depend merely on the quantity of technical and financial inputs, but on the 'ownership' and commitment of the development partners and agents in achieving the set of results Therefore partner's engagement in developing and monitoring the RF is critical to USAID's success

Results Framework

- Presentation of SO and key Intermediate Results (IRs) and the cause-and-effect linkages between them
- Identifies all IRs necessary to achieve the SO regardless of who is taking responsibility
  - through USAID assistance
  - through other development partners
- As part of the SP, it illustrates the Mission's <u>development hypothesis</u>
- Serves as a Mission management tool

Some differences between the Results Framework and the PRISM Objective Tree (the graphic presentation of the narrative column of the Program Logframe)

- The Results Framework represents an attempt to be more explicit in its emphasis on **causal linkages**, and less bound to prescribed levels in a hierarchy Under PRISM, we have observed the tendency of some operating units to try to make everything at one level of the objective tree -- e g , the Program Outcome level -- relatively equal in importance

- In the Results Framework, the emphasis is on how things relate causally, regardless of relative importance or chronology The Results Framework tries to avoid forcing things into a linear sequence, when in real life things are sometimes circular in their impact

Results Framework

- Identifies organizational responsibility and timeframe for each result
- Shows integration of results from other SOs where appropriate

  (the RF is not necessarily linear in its logic nor in its presentation)
- Serves as a reporting and learning tool

  (validating & reassessing the development hypothesis as activities progress and the environment evolves)
- Defines performance indicators and targets

The Results Framework includes **more detail** to elaborate the development hypothesis than did the PRISM objective tree How much detail?

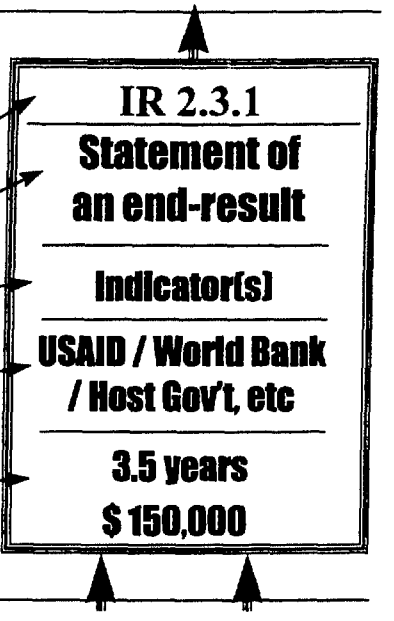
Enough to elaborate the development hypotheses Also included are details about resources and partners

What does this mean for USAID's partners?

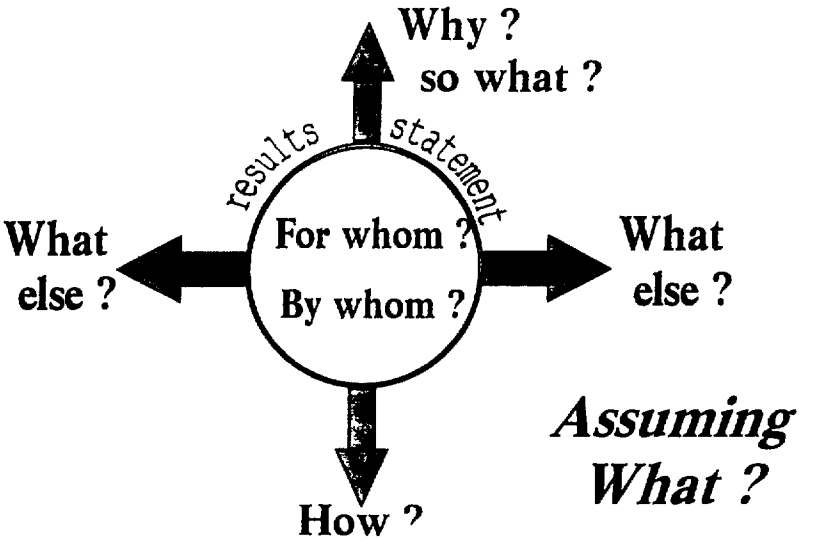
The RF is by no means a secret or static document Partners are intended to be intimately involved in the formulation of USAID's framework and should be continually implicated in the 'ground-truthing' of the development hypothesis it represents As the operating unit learns from its experience the framework may be changed Much of this acquired knowledge lies in the experience of partners, agents and other program implementers The framework provides a basis for this substantive dialog

Results Statements Components

- A results description typically includes:
  - reference number
  - results statement
  - indicator(s)
  - implementers/partners responsible for the result
  - timeframe
  - possibly, resources



Logical associations between SOs and IRs



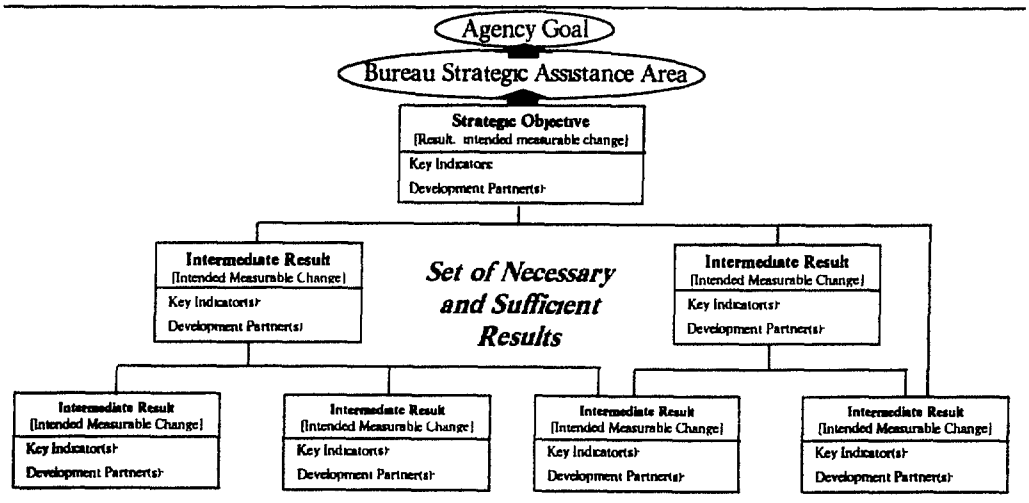
As you read up the series of intermediate results the logic of the statements answer the question "why are we doing this? " or "why does this matter?"

As you move down the framework the intermediate results statements answer the question "how do we do cause this effect?"

Intermediate results on the same level identify <u>all</u> those results <u>sufficient</u> to cause the desired effect on the next highest level

Key to presenting the logic of your framework are the **critical assumptions** that underlie your hypothesis These assumptions should be referenced either on the framework or in the accompanying text of the strategic plan

Results Framework graphic

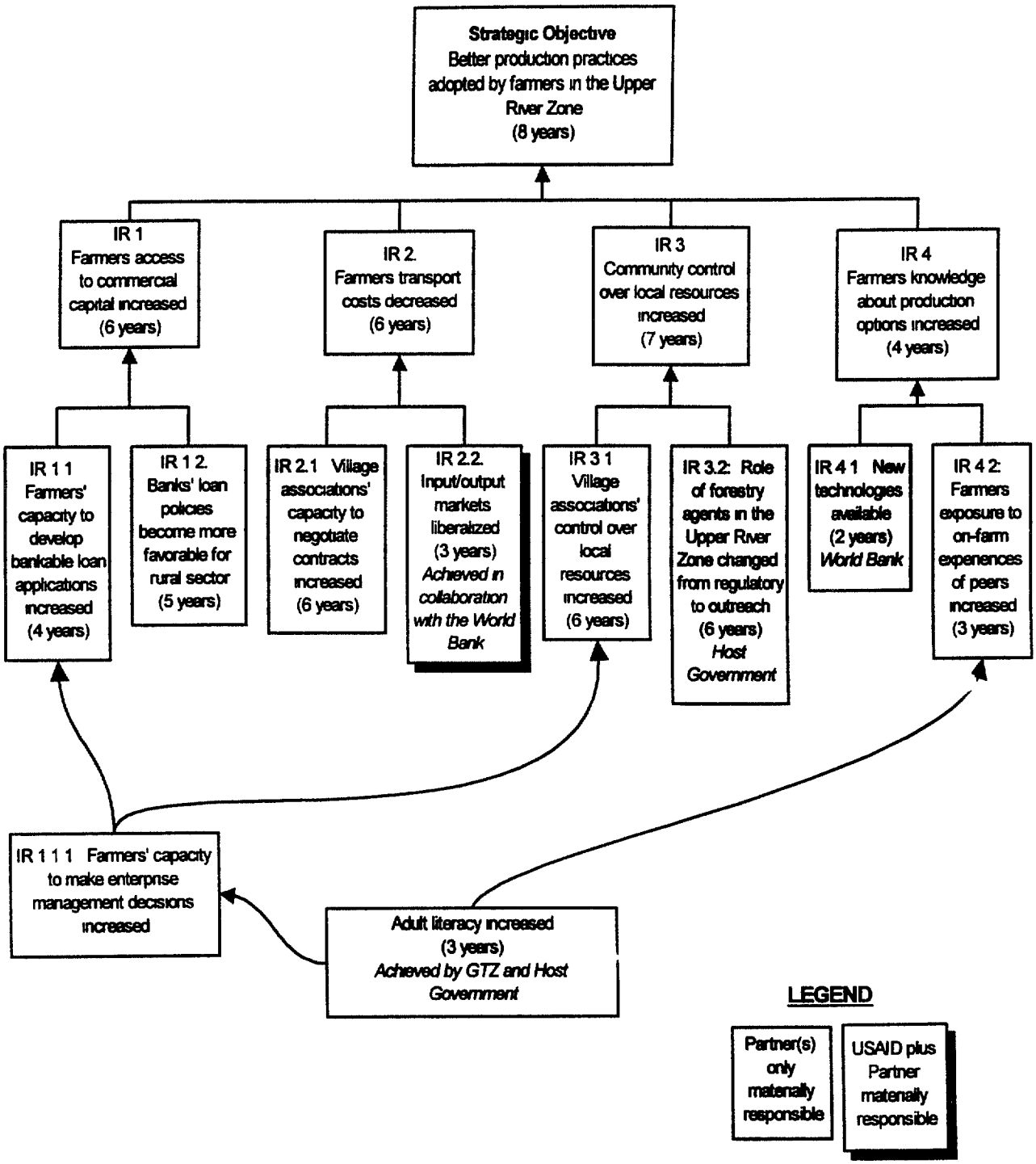


What are the changes/results necessary and sufficient to get to the next "higher" level ?
How do you achieve the "higher" level of results ?

Causal relationships between results need not always be strictly hierarchical i.e an intermediate result on one "level" can contribute to the achievement of intermediate result on two or more "levels"

An example -

Upper River Zone
RESULTS FRAMEWORK



Implementation under the New Operations System

1 Results packages

a With no projects, how do we organize and manage an operating unit's portfolio of activities?

USAID has used projects to perform various functions simultaneously

- to organize sets of activities with a common purpose,
- to provide a construct for the design, implementation, monitoring and documentation of those activities,
- to provide a basis on which we notify Congress about how we intend to use program funds, and
- to provide a basis on which we authorize the use of funds, and then obligate funds in part or whole, through host country bilateral agreements, grants, contracts, etc

A **results package (RP)** performs at least one of these functions, organizing sets of activities around intended results Put differently, it is a way to organize the work we must do in order to achieve the results that are in the results framework for a strategic objective In doing so, it provides a construct for the design, implementation, monitoring and documentation of those activities, but in a much less official and formal way than projects did There are no required "results package papers", nor required analyses, nor an official approval process for results packages They are controlled within the operating unit, and can be changed by the operating unit as necessary They do not necessarily appear in the Agency's official budgeting and accounting system, although if an operating unit chooses, they can have budgets and receive funds In sum, they are meant to be a management tool used to organize the work (regardless of funding source) necessary to achieve the results for which an operating unit has responsibility

Results package is defined in the Automated Directives System (ADS) chapter 202 as consisting of "people, funding, authorities, activities and associated documentation required to achieve a specified result(s) within an established time frame " Later in that chapter, in section E202 5 4a, the following is listed as included in a results package

- the set of activities designed to achieve the results in the results package,
- information or analysis required for the strategic objective team to approve activities,
- explanation of how activities will achieve the intended results, including linkages between USAID, intermediaries and ultimate customers,
- identification of personnel, including appropriate USAID staff and representatives of partners and customers, with the knowledge and capacity needed to deliver the specified result(s),

- identification of clearly defined responsibilities and authorities sufficient to ensure decisions can be made which are necessary to results achievement, consistent with Agency conflict of interest requirements,
- funding from USAID and partner organizations sufficient to carry out the activities required to deliver the specified results, and,
- a performance monitoring plan indicating how results will be monitored and measured

This is meant to convey that an RP is a management tool designed to maintain our focus on intended results while at the same time organizing the work necessary to achieve those results, and addresses one fault the project-based system displayed, and that is that activities could take on a life of their own, independent of the overall objective which was their original reason for being In addition, the move away from the project-based system is intended to provide greater flexibility and to locate authority over design and implementation decisions at the same level as responsibility for achieving res ılts

But what about all those components of a results package? One frequently made comment has been that it sounds a lot like what we put into projects (If it walks like a duck, talks like a duck, and looks like a duck, it probably is a duck) RPs will have some similarities to projects because we will continue to do much of our work through grants and contracts and there is similar (though not always identical) work to putting those together and then managing them So, we still have sets of activities, we still need to do some analysis to make sure we have the right set of activities, we need to be able to explain how what is being done will in fact achieve our intended results, and we need money to finance USAID activities But RPs are less than projects in that many of the required procedures have been eliminated, and more than projects in that they are flexible management units which include the required skills and decision-making authorities necessary to manage the work, and include activities sponsored by other entities (host country, donors, NGOs, etc) which are critical to the achievement of specific results

Through the new management systems (NMS), the Agency's new set of management software, information will be available about the constituent parts of RPs (the results and activities they comprise, individuals involved in their management and their respective authorities, funding levels, and other associated documentation), but availability of information does not imply formal submission for review and approval The information is available for use by team members, country development officers, managers in the field and in Washington, and whoever else has need (and authorized access) We also are working on ways to make at least some of this information available to the general public, through Internet and country program home pages That this information may be grouped by results package to some extent is inconsequential - even without RPs we would have results and associated activities, and much of the information which will be available will exist through linkages not with necessarily with results packages, but rather

with specific results or specific activities The results package pulls the information together primarily for management purposes

b Results Packages How are they formed?

Technically RPs can exist only after there is an approved strategic objective with its associated results framework However, as an operating unit is developing a results framework for a strategic objective, it will be thinking about what activities will be necessary to achieve the intermediate results in the framework During this process, thought also will be given to how to organize the management of the activities, and this would be the beginning of defining individual RPs Decisions about RPs would be made once the objective is approved, but RPs can be revised at any time by the operating unit without outside approvals (Note that some changes to individual activities may require specific approvals, e g , changes to grants and contracts or to activities which initially required Washington approval or concurrence) In accordance with ADS chapter 202, the entire results framework for any one strategic objective may comprise one RP, or a framework may comprise two or more RPs The number of RPs for any one framework depends on the complexity of the activities, the number of people involved in managing the work of the operating unit, and the management style of those involved with the work

There are at least two ways RPs can be organized, one is on the basis of a set of the intermediate results which logically fit together, and the other is on the basis of some common characteristic or characteristics of the activities which will be used to achieve the results In both of these approaches, the RP includes intermediate results and activities - its just that in the first, you are using the results as the organizing principle, and in the second you are using similar activities as the organizing principle Both approaches are appropriate under reengineering and both maintain a results-orientation because they always are grounded in the results framework

For example some operating units are organizing results packages around first level intermediate results in the results framework (what appears immediately below the strategic objective statement) They have selected a set of results that logically fit together, and those results along with their associated activities would form the results package Other operating units are organizing RPs around similar activities which will be used to achieve a variety of results, so their RPs probably would cut across an individual results framework An example of this would be where work with cooperatives is planned in order to achieve results in income generation, credit availability, and community organization The cooperative work, along with its associated results, would comprise the RP In this instance, because the activities are the primary focus,

continuous attention to the associated results and parent results framework becomes particularly important

Note that one activity does not necessarily equal one grant or contract A grant or contract may receive funds through one or more activities

c Results Packages How are they used?

Once an RP has been established, it can take on various additional attributes which allow it to be used in different ways As noted above, an RP consists of people, funding, authorities, activities and associated documentation required to achieve a specified result or set of results within an established time frame In its application, an RP may be managed by an individual or a team, may have an overall budget or may have money allocated to it as activities are defined and may incorporate through its manager or team members varying levels of authorities depending on the expertise and experience of the manager or team

If it includes only one activity, say a grant or contract, or is relatively less management intensive, there may be only an RP manager who has a position on the strategic objective team and who meets other requirements of activity implementation (e g , customer, partner and team participation) through the SO team Or, the RP manager in this case may be the only operating unit employee on the RP team which brings together key partners and customer representatives If, on the other hand, the RP includes a variety of activities designed to achieve a varied set of intermediate results, a more formal RP team probably would be established, perhaps with participation by various field staff in addition to customers, partners, and other USAID personnel as virtual team members

Depending on circumstances, RP teams can be delegated various authorities and can be assigned budgets with or without activities already defined Governing circumstances would include the level of experience and expertise of staff on the RP team, the nature of the work, and the general availability of funds One objective of this new system for many in the Agency is to establish flexible management units within operating units which are fully responsible for, and have the authority over, the resources made available to achieve an agreed-to set of results within a specified time frame This may mean also assigning an operating expense budget against the RP The directives support this objective, although it may not be feasible in all cases at this time

d How are RPs revised?

The revision of RPs is an internal matter for each operating unit or for each strategic objective team One reason why the RP concept has not been included in the Agency's

official budgeting and accounting systems is so that operating units and S O teams can move quickly to restructure their organization of work without making changes in Agency-wide systems The operations component of NMS will "document" what is in an RP, and therefore will capture changes to RPs, but this is for information purposes, not notification or approval purposes The operating unit is responsible for having procedures in place that govern how various changes are made and approved At the moment there is no standard, Agency-wide procedure Defining a procedure is both the responsibility of, and within the authority of, the operating unit, and can be delegated to S O teams

While revising RPs is wholly flexible, revising RP components may involve other processes which are beyond the authority of the RP team, depending on its composition For example, revising a grant or contract scope of work may be necessary to achieve specific results within the RP, but it may require contracting officer action Also, revising some intermediate results may require consultation with the bureau's Washington offices if there are restrictions on changes to specific intermediate results stated in the management contract

Here it is important to distinguish the RP itself from its components The RP is an organizational and management tool It combines results, activities, resources, etc , in order to accomplish the work necessary to achieve results While the operating unit or its constituent teams may have authority over how RP components are organized and moved around for management purposes, specific restrictions (concerning procurement actions, changes to results frameworks, earmarks, etc) may apply to changes in those components, and operating units must be aware of those restrictions

e How are RPs monitored and reviewed?

RPs, as organizational and management tools, themselves may not be monitored and reviewed What will be monitored and reviewed are the results included in the RPs, and, at least presumably within the respective RP or S O teams, implementation progress of the activities included in the RPs Reports on results will be assembled annually for the Results Review (the first R2) process There is no formal process for the reporting on implementation progress, a principle of reengineering is that we should be focusing on results not individual activities being used to achieve those results RP and S O teams, and probably many operating unit managers, will need to keep themselves informed about implementation progress, in particular as such monitoring will act as an early warning sign that results may not be achieved in a specific area The operations component of NMS will capture activity implementation information for this purpose There also may be evaluations of RPs to help guide the Agency, as a learning organization, about how to organize work to achieve results

Strategic Objective Team

The operating unit shall establish a Strategic Objective Team for each strategic objective, strategic support objective, and special objective...

The Achieving process begins *(in the sense that any of the three processes (Planning, Achieving, Monitoring & Evaluation), which are cyclical and interdependent, has a beginning and an end)* with completion of the Operating Unit's strategic plan and formation of Strategic Objective (SO) teams The very use of SO teams and their composition relate to the two core values of "teamwork" and "customer focus "

What does this mean for USAID's partners?
Partners have the opportunity to be much more involved in strategic visioning, program planning and results monitoring than in the past This should provide many more opportunities of synergies between USAID's and partners' activities thereby ensuring greated impact

Strategic Objective Team

- USAID personnel (technical and support staff)
- agents,
- partners,
- stakeholders, and
- customer representatives

  ... jointly working together to <u>achieve</u> the SO

According to the draft directives, there is an SO core team of USAID personnel, who shall establish a broader SO team The distinctions between the core team and the broader SO team are important ones – see E202 5 2a in the draft directives for more details

The SO team should include people who

(1) bring significant expertise or knowledge needed for SO achievement *(this includes using folks from AID/W under the virtual teaming principle and joint programming principle)*,

(2) represent major development partners whose resources bear on achievement of the SO,

(3) represent key stakeholders, especially local groups and individuals who will gain or suffer if the SO is achieved, and

(4) representatives of major USAID customers for the SO

Strategic Objective Team

- Organizes and manages itself
- Determines how key results are to be achieved
- Allocates resources for achieving key results under the SO
- Achieves the SO on time

Strategic Objective Team

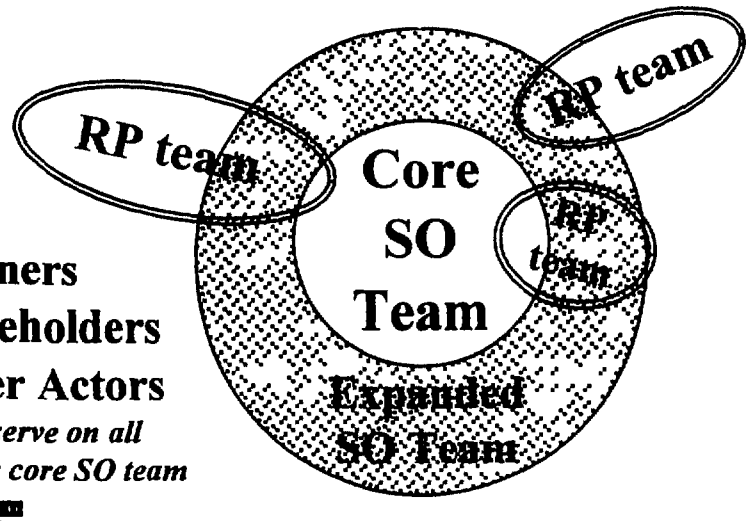
- Ensures that agreements are aimed at achieving key results and the SO
- Monitors program performance
- Evaluates, as necessary, the hypotheses inherent in the results framework
- Reviews, analyzes, and reports on actual results

Strategic Objective Team

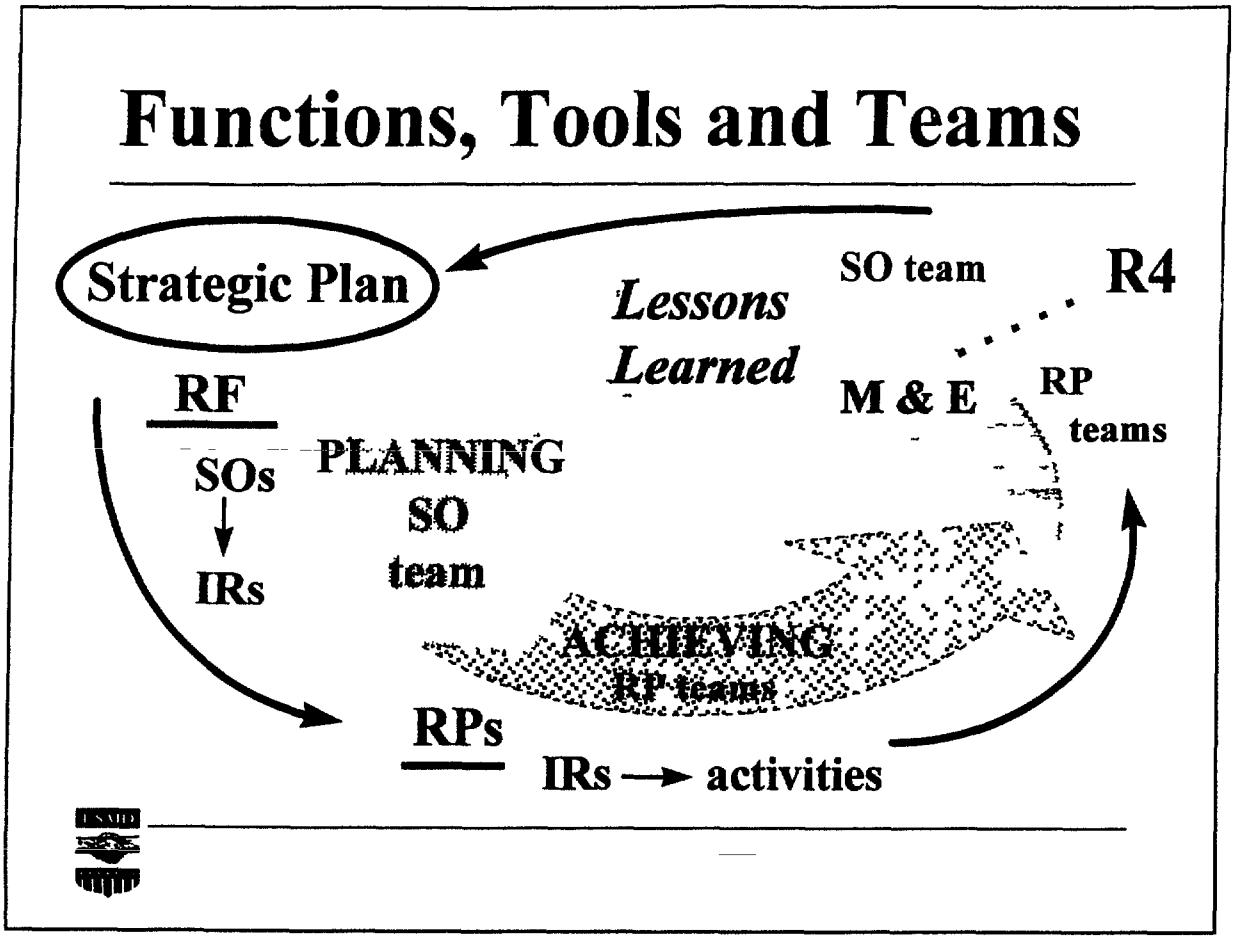
- Makes informed decisions regarding results packages and the results framework
- Recommends changes in the SO or other elements of the strategic plan
- Prepares appropriate Closeout Reports

Results Package (RP) Teams are formed by the SO Team...

Possible RP Team Structures



Partners
Stakeholders
Other Actors
could serve on all but the core SO team



The Strategic Objective Team (SOT) develops the Results Framework (RF) and then typically delegates much of the authority and responsibility (but, of course, not the accountability) for achieving the Intermediate Results (IRs) to the Results Package Teams (RPTs)

Each RPT will need to analyze implementation alternatives, and plan and manage its activities to deliver on its group of IRs (contained in its results package (RP)) The RPT will monitor and evaluate activity-level results and impact Above the RP-level, the SOT will monitor and evaluate the correctness of the development hypothesis as well as the performance of the program in delivering on the Strategic Objective

DEMOCRACY FELLOWS PROGRAM
WORLD LEARNING INC.

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Guide for Host Organizations

The Democracy Fellows Program has several inter-related objectives

- to assist in the evolution and advancement of democratic practices and institutions in emerging and transitional democracies,
- to increase the number and diversity of people with expertise working in the field of political development in these countries,
- to provide junior- and mid-level fellows with valuable field experience in building and supporting the development of democratic institutions, and
- to build a cadre of field-experienced U S experts committed to careers in democracy and governance

The DFP awards several one-year fellowships annually depending on the support of potential sponsor and host organizations The program recruits highly-qualified entry- and mid-level professionals through an annual national recruitment solicitation Following a competitive selection process, the DFP makes awards that allow fellows both to help develop and strengthen democratic evolution on a global basis as well as to enhance and strengthen their own capabilities to pursue international careers in democracy and governance Fellowships are served primarily with organizations in emerging democracies and involve direct assistance in promoting democratic hange as ell as assisting in the p ofessional and/or institutional development of host-country counterparts

Sponsor and Host Organizations

Sponsor organizations are those that provide funds for the Democracy fellowship Host organizations are those in which the fellow carries out his/her work While in most cases both functions are fulfilled by the same organization, it is possible that a Democracy Fellow may have different host and sponsor organizations, e g in a case where USAID (the sponsor organization) is providing funds for a fellow to work with a local nongovernmental organization (the host organization)

Before a formal offer is made to a prospective fellow, the finalist works with the DFP and the host or sponsor organization to design an acceptable workplan, which is based on the individual's proposal and the democracy needs of the host organization Workplans include goals for the fellow's learning and to address the democracy needs of the host country and

organization, as well as activities to be implemented to fulfill those goals Once the workplan is approved, an award letter defining the relationship between the DFP and the fellow and between the sponsor or host organization and the fellow is signed

Each fellow is encouraged to identify a mentor for the duration of the fellowship While this position most likely will be filled by an individual working with the host or sponsoring organization, this need not always be the case The mentor is an individual who agrees to advise, support, and provide professional expertise to the fellow, and should have detailed familiarity with the host country's democracy needs as well as those of the host or sponsor institution Fellows may wish to wait up to one month after arrival at their fellowship site to identify such individuals This will allow the fellow to develop a greater sense of who might be most appropriate to fill this role It is hoped that mentors will provide fellows with guidance and feedback on their knowledge and skill development

Administrative Matters

The Democracy Fellows program is administered by World Learning Each fellowship award may include a stipend for the fellow to cover living expenses, international travel, computer support, insurance, travel to the annual Democracy Fellows Conference, and an excess baggage allowance Host organizations are requested to demonstrate their support of the program by providing agreed-upon resources These may include computer support, office space, domestic travel and per diem for program-related purposes, housing, etc

Fellows are expected to work with their host organization as agreed in the workplan, but do not become employees of that organization Should differences regarding the fellowship arise, the host organization and the fellow are encouraged to work together to resolve them The Democracy Fellows Program will also work with the host organization and the fellow in good faith to bring resolution to any such matters

Fellow Program Requirements

It is important that host organizations understand the requirements that fellows must meet to fulfill the terms of the fellowship Hopefully, these deadlines will not conflict with host organization programs, but in cases where this may occur, should be negotiated between the host organization and the fellow

Reports

Fellows are required to complete three quarterly reports, after the first three months, six months, and nine months of the fellowship A final report is due one month after the completion of the fellowship Reports include descriptions of the objectives, methods, proposed and completed activities, and timelines for the implementation of those activities

Thorough analysis of their work will help the fellows perform their jobs to the best of their abilities, better track their learning, and demonstrate to the DFP the quality of their work and

progress Fellows are provided with concise guidelines for preparation of the reports In addition to their own analysis and evaluation of their work, fellows may seek feedback from mentors and colleagues, as appropriate

Counterpart Development

Building local capacities to continue in new directions after external assistance ends is a crucial component of sustainable development To promote this sustainability, a key element of the Democracy Fellows Program is the linkage between each fellow and a counterpart individual or organization, which may or may not be affiliated with the host organization This program component will focus on developing local partnerships with individuals and institutions, identifying local needs, and addressing those needs by strengthening key capacities within those institutions The linkage will help to ensure that fellows' contributions will be sustained in host countries through the ongoing work of committed counterparts

Professional Work Product

Each fellow is required to complete a professional work product during the course of the fellowship It may consist of a book, series of scholarly articles, new curriculum, or some such similar project that reflects the fellow's professional interests The professional work product may relate directly to the fellow's host or sponsor organization, may be a direct result of work conducted during the course of the fellowship, or may develop out of an interest related to the fellow's career development that is not a direct element of the fellowship It should directly or indirectly illustrate the professional growth of the fellow as well as the impact of the fellowship on the counterpart, host, or sponsor institutions and the host country's democracy needs

Democracy Fellows Conference

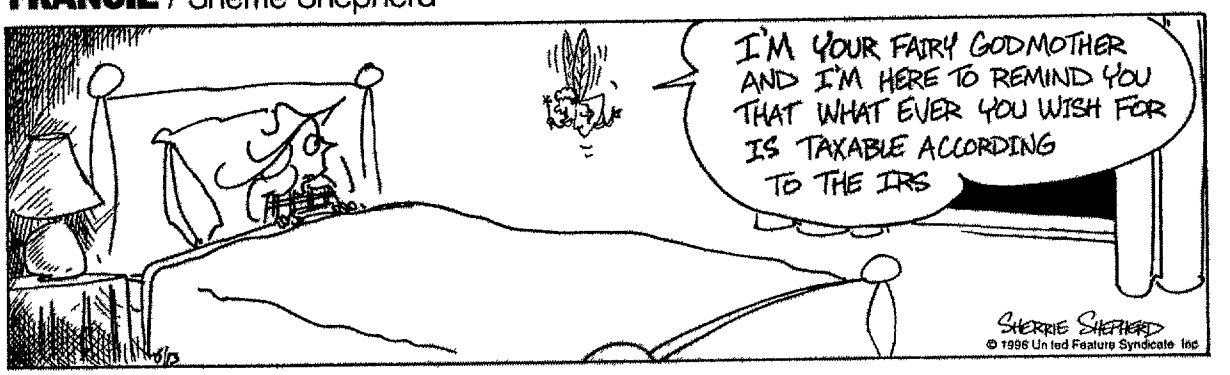
A key element of the transfer of knowledge and experience is the annual Democracy Fellows Conference This program brings Democracy Fellows together to share their experiences, approaches, learning, and problem-solving with other fellows and the DFP

The conference is held toward the conclusion of the fellowship cycle, and serves as a synthesis and evaluation seminar to enable fellows to integrate their field experiences into their overall career development and/or academic work It also allows fellows to share experiences and learning on democratization and cross-cultural effectiveness

Your Contacts at the Democracy Fellows Program

If at any time during the fellowship you should have questions, your first point of contact is with the fellow directly. If additional information is necessary, please contact the DFP staff: Jennifer McCaskill, coordinator for orientation and fellows support; David Burgess, director; or Sora Friedman, coordinator for recruitment and selection.

FRANCIE / Sherrie Shepherd



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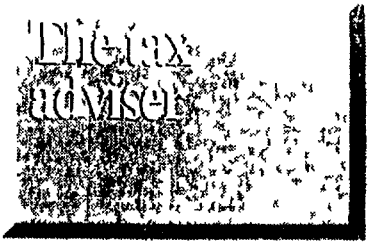

Julian Block

Pay taxes on time to avoid penalties

Make sure you stay on top of the deadlines for filing federal returns and the due dates for making payments Miss one and you might be slapped with a hefty, nondeductible penalty

Jan 16 (the usual date of Jan 15 falls on Martin Luther King Day), is a key date for many individuals to remember That is the due date for the final quarterly installment of your estimated individual income tax (including any self-employment tax or alternative minimum tax) for 1996 if you are required to make payments because your estimated tax is more than $500 But it's permissible to skip this final payment if you plan to file your 1996 Form 1040 and pay your tax in full by Jan 31

Estimated payments are due from individuals with income from sources not subject to withholding Mainly, they are self employed persons with profits from businesses and professions, investors who receive interest, gains from sales of investments and the like, divorced individuals who receive alimony payments, and retirees who opt not to have tax withheld from pension payments

The law authorizes the IRS to exact penalties for insufficient quarterly payments or for failure to pay the installments on time as they become due It matters not that your final estimates prove sufficient to erase any balance due when you submit your Form 1040 for 1996

Tip There are exceptions that relieve you of any penalties for underpayments of more than $500 You are off the hook for penalties as long as you made payments (including withholding taken from your paychecks) for tax year 1996 by the quarterly due dates of April 15 June 15 Sept 15, and Jan 16 that exceed a specific benchmark Yes the April to June quarter" covers just two months while the September to January 'quarter is four months which is a twist that might trip up the unaware

Those payments must be more than the least of the following three amounts

1 Ninety percent (66⅔ percent for qualifying farmers and fishermen) of the actual taxes you owe for 1996

2 One hundred percent of the taxes you paid for 1995 (the figure on line 54 of 1995's 1040) This is so even if the amount due was zero, provided the return covered 12 months Because the second exception — the prior year's tax — is a fixed number, it is the easiest way for most individuals to figure their payments and escape penalties

Example You paid $11 000 in taxes for 1995 and $12,000 through estimates or withholding in 1996 Result You are home free, no matter how much your 1996 liability turns out to be

3 Ninety percent of the actual taxes you owe for 1996, figured by annualizing income actually received by the end of the quarter in question The third escape clause mainly helps people who received the bulk of their incomes late in 1996 says Michael Jon Deppe, a CPA in Richardson Texas

You are off the hook for penalties as long as you made payments by the quarterly due dates that exceed a specific benchmark.

RESTRICTION on use of exception for prior year's tax Your adjusted gross income must be under $150,000 ($75 000 if you are married and file separately) to avail yourself of the 100 percent escape hatch If your AGI is above that amount, it is unavailable

However you still will be able to sidestep penalties by making timely payments that are at least equal to (1) 90 percent of the actual taxes you owe for 1996 or (2) 110 percent of your tax liability for 1995, whichever is the lesser figure

Example Your 1995 AGI was above $150,000 and your 1995 tax was $30,000 You avoid penalties for 1996 if you make timely payments of $33,000 (110 percent of $30,000)

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Version 5 34

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+-----------------------------------------+
|      Accessing The Internet By E-Mail      |
| Doctor Bob's Guide to Off-line Internet Access |
|          5th Edition - March 1996          |
+-----------------------------------------+
```

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How to Access Internet Services by E-mail

If you don't have direct access to the Internet through your BBS or on-line service, you're not alone About half of the 150 countries with Internet connections have only e-mail access to this world-wide network of networks

But if you think that sounds limiting, read on You can access almost any Internet resource using e-mail Maybe you've heard of FTP, Gopher, Archie, Veronica, Finger, Usenet, Whois, Netfind, WAIS, and the World-Wide Web but thought they were out of your reach because you don't have a direct connection

Not so! You can use simple e-mail commands to do all of this and much more on the Internet And even if you do have full Internet access, using e-mail services can save you time and money If you can send a note to an Internet address, you're in the game

I encourage you to read this entire document first and then go back and try out the techniques that are covered This way, you will gain a broader perspective of the information resources that are available, an introduction to the tools you can work with, and the best methods for finding the information you want

Recent Changes To This Document

5 3 New address for www-mail servers, Pizza Server, new Usenet server sites
New gophermail in CZ, More mail->usenet addresses, FAQ@whitehouse gov
5 2 New webmail server in Germany, Added/removed some FTPmail servers
Some defunct gophermails noted, Several new translations
5 1 corrected address of web-mail@ebay com, new Agora in Japan!
"agora@www undp org" is restricted to "developing" countries
New Gophermail in Argentina gophermail@ccc uba ar
New FTPmail in Argentina ftpmail@ccc uba ar
5 0 Lots of new translations, announce ACCMAIL discussion list
Updated FTPmail, Gophermail, WWWmail, mail<->usenet servers
New Webster lookup, Wordserver, Currency Converter, ISP Search
Lycos, Webcrawler addresses changed
Executable ASCII version of UUDECODE COM for DOS users
4 9 Updated list of mail->usenet servers
Updated list of Usenet-via-gophermail servers
Martin Wong's stock report is defunct
New translations available
4 8 Updated list of Usenet gopher hosts
4 7 New WWWmail server "agora@www undp org"
4 6 Usenet retrieval via "agora@mail w3 org" is defunct

Finding the Latest Version

This document is now available from several automated mail servers To get the latest edition, send e-mail to one of the addresses below

To mail-server@rtfm mit edu (for US, Canada & South America)
Enter only this line in the BODY of the note
send usenet/news answers/internet-services/access-via-email

To mailbase@mailbase ac uk (for Europe, Asia, etc)
Enter only this line in the BODY of the note
send lis-iis e-access-inet txt

You can also get the file by anonymous FTP at one of these sites

Site rtfm mit edu
get pub/usenet/news answers/internet-services/access-via-email
Site mailbase ac uk
get pub/lists/lis-iis/files/e-access-inet txt

Before You Write

Please make sure you have the latest version of this guide before writing to the author with questions and updates Don't give up too quickly on the busy e-mail servers, and if you get an error message, try your operation again on a different day or time If you'd like to keep up with the latest updates and announcements of new versions, send the command

SUBSCRIBE ACCMAIL Firstname Lastname

in the BODY of a message to the address "LISTSERV@LISTSERV AOL COM" In fact, the ACCMAIL list is a great place to ask any questions you have about this guide You're likely to get a quicker response from one of the list subscribers, because the author gets several hundred messages per week!

Other Translations of This Document

Several readers have graciously volunteered to translate this text into languages other than English The list below shows the status of the translation work that has been done or is in progress You can obtain any of the completed texts by sending e-mail with

Subject send accmail xx (where "xx" is as shown below)
To BobRankin@mhv net

- Catalanian (Complete 5th Edition)	Filename accmail ca
- Chinese (Complete 5th Edition)	Filename accmail tw
- Croatian (Complete 4th Edition)	Filename accmail hr
- Czech (Complete 4th Edition)	Filename accmail cz
- Danish (Complete 5th Edition)	Filename accmail dk
- Dutch (Complete 3rd Edition)	Filename accmail nl
- Esperanto (Complete 4th Edition)	Filename accmail eo
- Farsi/Persian (Complete 5th Edition)	Filename accmail ir
- Finnish (Complete 5th Edition)	Filename accmail fi
- French (Complete 4th Edition)	Filename accmail fr
- German (Complete 5th Edition)	Filename accmail de
- Greek (In progress)	Filename accmail gr
- Hebrew (Complete 5th Edition)	Filename accmail he
- Hungarian (Complete 4th Edition)	Filename accmail hu
- Irish (In progress)	Filename accmail ie
- Indonesian (Complete 4th Edition)	Filename accmail id
- Italian (Complete 5th Edition)	Filename accmail it
- Japanese (Complete 4th Edition)	Filename accmail jp
- Norwegian (Complete 4th edition)	Filename accmail no
- Polish (Complete 4th Edition)	Filename accmail pl
- Portuguese (Complete 4th Edition)	Filename accmail pt
- Romanian (Complete 5th Edition)	Filename accmail ro
- Russian (Complete 5th Edition)	Filename accmail su
- Slovak (Complete 5th Edition)	Filename accmail sk
- Spanish (Complete 5th Edition)	Filename accmail sp
- Swedish (In progress)	Filename accmail se
- Tagalog/Filipino (In progress)	Filename accmail ph
- Thai (Complete 5th Edition)	Filename accmail th
- Turkish (In progress)	Filename accmail tr

Please contact the author if you would like to assist in the translation of this document into another language

Acknowledgements

This document is continually expanding and improving as a result of the daily flood of comments and questions received by the author The following individuals are hereby recognized for their work in translating "Accessing" to various languages (If I forgot anyone, let me know and I'll gladly add you to the list)

Flesch Balint - Hungarian translation
Ron Barak - Hebrew translation
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Krzysztof Buniewicz - Polish translation

Claude Bay - French translation
Pierre Couillard - French translation
Shahriar Eivazzadeh - Farsi translation
Vadim Fedorov - Russian translation
Ricard Forner - Catalanian translation
Julio Gil - Spanish translation
Stefan Greundel - German translation
Mihai Jalobeanu - Romanian translation
Paavo Juntunen - Finnish translation
Aitor Jerez - Spanish translation
Isamar Maia - Portuguese translation
JM Neves - Portuguese translation
Ewa Poskrobko - Polish translation
Stanislav Ponca - Slovakian translation
Oe Wely Eko Raharjo - Indonesian translation
Boonyakiat Saengwan - Thai translation
Vidar Sarvik - Norwegian translation
Christian Schou - Danish translation
Martin Slunecko - Czech translation
Zvonko Springer - Croatian translation
Andras Sogor - Hungarian translation
Komatsu Toshiki - Japanese translation
Jeene van der Hoef - Dutch translation
Dario Vercelli - Italian translation
Martin Weichert - Esperanto translation

The DELRINA CORPORATION, makers of WinComm Pro, Internet Messenger and other fine software products is also proud to be a corporate sponsor of this effort

A Short Aside "What is the Internet?"

Many introductory texts on the Internet go into excruciating detail on the history, composition and protocol of the Internet If you were looking for that you won't find it here, because this is a "how to" lesson, not a history book

When you buy a new car, they don't make you read "The Life and Times of Henry Ford" before you can turn the top down and squeal off the lot And when you get a new computer, nobody forces you to read a text on logic design before you fire up Leisure Suit Larry or WordPerfect

So if you're the type that wants to short-circuit the preliminaries and just dig in, you've come to the right place I'm not going to bore you with the gory details Instead, I'll just offer up my Reader's Digest condensed definition of the Internet, and encourage you to read more about the

Internet in one of the many fine Internet books and guides listed in the "Suggested Reading" section Some of them are even free and accessible directly from the Internet!

Internet (noun) - A sprawling collection of computer networks that spans the globe, connecting government, military, educational and commercial institutions, as well as private citizens to a wide range of computer services, resources, and information A set of network conventions and common tools are employed to give the appearance of a single large network, even though the computers that are linked together use many different hardware and software platforms

Get On The Bus!

If you'd like to take a virtual tour of the Internet from the comfort of your own chair, sign up to receive THE INTERNET TOURBUS mailings It's absolutely free, and you can climb aboard at any time by sending the line

SUBSCRIBE TOURBUS Firstname Lastname

in the BODY of a message to the address "LISTSERV@LISTSERV AOL COM" You'll receive a short mailing twice a week highlighting fun and interesting activities on the Internet

The Rules of The Game

This document is meant to be both tutorial and practical, so there are lots of actual commands and internet addresses listed herein You'll notice that when these are included in the text they are indented by several spaces for clarity Don't include the leading spaces when you try these commands on your own!

You'll also see things like "<file>" or "<name>" appearing in this document Think of these as place holders or variables which must be replaced with an appropriate value Do NOT include the quotes or brackets in your value unless specifically directed to do so

Most e-mail servers understand only a small set of commands and are not very forgiving if you deviate from what they expect So include ONLY the specified commands in the Subject or body of your note, leaving off any extraneous lines such as your signature, etc

Unless otherwise specified, you can leave the Subject and/or body of the note empty If your mail software insists on a Subject or body, just type "XYZZY" or something equally non-sensical

You should also ensure that you have one blank line between the note headers and the body of your note And do pay attention to upper/lower case in directory and file names when using e-mail servers It's almost always important

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SPECIAL NOTE The e-mail servers listed in this guide are for the most part operated by kind-hearted volunteers at companies or universities If you abuse (or over-use) the servers, there's a very good chance they will be shut down permanently This actually happened to several of the most useful e-mail servers in 1995

If you have more direct Internet access, let others who are less fortunate use the e-mail servers Try to limit your data transfers to one megabyte per day Don't swamp the servers with many requests at a time
-

FTP BY E-MAIL

FTP stands for "file transfer protocol", and is a means of accessing files that are stored on remote computer systems In Internet lingo, these remote computers are called "sites" Files at FTP sites are typically stored in a tree-like set of directories (or nested folders for Mac fans), each of which pertains to a different subject

When visiting an FTP site using a "live" internet connection, one would specify the name of the site, login with a userid & password, navigate to the desired directory and select one or more files to be transferred back to their local system

Using FTP by e-mail is very similar, except that the desired site is reached through a special "ftpmail server" which logs in to the remote site and returns the requested files to you in response to a set of commands in an e-mail message

Using FTP by e-mail can be nice even for those with full Internet access, because some popular FTP sites are heavily loaded and interactive response can be very sluggish So it makes sense not to waste time and connect charges in these cases

To use FTP by e-mail, you first need a list of FTP "sites" which are the addresses of the remote computer systems that allow you to retrieve files anonymously (without having a userid and password on that system)

There are some popular sites listed later in this guide, but you can get a comprehensive list of hundreds of anonymous FTP sites by sending an e-mail message to the internet address

mail-server@rtfm mit edu

and include these lines in the BODY of the note

```
send usenet/news answers/ftp-list/sitelist/part1
send usenet/news answers/ftp-list/sitelist/part2
   (lines omitted for brevity)
send usenet/news answers/ftp-list/sitelist/part21
```

You will then receive (by e-mail) 21 files which comprise the "FTP Site List" Note that these files are each about 60K, so the whole lot will total over a megabyte! This could place a strain on your system, so first check around to see if the list is already available locally, or consider requesting just the first few as a sampler before getting the rest

Another file you might want to get is "FTP Frequently Asked Questions" which contains lots more info on using FTP services, so add this line to your note as well

```
send usenet/news answers/ftp-list/faq
```

After you receive the site list you'll see dozens of entries like this, which tell you the site name, location and the kind of files that are stored there

```
Site     oak oakland edu
Country  USA
Organ    Oakland University, Rochester, Michigan
System   Unix
Comment  Primary Simtel Software Repository mirror
Files    BBS lists, ham radio, TCP/IP, Mac, modem protocol info,
         MS-DOS, MS-Windows, PC Blue, PostScript, Simtel-20, Unix
```

If you find an interesting FTP site in the list, send e-mail to one of these ftpmail servers

ftpmail@ccc uba ar	(Argentina only)
ftpmail@cs uow edu au	(Australia only)
bitftp@vm gmd de	(Germany)
ftpmail@ftp uni-stuttgart de	(Germany - OUT OF SERVICE?)
ftpmail@ieunet ie	(Ireland)
bitftp@plearn edu pl	(Poland
ftpmail@archie inesc pt	(Portugal only)
ftpmail@ftp sun ac za	(South Africa)
ftpmail@ftp sunet se	(Sweden)
ftpmail@ftp luth se	(Sweden)
ftpmail@NCTUCCCA edu tw	(Taiwan)
ftpmail@oak oakland edu	(United States)
ftpmail@sunsite unc edu	(United States)
ftpmail@decwrl dec com	(United States) *
bitftp@pucc princeton edu	(United States)

ftpmail@ftp Dartmouth EDU	(United States)
ftpmail@census gov	(United States)
ftp-request@netcom com	(United States)
ftpmail@src doc ic ac uk	(United Kingdom)

It doesn't really matter which one you choose, but a server that is geographically close may respond quicker (Please DON'T use the first one in the list just because it's there!) In the body of the note, include these lines

```
open <site>          * use "connect <site>" for dec com sites
dir
quit
```

This will return to you a list of the files stored in the root directory at that site See the figure below for an example of the output when using "oak oakland edu" for the site name

```
+-------------------------------------------------------------------------------------+
|                                                                                     |
| -r--r--r--     1 w8sdz      OAK        1255 Nov  9 16 32 README                    |
| drwxr-xr-x     3 w8sdz      OAK        8192 Feb 25 05 17 SimTel                    |
| d--x--x--x     3 root       system     8192 Jan 19 20 26 bin                       |
| d--x--x--x     5 root       system     8192 Dec 30 05 15 etc                       |
| drwxrwx---     2 incoming   OAK        8192 Feb 25 11 05 incoming                  |
| drwxr-xr-x     3 w8sdz      OAK        8192 Jan 30 17 37 pub                       |
| drwxr-xr-x     2 jeff       OAK        8192 Apr 17  1994 siteinfo                  |
|                                                                                     |
+-------------------------------------------------------------------------------------+
```

In your next e-mail message you can navigate to other directories by inserting (for example)

```
chdir pub
```

before the "dir" command (The "chdir" means "change directory" and "pub" is a common directory name, usually a good place to start) Once you determine the name of a file you want to retrieve, use

```
get <name of file>
```

in the following note instead of the "dir" command If the file you want to retrieve is plain text, this will suffice If it's a binary file (an executable program, compressed file, etc) you'll need to insert the command

```
binary
```

in your note before the "get" command

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Tip Many directories at FTP sites contain a file called 00-index txt, README, or something similarly named which gives a description of the files found there If you're just exploring and your "dir" reveals one of these filenames, do a "get" on the file and save yourself some time

OK, let's grab the text of The Magna Carta Here's the message you send to ftpmail@sunsite unc edu (or another ftpmail server)

```
open ftp spies com          (The name of the FTP site)
chdir Gov/World             (The directory where the file lives)
get magna txt               (Sign here please, John)
quit                        (Bring it on home)
```

Here are the commands you would send to to get a file from the Simtel Software Repository that was mentioned earlier

```
open oak oakland edu        (The name of the FTP site)
chdir SimTel/msdos/disasm   (The directory where the file lives)
binary                      (Because we're getting a ZIP file)
get bubble zip              (Sounds interesting, anyway )
quit                        (We're outta here!)
```

Some other interesting FTP sites you may want to "visit" are listed below (Use these site names on the "open" command and the suggested directory name on your "chdir" command, as in the previous examples)

```
ocf berkeley edu   Try pub/Library for documents, Bible, lyrics, etc
rtfm mit edu       Try pub/usenet/news answers for USENET info
oak oakland edu    Try SimTel/msdos for a huge DOS software library
quartz rutgers edu Try pub/humor for lots of humor files
gatekeeper dec com Try pub/recipes for a cooking & recipe archive
```

Remember that you can't just send e-mail to ftpmail@<anysite>, rather you send the "open <site>" command to one of the known ftpmail servers

You should note that ftpmail servers tend to be quite busy so your reply may not arrive for several minutes, hours, or days, depending on when and where you send your request Some large files may be split into smaller pieces and returned to you as multiple messages You can control this (and also override the return e-mail address) using special ftpmail commands, but it's not the same on every server - so send the "help" command to find out how it works on the server you are using

If the file that is returned to you ends up looking something like what you see below, (the word "begin" with a number and the filename on one line, followed by a bunch of 61-character lines) it most likely is a binary file that has been "uuencoded" by the sender (This is required in order to reliably transmit binary files by e-mail)

```
begin 666 answer2 zip
M4$L#!`H`!@` `/6H?18 $-Z$F@P```@?```,```5$5,25@S,34N5%A480I[
M!P8,!KL,2P,)!PL) PD!%@ (!@4 !P8%-@ 6%PL*!@@* P4 %00 %P4* `4
```

You'll need to scrounge up a version of the "uudecode" program for your operating system (DOS, OS/2, Unix, Mac, etc) in order to reconstruct the file Most likely you'll find a copy already at your site or in your service provider's download library, but if not you can use the instructions in the next section to find out how to search FTP sites for a copy

One final point to consider If your online service charges you to store e-mail files that are sent to you and you plan to receive some large files via FTP, it would be wise to handle your "inbasket" expeditiously to avoid storage costs

ARCHIE BY E-MAIL

Let's say you know the name of a file, but you have no idea at which FTP site it might be lurking Or maybe you're curious to know if files matching a certain naming criteria are available via FTP Archie is the tool you can use to find out

Archie servers can be thought of as a database of all the anonymous FTP sites in the world, allowing you to find the site and/or name of a file to be retrieved And using Archie by e-mail can be convenient because some Archie searches take a LONG time to complete, leaving you to tap your toes in the meantime

To use Archie by e-mail, simply send an e-mail message to one of the following addresses

archie@archie rutgers edu	(United States)
archie@archie sura net	(United States)
archie@archie unl edu	(United States)
archie@archie doc ic ac uk	(United Kingdom)
archie@archie au	(Australia)
archie@archie funet fi	
archie@archie luth se	(Sweden)
archie@archie kuis kyoto-u ac jp	(Japan)

To obtain detailed help for using Archie by mail, put the word

help

in the subject of the note and just send it off You'll receive e-mail explaining how to use archie services

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If you're the "just do it" type, then enter the command

find <file>

where "<file>" is the name of the file to search for, in the BODY (not the subject) of the note

This will search for files that match your criteria exactly If you want to find files that contain your search criteria anywhere in their name, insert the line

set search sub

before the "find" command Some other useful archie commands you might want to use are

set maxhits 20 (limit output, default is 100 files)
set match_domain usa (restrict output to FTP sites in USA)
set output_format terse (return output in condensed form)

When you get the results from your Archie query, it will contain the names of various sites at which the desired file is located Use one of these site names and the directory/filename listed for your next FTP file retrieval request

Now you've learned enough to locate that UUDECODE utility mentioned in the last section Let's send e-mail to archie@archie rutgers edu (or one of the other archie servers), and include the following lines in the message

set match_domain usa (restrict output to FTP sites in USA)
set search sub (looking for a substring match)
find uudecode (must contain this string)

Note You'll be looking for the uudecode source code, not the executable version, which would of course be a binary file and would arrive uuencoded - a Catch 22! The output of your archie query will contain lots of information like this

Host ftp clarkson edu (128 153 4 2)
Last updated 06 31 9 Oct 1994

Location /pub/simtel20-cdrom/msdos/starter
FILE -r-xr-xr-x 5572 bytes 21 00 11 Mar 1991 uudecode bas

Location /pub/simtel20-cdrom/msdos/starter
FILE -r-xr-xr-x 5349 bytes 20 00 17 Apr 1991 uudecode c

Now you can use an ftpmail server to request "uudecode bas" (if you have BASIC available) or "uudecode c" (if you have a C compiler) from the ftp clarkson edu site

It should be noted that the latest version of uudecode can be found at the SimTel repository Send e-mail to listserv@SimTel coast net, including any or all of these commands in the BODY of the note, and the requested files will be returned to you by e-mail

get uudecode bas
get uudecode c
get uudecode doc

SPECIAL NOTE For DOS users, there is an EXECUTABLE ASCII version of the UUDECODE COM program available This is a rare exception to the rule that executable files must be encoded to survive e-mail transmission You can receive it via e-mail and execute it "as is" To get a copy, send e-mail to bobrankin@MHV net with Subject send uudecode com (must be lowercase)

GOPHER BY E-MAIL

Gopher is an excellent tool for exploring the Internet and is the best way to find a resource if you know what you want, but not where to find it Gopher systems are menu-based, and provide a user-friendly front end to Internet resources, searches and information retrieval

Gopher knows where things are, thanks to the many volunteers who spend time creating pointers to useful collections of 'Net resources And Gopher takes the rough edges off of the Internet by automating remote logins, hiding the sometimes-cryptic command sequences, and offers powerful search capabilities as well

When visiting a Gopher site using a "live" Internet connection, one would specify the name of the site, navigate through a series of hierarchical menus to a desired resource, and then either read or transfer the information back to their home system

Using Gopher by e-mail is very similar, except that the desired site is reached through a special "gophermail server" which gophers to the remote site on your behalf and and returns the requested menu, submenu or file to you in response to a set of commands in an e-mail message

Although not every item on every menu will be accessible by "gophermail", you'll still find plenty of interesting things using this technique Down to brass tacks let's send e-mail to one of these addresses

gopher@info lanic utexas edu	United States
gophermail@ccc uba ar	Argentina
gophermail@cr-df rnp br	Brazil
gophermail@eunet cz	Czech Republic
gopher@lfmotol cuni cz	Czech Republic
gopher@ncc go jp	Japan
gopher@nig ac jp	Japan

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gopher@ftp technion ac il	*OUT OF SERVICE*
gopher@earn net	*OUT OF SERVICE*
gophermail@calvin edu	*OUT OF SERVICE*

You can optionally specify the address of a known gopher site on the Subject line to get the main menu for that site instead Here are some interesting gopher sites you may like to explore at your leisure

cwis usc edu
gopher micro umn edu
english-server hss cmu edu

Let's be bold and skip the HELP stuff for now Fire off a note to one of the gophermail servers and specify

Subject cwis usc edu

You'll get a message back from the server that looks something like the text in the figure below

```
+-----------------------------------------------------------------------------+
|                                                                             |
| Mail this file back to gopher with an X before the items you want           |
|                                                                             |
|     1  About USCgopher/                                                     |
|     2  How To Find Things on Gopher/                                        |
|     3  University Information/                                              |
|     4  Campus Life/                                                         |
|     5  Computing Information/                                               |
|     6  Library and Research Information/                                    |
|     7  Health Sciences/                                                     |
|     8  Research and Technology Centers/                                     |
|     9  Other Gophers & Info Resources/                                      |
|                                                                             |
| You may edit the following numbers to set the maximum sizes after           |
| which GopherMail should send output as multiple email messages              |
|                                                                             |
| Split=27K bytes/message <- For text, bin, HQX messages                      |
| Menu=100 items/message <- For menus and query responses                     |
| #                                                                           |
| Name=About USCgopher                                                        |
| Numb=1                                                                      |
| Type=1                                                                      |
| Port=70                                                                     |
| Path=1/About_USCgopher                                                      |
| Host=cwis usc edu                                                           |
```

```
| #    (some lines deleted)                                                    |
| Name=Other Gophers and Information Resources                                 |
| Numb=9                                                                       |
| Type=1                                                                       |
| Port=70                                                                      |
| Path=1/Other_Gophers_and_Information_Resources                               |
| Host=cwis usc edu                                                            |
|                                                                              |
+------------------------------------------------------------------------------+
```

To proceed to a selection on the returned menu just e-mail the whole text of the note (from the menu downwards) back to the gopher server, placing an "x" next to the items(s) you want to explore You'll then receive the next level of the gopher menu by e-mail Some menu choices lead to other menus, some lead to text files, and some lead to searches In the example above, let's select

x 9 Other Gophers & Info Resources

and mail the whole shebang right back at the gophermail server You should then get a menu with a number of interesting selections including "Gopher Jewels" You'll find a LOT of good stuff along that path The Gopher Jewels project is probably the best organized collection of Internet resources around

If a menu item is labelled "Search" you can select that item with an "x" and supply your search words in the Subject of your reply Note that your search criteria can be a single word or a boolean expression such as

document and (historic or government)

Each of the results (the "hits") of your search will be displayed as an entry on yet another gopher menu!

Note You needn't actually return the entire gopher menu and all the routing info that follows it each time you reply to the gophermail server If you want to minimize the size of your query, you can strip out the "menu" portion at the top and include only the portion below that pertains to the menu selection you want

Just remember that if you use this approach, you must specify "get all" on the Subject line (Exception for searching, specify only the search terms on the Subject line) The example below is equivalent to selecting "option 9" as we did earlier

```
Split=0K bytes/message
Menu=0 items/message
#
Name=Other Gophers
```

Numb=9
Type=1
Port=70
Path=1/Other_Gophers_and_Information_Resources
Host=cwis usc edu

If this looks like nonsense to you, here's a human translation

Connect to PORT 70 of the HOST (computer) at "cwis usc edu",
retrieve the sub-menu "Other Gophers", and send it to me in
ONE PIECE, regardless of its size

Note Sometimes gophermail requests return a blank menu or message This is most likely because the server failed to connect to the host from which you were trying to get your information Send your request again later and it'll probably work

VERONICA BY E-MAIL

Speaking of searches, this is a good time to mention Veronica Just as Archie provides a searchable index of FTP sites, Veronica provides this function for "gopherspace" Veronica will ask you what you want to look for (your search words) and then display another menu listing all the gopher menu items that match your search In typical gopher fashion, you can then select one of these items and "go-pher it"!

To try Veronica by e-mail, retrieve the main menu from a gophermail server using the method just described Then try the choice labelled "Other Gopher and Information Servers" This menu will have an entry for Veronica

You'll have to select one (or more) Veronica servers to handle your query, specifying the search words in the Subject of your reply Here's another example of where using e-mail servers can save time and money Often the Veronica servers are very busy and tell you to "try again later" So select 2 or 3 servers, and chances are one of them will be able to handle your request the first time around

A Gophermail Shortcut

The path to some resources, files or databases can be a bit tedious, requiring several e-mail messages to the gophermail server But here's the good news If you've done it once, you can re-use any of the e-mail messages previously sent in, changing it to suit your current needs As an example, here's a clipping from the Veronica menu you would get by following the previous instructions You can send these lines to any gophermail server to run a Veronica search

Split=64K bytes/message <- For text, bin, HQX messages (0 = No split)
Menu=100 items/message <- For menus and query responses (0 = No split)
#
Name=Search GopherSpace by Title word(s) (via NYSERNet)
Type=7
Port=2347
Path=
Host=empire nysernet org

Specify the search words in the Subject line and see what turns up! You can use boolean expressions in Veronica searches For a guide to composing Veronica searches, send these lines to a gophermail server

Name=How to Compose Veronica Queries
Path=0/veronica/how-to-query-veronica
Host=veronica scs unr edu

USENET BY E-MAIL

Usenet is a collection of over 5000 discussion groups on every topic imaginable In order to get a proper start and avoid embarrasing yourself needlessly, you must read the Usenet new users intro document, which can be obtained by sending e-mail to

mail-server@rtfm mit edu

and include this line in the BODY of the note

send usenet/news answers/news-newusers-intro

To get a listing of Usenet newsgroups, add these commands to your note

send usenet/news answers/active-newsgroups/part1
send usenet/news answers/active-newsgroups/part2
send usenet/news answers/alt-hierarchies/part1
send usenet/news answers/alt-hierarchies/part2
send usenet/news answers/alt-hierarchies/part3

To get the FAQ (Frequently Asked Questions) file(s) for a given newsgroup, try a command like this

index usenet/<newsgroupname>

(Substitute dots for dashes if they appear in the newsgroup name) If any FAQ files are available, they will be listed in the returned info, and you can request them with a command like

send usenet/<newsgroupname>/<faqfilename>

Once you've handled the preliminaries, you'll need to know how to read and contribute to Usenet newsgroups by e-mail To read a newsgroup, you can use the gophermail service discussed earlier in this guide

To obtain a list of recent postings to a particular newsgroup, send the following lines to one of the gophermail servers mentioned previously Specify "Subject get all" and include only these lines in the message body

(You must replace "<newsgroup>" below with the name of the Usenet newsgroup you wish to access eg alt answers, biz comp services, news newusers questions, etc)

------- begin gophermail message (do not include this line)
Type=1
Port=4320
Path=nntp ls <newsgroup>
Host=gopher ic ac uk
------- end gophermail message (do not include this line)

If this doesn't work, you can try another Host by substituting one of the lines below

Host=services canberra edu au
Host=risc upol cz
Host=cari telecom uqam ca
Host=infopub uqam ca
Host=gopher tc umn edu (maybe, very busy)

Note that some of these sites carry only a limited range of newsgroups, so you may have to try several before finding one which carries the newsgroup you're looking for When the newsgroup does not exist, gophermail sends something like "'nntp ls <newsgroup>' path does not exist" When a site does not accept outside requests, gophermail sends something like "Sorry, we don't accept requests outside campus"

If successful, the gophermail server will send you a typical gopher menu on which you may select the individual postings you wish to read If your query returns nothing, or you get a "not found" message, try it at another time of day The servers are very busy during regular business hours

Note The gophermail query in this example is the greatly edited result of many previous queries I've pared it down to the bare essentials so it can be tailored and reused

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If you decide to make a post of your own, mail the text of your post to

group name-news@newsbase cs yale edu
group name@pubnews demon co uk
group name@dispatch demon co uk
group name@paris ics uci edu
group name@crs4gw crs4 it
group name@berlioz crs4 it
group name@magus dgsys com (unverified)
group name usenet@hkucs92 air org (unverified)

Some servers only support a limited range of newsgroups For an updated list send e-mail to mg5n+remailers@andrew cmu edu

For example, to post to news newusers questions, you might send your message to

news newusers questions-news@newsbase cs yale edu -OR-
news newusers questions@pubnews demon co uk

Be sure to include an appropriate Subject line, and include your real name and e-mail address at the close of your note

TIP SEARCHING FOR USENET NEWSGROUPS - Don't know the name of the newsgroup? To search for Usenet groups about "pets", for example, send e-mail to an Agora server (see WWW section) with this line in the message BODY

send http //www nova edu/Inter-Links/cgi-bin/news pl?pets

USENET SEARCHES

A service at Stanford University makes it possible to search USENET newsgroups for postings that contain keywords of interest to you You can even "subscribe" and receive a daily list of newsgroup postings that match your search criteria Send mail to netnews@db stanford edu with HELP in the body of note for full details

WAIS SEARCHES BY E-MAIL

WAIS stands for Wide Area Information Service, and is a means of searching a set of over 500 indexed databases The range of topics is too broad to mention, and besides, you'll soon learn how to get the topic list for yourself

I recommend that you send e-mail to "waismail@sunsite unc edu" with HELP in the body of the note to get the full WAISmail user guide But if you can't wait, use the info below as a quickstart

A list of WAIS databases (or "resources" as they like to be called) can be obtained by sending e-mail to the waismail server with the line

search xxx xxx

in the body of the note Look through the returned list for topics that are of interest to you and use one of them in the next example

OK, let's do an actual search Send e-mail to

waismail@sunsite unc edu

with the following commands in the note body

maxres 10
search bush-speeches lips

This will tell WAISmail to search through the text of the "bush-speeches" database and return a list of at most 10 documents containing "lips"

A successful search will return one or more "DOCid " lines, which identify the location of the matching documents To retrieve the full text of a matching document, send one of the returned "DOCid " lines (exactly as is) in the body of your next message to WAISmail

(Note The WAISmail server at "quake think com" is defunct The server listed above still had a few bugs as of this writing, so if it doesn't work, try the WAIS via gophermail method described next)

A list of WAIS databases can also be obtained by sending e-mail to a gophermail server with "Subject get all" and these lines in the message body

Type=1
Name=WAIS Databases
Path=1/WAISes/Everything
Host=gopher-gw micro umn edu
Port=70

Look through the returned list for topics that are of interest to you and select one to search Specify your search term(s) on the Subject line, and clip out just the section of the returned gopher menu that corresponds to your target database For example

Type=7+
Name=bush-speeches src
Path=waissrc /WAISes/Everything/bush-speeches
Host=gopher-gw micro umn edu
Port=70

You will (hopefully) receive a gophermail menu in response listing the matching "documents" To retrieve the full text of a matching document, just make a selection from the returned gopher menu, and the referenced file will be sent to you

In my testing, WAIS by gophermail was not reliable Often a blank menu was returned but repeated attempts did eventually meet with success

WORLD-WIDE WEB BY E-MAIL

The World-Wide Web is touted as the future of Internet navigational tools It's a hypertext and multimedia system that lets you hop around the Net, read documents, and access images & sounds linked to a source

Have you ever heard someone say, "Wow, check out the cool stuff at http //www somewhere com/blah html" and wondered what in the world they were talking about? Now you can retrieve WWW documents by e-mail using an Agora WWW-mail server

All you need to know is the Uniform Resource Locator (or URL, that long ugly string starting with "http ", "gopher ", or "ftp ") which defines the address of the document, and you can retrieve it by sending e-mail to one of

agora@dna affrc go jp	(Japan)
agora@kamakura mss co jp	(Japan)
agora@info lanic utexas edu	(USA)
agora@mx nsu nsk su	(Russia ONLY)
agora@www undp org	(restricted to "developing" countries)
agora@mail w3 org	(out of service)

In the body of your note include one of these lines, replacing "<URL>" with the actual URL specification

send <URL>
rsend <return-address> <URL> (override your return address)

This will send you back the document you requested, with a list of all the documents referenced within, so that you may make further requests

To try WWW by e-mail send the following commands to an Agora server

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www
send http //www w3 org

You'll receive in due course the Agora help file and the "WWW Welcome Page" which will include references to other Web documents you'll want to explore

THERE ARE SOME OTHER WWW mail servers

Address	Syntax	Comments
webmail@www ucc ie	GO <URL>	Same as webmail@curia ucc ie
w3mail@ gmd de	GET <URL>	Send HELP command for more info
web-mail@ebay com	<URL>	Fee-based, limited free searching

Note The WWW-mail servers are sometimes unavailable for days (or weeks) at a time without explanation If you get an error or no reply, please retry in a day or so

WWW SEARCH BY E-MAIL

There's a lot of great stuff out on the Web, but how do you find it? Well, just like Archie and Veronica help you search FTP and gopher sites, there are several search engines that have been developed to search for information on the Web But until now, you had to have direct Internet access to use them

After a bit of research, I have found that it is possible to use several WWW search mechanisms by e-mail Here are some sample queries that you can use to search via Lycos, WebCrawler and the CUI W3 Catalog Any of these lines can be sent to an Agora server (see above) to perform a search If you're not interested in spam or frogs, then by all means feel free to use your own search keywords

For Lycos, append a dot to your keywords to force an exact match, or you will get a substring search by default Separate words with a "+" sign

http //lycos11 lycos cs cmu edu/cgi-bin/flpursuit?spam
http //lycos11 lycos cs cmu edu/cgi-bin/flpursuit?spam
http //lycos11 lycos cs cmu edu/cgi-bin/flpursuit?frog +dissection

For WebCrawler searches you must separate words with a "+" sign All searches are exact, no trailing dot required

http //webcrawler com/cgi-bin/WebQuery?spam
http //webcrawler com/cgi-bin/WebQuery?frog+dissection

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For CUI W3 Catalog searches you must separate words with "%20" as below All searches are exact, no trailing dot required

http //cuiwww unige ch/cgi-bin/w3catalog?spam
http //cuiwww unige ch/cgi-bin/w3catalog?frog%20dissection

MAILING LISTS

There are literally thousands of discussion groups that stay in touch using e-mail based systems known as "mailing lists" People interested in a topic "subscribe" to a "list" and then send and receive postings by e-mail For a good introduction to this topic, send e-mail to

LISTSERV@vm1 nodak edu

In the body of your note include only this command

GET NEW-LIST WOUTERS

Finding a Mailing List

To find out about mailing lists that are relevant to your interests, send the following command to the same address given above

LIST GLOBAL /keyword

(Of course you must replace "keyword" with an appropriate search word such as Marketing, Education, etc)

Here's another way to find mailing lists Send e-mail to an Agora server (see WWW section) with this line in the BODY

http //www ucssc indiana edu/mlarchive/?keyword

Another helpful document which details the commands used to subscribe, unsubscribe and search mailing list archives can be had by sending to

LISTSERV@ubvm cc buffalo edu

In the body of your note include only this command

get mailser cmd nettrain f=mail

New in These Parts?

If you're new to the Internet, I suggest you subscribe to the HELP-NET list where you're likely to find answers to your questions Send the command

SUBSCRIBE HELP-NET <Firstname Lastname>

in the BODY of a note to LISTSERV@VM TEMPLE EDU, then e-mail your questions to the list address

HELP-NET@VM TEMPLE EDU

FINGER BY E-MAIL

"Finger" is a utility that returns information about another user Usually it's just boring stuff like last logon, etc , but sometimes people put fun or useful information in their finger replies To try out finger, send e-mail with

Subject FINGER <user@site>
To infobot@infomania com

Use one of the e-mail addresses below instead of <user@site>

nasanews@space mit edu coke@cs cmu edu
quake@gldfs cr usgs gov aurora@xi uleth ca
solar@xi uleth ca higgins@dorsai dorsai org
copi@oddjob uchicago edu cyndiw@magnus1 com

Just for kicks, try finger using a combination of gopher and WWW Send the command

send gopher //<site> 79/0<user>

to one of the WWWmail servers mentioned earlier

"DIRECTORY ASSISTANCE" BY E-MAIL

"WHOIS" is a service that queries a database of Internet names and addresses If you're looking for someone or you want to know where a particular Internet site is located, send e-mail with

Subject whois <name>
To mailserv@internic net

Try substituting "mit edu" or the last name of someone you know in place of "<name>" and see what comes back! It should be noted that WHOIS is not a comprehensive listing of all Internet users It contains mostly network administrators and some "notable" Internet figures

Another alternative name looker-upper is a database at MIT which keeps tabs on everyone who has posted a message on Usenet Send e-mail to "mail-server@rtfm mit edu" and include this command ONLY in the BODY

send usenet-addresses/<name>

Specify as much information as you can about the person (lastname, firstname, userid, site, etc) to limit the amount of information that is returned to you Here's a sample query to find the address of someone you think may be at Harvard University

send usenet-addresses/Jane Doe Harvard

NETFIND is another more powerful search engine that uses a person's name and keywords describing a physical location to return a bunch of info about the person (or persons) who fit the bill

Let's say we want to find someone named Hardy at the University of Colorado in Boulder Our Netfind query will be addressed to an Agora server (see list in WWW section) and will contain the only line

gopher //ds internic net 4320/7netfind%20dblookup?hardy+boulder+colorado

Netfind works in two phases First it displays a list of internet domains that match your keywords, then it looks for the person in the domain you select Netfind by e-mail is very similar, in that you'll receive a listing of matching domains from which you must make one or more selections

Each selection is numbered and there are corresponding "gopher //" commands at the bottom of the listing Let's pick the selection for

cs colorado edu computer science dept, university of colorado, boulder

which means that our next command to the Agora server will be

gopher //ds internic net 4320/0netfind%20netfind%20hardy%20cs colorado edu

If all goes well, you'll receive a list something like this

full_name HARDY, JOE (not a real person)

email CrazyJoe@Colorado EDU
phone (303) 492-1234
address Campus Box 777
department COMPUTER SCIENCE

Note that if you know the person's domain name already, you can jump right in with a query like the latter one above

You can also try the "Four11 Online User Directory", a free directory of users and their e-mail addresses Send e-mail to info@four11 com for details on how to search the Four11 directory

ADDRESS/NAME SERVER INFO BY E-MAIL

This is a little on the technical side, but anyway the Mail Name Server (dns@grasp insa-lyon fr) offers some useful services by e-mail Some of the commands you can send in the BODY of your note are

help	(full details)
ip host foo bar	(get host's addresses)
name ip#	(get host name from address)
ns host foo bar	(get host's name servers)

Alternatively, you can send e-mail to service@nic ddn mil with a Subject line of 'help' to get info on similar services

TELNET BY E-MAIL

Sorry, it can't be done Actually it CAN be done, but apparently nobody has done it I'd love to be proven wrong on this!

A FEW NET-GOODIES

Here are some other interesting things you can do by e-mail (Some of them are accessible only by e-mail!)

* VIRTUAL PIZZA!
Order an electronic pizza by e-mail Send e-mail to "pizza@ecst csuchico edu" with a subject of "pizza help" for details

* WEBSTER DICTIONARY LOOKUP
To retrieve the definition of a word, send this line to an Agora server
send http //c gp cs cmu edu 5103/prog/webster?whatever

* MORE WORD FUN!
The wordserver at wsmith@wordsmith org will serve up A Word A Day, Dictionary-by-mail, Thesaurus-by-mail, Acronym-by-mail, Anagram-by-mail, and Rhyme-n-Reason

* ALMANAC, WEATHER & THE SWEDISH CHEF
Infomania offers a bunch of services by e-mail! Almanac (daily updates), Weather, CD Music Catalog, etc Send e-mail toinfobot@infomania com with subject HELP for full details

* THE USENET ORACLE
A cooperative, anonymous and humorous exchange of questions and answers Send e-mail to oracle@cs indiana edu for more information

* SENDING A FAX BY E-MAIL
Free faxing via the Internet? You bet For details, send the line below to mail-server@rtfm mit edu (in BODY of note)
send usenet/news answers/internet-services/fax-faq

* THE ELECTRONIC NEWSSTAND
The Electronic Newsstand collects articles, editorials, and tables of contents from over 165 magazines and provides them to the Internet To get instructions on e-mail access, send a message to gophermail@enews com

* U S CONGRESS AND THE WHITE HOUSE
Find out if your congressperson has an electronic address! Just send mail to the address congress@hr house gov and you'll get a listing of congressional e-mail addresses You can also mail to FAQ@whitehouse gov to learn how to get press releases, speeches, policy documents, etc

You can also contact the President (president@whitehouse gov) or Vice President (vice president@whitehouse gov), but don't expect a reply by e-mail Messages sent to these addresses get printed out and handled just like regular paper correspondence!

* OTHER SOURCES OF US GOV'T INFO
Send the lines below to mail-server@rtfm mit edu (in BODY of note)
send usenet/news answers/us-govt-net-pointers/part1
send usenet/news answers/us-govt-net-pointers/part2

* INTERNET PATENT NEWS SERVICE
Send e-mail to patents@world std com for more information on this service

* THE INTERNET MALL
To get a copy of this long list of net-connected businesses, send e-mail to taylor@netcom com with Subject send mall

* FINDING E-MAIL ADDRESSES
For a guide to finding someone's e-mail addresses, send the line below to mail-server@rtfm mit edu (in the BODY of the note)
  send usenet/news.answers/finding-addresses

* SENDING MAIL TO VARIOUS NETWORKS
For a guide to communicating with people on the various networks that make up the Internet, send the line below to mail-server@rtfm mit edu (in the BODY of the note)
  send usenet/news answers/mail/inter-network-guide

* SENDING MAIL TO FAMILY MEMBERS
Family Internet MailCall is a fee-based service that helps you keep in touch via a private mailing list Details family-info@mailcall com

* MOVIE INFO
To learn how to get tons of info on movies, actors, & directors, send mail to movie@ibmpcug co uk with HELP in the Subject of note for details

* STOCK MARKET QUOTES
If you want to get a current quote for just 1 or 2 stocks, you can use the QuoteCom service They offer this free service along with other fee based services For details, send e-mail to "services@quote com" with a subject of HELP

* CURRENCY CONVERSION
You can get the daily "Value of Foreign Currencies" chart from the Federal Reserve Bank in New York City by sending this line to an Agora server
send gopher //una hh lib umich edu/00/ebb/monetary/noonfx frb

* ANONYMOUS E-MAIL
The "anon server" provides a front for sending mail messages and posting to Usenet newsgroups anonymously, should the need ever arise To get complete instructions, send e-mail to help@anon penet fi

* NET JOURNALS LISTING
I highly recommend "The Internet Press - A guide to electronic journals about the Internet" To get it, send e-mail with Subject subscribe to ipress-request@northcoast com

* MUSI-CAL
Send e-mail to concerts@calendar com to retrieve a help message that tells how to use the Musi-Cal online concert calendar service

* ASK DR MATH
Have a math question? No problem's too big or too small for The Swat Team Write to dr math@forum swarthmore edu

* VIRUS PROTECTION SOFTWARE
F-Prot, one of the top PC virus scanners can be requested by e-mail To get the current version (uuencoded) send e-mail to f-prot-update@complex is with this message body
send-as uue

* SCOUT REPORT
is a weekly featuring announcements of new and interesting resources on the Internet To subscribe, send e-mail to LISTSERV@lists internic net with "Subscribe scout-report Your Name" in the body

* ISPs BY AREA CODE
For a list of Internet Service Providers in your area code, send this line to an Agora server send http //thelist com/??? html (???=your area code)

* E-MAIL TO SNAIL-MAIL
Need to get a message to someone in Britain who doesn't have e-mail? Send it to PaperMail! For full details on this fee-based service, send e-mail to info@papermail win-uk net

* INTERNET BY PHONE AND VOICE MAIL!
Internet for people who don't have a computer or modem! For more information write to adamnel@sawdust cvfn org

SUGGESTED READING

There are lots of good books and guides to help you get started on the Internet, and here are some that I recommend The first one is free (FTPmail commands listed below), and the others can be found in most bookstores that carry computer-related books

"Zen and the Art of the Internet", by Brendan Kehoe
open ftp std com
chdir obi/Internet/zen-1 0
get zen10 txt

"Everybody's Guide to the Internet", by Adam Gaffin
Publisher MIT Press
ISBN 0-262-57105-6
Price $14 95

"The Internet Guide For New Users", by Daniel P Dern
Publisher McGraw-Hill
ISBN 0-07-016511-4
Price $27 95

CONTACTING THE AUTHOR

"Doctor Bob", also known as Bob Rankin, welcomes your feedback on this guide and can be reached at the following addresses Send corrections, ideas, suggestions and comments by e-mail I'll try to include any new e-mail services in future editions of this guide

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Web http //csbh mhv net/~bobrankin
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will teach you about powerful Internet search tools and techniques to help you find people, places and things in the online world Not written for people who are already experts - it's for ordinary users who want to get the most out of their online experience and learn how to tap the enormous potential of the Internet on a personal level

Whatever you're interested in finding out in cyberspace - a long lost friend, a government document, a special file, or a good chicken recipe - you'll have the skills to find it when you're done reading this guide!

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GEORGIE ANNE GEYER

A new theme for foreign relations

It was revealing that at the opening this fall of the James Baker institute in Houston, the former secretary of state focused on one new theme in foreign policy It is one that most analysts have until now dismissed as totally unimportant

Speaking not only of the joys of spreading democracy but also of its dangers, Mr Baker warned "Democracy is not just a particular form of government but a generally accepted set of norms — of cultural values, if you will Democracy is not just a set of rules and regulations associated with elections, it is also a way of life"

In short, Mr Baker was speaking of a factor in human life that few analysts have thought essential to understanding or implementing foreign policy He was speaking of "culture," which he defined as "that broad, complex and contentious area that includes religion, ethnicity and language"

In his watershed speech at the James A Baker III Institute for Public Policy at Rice University, he ranked concerns revolving around culture after (1) the global economy and (2) geopolitical changes after the end of the Cold War As one of the panelists, I thought Mr Baker was 100 percent right, but it was then up to our panels to explore the new "culture' factor

The dramatic addition of culture to the old power factors of international relations — political competition, personal ambition, military and economic aggression — has occurred today because of the vast and underrated decolonializing process that swept the world after World War II

The sudden decolonialization of dozens and dozens of formerly oppressed peoples, with its unprecedented pouring forth of hope for change, meant that suddenly everyone across the globe believed that he and she could develop Before this, development was pretty much restricted to Americans and Europeans, as great masses of human beings lived and died in misery with no hope of change

Indeed the 'American Century as the positivistic Henry Luce exuberantly dubbed the 20th century embodied the belief that life for no one needed to be static but that all could aspire to victory over the past

Communism, carried to the world in the form of the Soviet Union from 1917 to 1989 picked up that belief in a parallel manner Although its brand of human redemption was fraught with unspeakable cruelty and intellectual hypocrisy, Marxism too underlined the creed of change for everyone who was obedient to its ideology

Under the ruthless power of the Soviet Union, people and their historical cultures were deliberately destroyed and amalgamated into the communist center But once the Soviet Union began to dissolve through the 1980s, and once these peoples began to be freed, they desperately reached back into their own history to try to find some identity through the resurrecting of their own earlier traits Culture became important

The dramatic addition of culture to the old power factors of international relations — political competition, personal ambition, military and economic aggression — has occurred today because of the vast and underrated decolonializing process that swept the world after World War II

Hence, the sudden proliferation of "cultural" or 'identity" wars — from Bosnia to Nagorno Karabakh The fact that these wars were also almost always waged by unscrupulous men trying to hold onto power in the post-communist era does not erase the importance of the cultural factor "Culture" was the vehicle used to fuel and excuse the new naked aggression, showing again how it could be used

At the same time, on a larger scale the world economy was for its part bypassing these hothouse cultural wars Globalization' was the new rallying cry for the economic elites whose industries finances and businesses coolly crossed borders, eschewing even patriotism to the nation-state

Here, too, culture was suddenly of great importance, although in a very different way, for these new international economic elites carried their talents and their knowledge — their kind of culture — with them They were and are "knowledge' and "information" workers If they left an international company, their knowledge left, too In short, in the international economy culture in the sense of knowledge and ability, is of consequence

What does this mean for the future? It means that foreign relations always complex and confusing enough for even the best of minds will need to add to its roster of power factors cultural change and cultural ambition A new cultural and economic interdependence will be taking its place beside the old political and military aggressiveness And it will demand greater attention to culture within the United States as well

Mr Baker ended his speech with these memorable words Culturally the United States needs both to support democratic values abroad and to rededicate ourselves to the ideals of common citizenship that transcend race, religion or ethnicity"

Georgie Anne Geyer is a nationally syndicated columnist

Editor's Note This is the first of two articles on the current state of Russia, five years after the fall of the former Soviet Union

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Harsh History Stymies Civil Society

By David Hoffman
Washington Post Foreign Service
Thursday, December 26, 1996, Page A01

CHUKHLOMA, Russia -- In a steamy, small provincial office, with harsh fluorescent lights and wrinkled linoleum floors, Tamara Dobretsova, a pensioner and passionate anti-nuclear campaigner, presented a startling idea to four clerks, sitting at desks piled with bits of paper and an old abacus

They had a fighting chance, she said, to defeat the powers of the New Russia They had a chance in an upcoming referendum to stop construction of a half-finished nuclear power plant, which the regional and national authorities wanted to complete

"Maybe they will not listen to us," whispered Galina Pavlova, 45, a clerk in a purple sweater who sat quietly in a corner, pondering the notion of opposing the political bosses

"No, they will listen!" insisted Dobretsova, clutching her handbills summoning people to vote against the plant "It's the law It's obligatory It's in the constitution!"

"People are ignorant," sighed Pavlova, quietly "People are against this atomic energy plant Of course people are against it They want their children to be healthy But who will listen to us?"

Her question goes to the heart of an enormous challenge facing Russian democracy five years after the collapse of the Soviet Union In that time, Russians have demonstrated they accept the basic building blocks of a democratic society -- free speech, free association and free elections In the last 18 months, they have elected a president and parliament with voter participation levels higher than in the United States

But now they confront a forbidding political chasm how to build a genuine civil society, to link the voters with their leaders, both before and after elections Civil society is the complex web that allows the ruled to communicate with the rulers, a critical part of any functioning democracy that stretches from small neighborhood associations to large mass movements

Civil society has been absent throughout most of Russia's thousand years of

authoritarian and totalitarian history It was all but obliterated in the one-party state of the Soviet years The creation of a civil society and the construction of a functioning free market economy have been the central challenges for Russia in the five years since the Soviet Union was dissolved on Dec 25, 1991 As this two-part series will show, both are still only beginning to take root

The American tradition is steeped in an extraordinarily rich civi' society, one that spans everything from a tiny Neighborhood Watch to popular mass movements such as women's suffrage and civil rights that forced government into profound change

Yet today, across Russia, this kind of activity is barely simmering Despite two years of a bloody and unpopular civil war in Chechnya, despite millions of workers who have not been paid wages for months at a time, there have been virtually no mass protests Russians have barely begun to find their voice as citizens, and their search for a voice may prove critical to the outcome of the Russian experiment If they manage to build a working civil society, Russians may remain committed to the democratic path, but without it they risk drifting back toward authoritarianism

There are many reasons for the stunted progress so far The days of protest against the Soviet regime, which invigorated the democratic movements in the early 1990s, are gone Moreover, Russia today lacks the strong institutions -- such as a parliament, local government, the press, political parties, the church and labor unions -- on which civil society often rests All of them are weak and struggling to find their way Frequently, they have been muscled aside by the enormous power wielded in Russia by organized crime and corruption

The legacies of Russia's imperial and Soviet histories also weigh heavily on today's embryonic civil society The Russian tradition, with few exceptions, was that the state possessed overwhelming power, and individua were forced to depend on it The Russian philosopher Nikolai Berdyaev once wrote, "A German feels that Germany will not save him, that he must save Germany A Russian thinks that it is not he who will save Russia, but Russia will save him "

This paternalism, embedded in the Soviet experience, left behind deep-rooted thinking that people need not make demands on their rulers, because all will be provided by the state Moreover, the Communist Party viewed any other organization as subversive, leaving no room for a civil society to flourish

Alexei Malinovsky, 69, knows this mentality well A pensioner with dark-rimmed thick glasses, carrying a bottle of viscous glue and a brush, he was preparing on a recent morning to plaster the town of Chukhloma with posters urging a vote against the nuclear power plant

The atomic power station stands partly completed in an area known as

Clean Woods in the Kostroma region, a sparsely populated, relatively poor district of rolling hills and pine forests about 200 miles northeast of Moscow

The referendum, the first such regional vote in post-Soviet Russia, came about only after years of pressure by a local environmental group, In the Name of Life, which repeatedly met with setbacks at the hands of the government The local governor backed completion of the plant, as well as the Atomic Energy Ministry in Moscow

Their campaign against the authorities is almost a textbook case of the problems of building civil society

Once, in 1993, the environmental group collected 16,080 signatures for a referendum, more than the 10,000 needed But then, that October, came the violent upheaval in Moscow as President Boris Yeltsin confronted a rebellious parliament Their fight was put on hold until a new federal constitution was written

Subsequently, local authorities annulled thousands of the petition signatures, and referendum supporters had to start over again The second time, early this year, they collected 36,525 signatures, paving the way for the referendum despite the authorities' determination to build the plant

Now, with only weeks to go before the climactic vote, they were campaigning from town to town in a beat-up old bus, paid for by the environmental group Greenpeace, trying to drum up enthusiasm and votes against the power plant

"Of those who are going to participate in the referendum, about 80 percent say no to the nuclear plant," said Malinovsky, sitting next to a heap of handbills on the bus "But I'm afraid the turnout will be lower People confuse things They are not afraid of authority, but they have lost faith No matter who is elected, they say, nothing is going to be changed Voters understand, it is total arbitrary rule in this country The authorities just do what they want "

His view also was reflected in the reactions to the energetic pleas of Dobretsova, who worked as a chemist before turning to environmental activism

In a full-length coat and fur hat she began to walk the icy streets of Chukhloma at 8 30 a m But voters lined up for bread at a small pavilion seemed indifferent to her pleas and handbills ' In 1992, people still remembered Chernobyl," she lamented, referring to the 1986 accident at the nuclear power plant in Ukraine "Now they don't "

She approached an elderly woman wrapped in a blue scarf "I don't want anything to do with it!" the woman shouted aloud at Dobretsova "We are hungry -- we have no money! It doesn't matter whom we elect!"

Next, ın the welfare office, the clerks were sympathetıc ıf somewhat doubtful Dobretsova explaıned that the envıronmentalısts' campaıgn has been blacked out of regıonal televısıon "The trouble ıs, we're not allowed to speak on televısıon," she saıd "That's why we have to come to you "

On the street, she found plenty of skepticism People opposed the reactor, but the ıdea of a referendum -- of cıtızens challengıng authorıty -- was regarded as new and strange A few people recalled there was a referendum to preserve the Soviet Unıon, not long afterward, ıt fell apart

Dobretsova met one elderly woman voter who asked sımply how to vote Dobretsova traced an ımaginary ballot paper on the wornan's coat, and told her to put a check mark ın the place marked "No "

At the local hospıtal, she barreled through a dark, dusty hallway to fınd Chıef Doctor Mıkhaıl Suslov, 42, sıttıng at a desk laden wıth patıent records She offered to gıve hım a vıdeotape makıng the case against the nuclear plant to show hıs patıents, but he declıned, sayıng the hospıtal has no VCR But he offered encouragement "I have never met a person who ıs for that atomıc power plant," he saıd

Dobretsova returned to the ıcy street Most of the voters she met were pensıoners, and many were remote and ısolated from polıtıcs They dıdn't read newspapers or watch televısıon Dobretsova saıd the fıght has come down to a battle over turnout If the antı-nuclear campaıgners could not get 50 percent of regıstered voters to partıcıpate, the referendum would not be valıd

Two old women, who appear to be ıdentıcal twıns, stopped to lısten to her pıtch "Nothıng depends on us," one of them saıd "Thıngs wıll remaın the same "

Yekaterına Mırokhanova, a passerby, watched as Malınovsky glued up another poster "They won't lısten to us," she saıd "Do you see the lıfe we have now? We're helpless ın everythıng "

But she was wrong On Dec 8, the atomıc power plant was defeated wıth 87 percent of the vote, and the turnout was 58 percent Dobretsova was ecstatıc "We're probably movıng toward cıvılızatıon," she saıd, "just lıke the rest of the world "

A Passıve Populace

Father Alexander Borısov, a progressıve Russıan Orthodox prıest and rector of the Saınts Cosmos and Damıan Church ın central Moscow, has led a drıve sınce 1991 to restore the church, a 19th-century structure used as a prıntıng plant ın Soviet tımes When he asks Russıans for help, many of them are puzzled

"They say, isn't the patriarchate helping you?" he recalled "People have somehow gotten used to the fact that the financing all comes from some kind of center I say, on the contrary, we are supposed to do something for the patriarchate " He added, "It's quite telling It doesn't occur to people that it's not the center that is supposed to feed everyone "

Borisov's experience is not unusual The very foundations of civil society are weak because Russians, despite their new freedoms, have become extraordinarily passive They are not in the mood to participate They are puzzled, distrustful, uncertain and preoccupied with personal survival Although there was an outpouring of spontaneous support -- mass street demonstrations -- in the years of perestroika, the beginning of economic restructuring, now Russians appear to be disappointed and looking inward, just at a time when a civil society is being born

The extent of this withdrawal is documented in a series of public opinion surveys, the New Russian Barometer, carried out from 1991 to 1996 under Richard Rose, director for the Center of Public Policy at Strathclyde University in Scotland According to the polls, outlined in a new book, "How Russia Votes," Russians are far more detached from their leaders, or "demobilized," than other citizens of post-communist states

For example, asked if the post-communist system is better or worse in the chances it gives ordinary people to influence the government, only 8 percent of Russians said it was better In other East European countries, the new system was hailed as better by twice to four times as many

"We have no civil society," said Masha Volkenstein, a Russian pollster and sociologist "It's a feeling that things don't depend on you, that even though you vote, people in power will do what they want "

In a study of public opinion in three Russian provincial towns sponsored by Civic Initiative, a group that encourages civic involvement, Volkenstein found less than 4 percent of those questioned were members of any civic or public organization, less than 1 percent said they had participated in some concrete activity More than three-quarters of those questioned could not name a single public organization, and when asked what type they knew the best, the most frequent response was labor unions -- at 7 percent

Their distaste for such groups was rooted in the Soviet experience When asked what kind of 'public activity' they had done in the past, 90 percent recalled working the supposedly voluntary work patrols organized in the Soviet years, in which most people were forced to participate Volkenstein said this kind of compulsory activity left many people distrustful They knew the work patrols were not the result of individual initiative but were instigated by the Communist Party Now, "people don't believe in any kind of structures," she said

Another reason is that many groups in contemporary Russia have become private business fiefdoms, deepening popular distrust Financial scandals

have erupted around such social welfare groups as the Afghan war veterans' fund "So many of these organizations, after they are started, begin to do their own business," Volkenstein said "They become just another racket "

It has been especially difficult for civil society to take root in competition with Russia's widespread corruption and organized crime, which hold sway at all levels of government, from the traffic police to the Kremlin "It's difficult to have a civil society when the country is corrupt and criminalized," she added

Nonetheless, Russia has laid the legal foundation for civil society A law passed last year makes it relatively simple for individuals to form a public organization They only need three people, a charter and a founding meeting, and they are not required to formally register with the authorities Nina Belyaeva, president of Interlegal, which helps groups get started, said there are thousands of them in Russia, and the impetus is coming from the grass roots, not from above

"People get by, and they've given up on the state," she said "It's a sign they understand the state has no money Instead of protesting, people find self-help They don't believe they can bargain with the state They are not knocking on the upper door, but on their neighbor's door "

Yet another problem is that Russians are just too busy trying to survive "When society is under stress, it's not a good time to talk about civil society," said Volkenstein "You need stability You need a middle class You need free time to think You need someone to put energy into it, and not have to feed their family morning to evening Now, we are just surviving We don't have enough energy, time and money for this It's hard times, like during the war, and you have to survive on your own "

Planting a Seed

The old residential building at 13 Begovaya St in Moscow had that pre-World War II charm So thought Sergei Blagodarov when he decided to move to an apartment there, but then he walked into the stairwell "There was such an odor coming from the basement that one's legs gave way," he recalled "Once a homeless man died in the basement and lay there decomposing for four days The stairwells reeked of urine, were hairy from dust, and the windows of the entryway were still taped shut from the war "

The scene is a familiar one in Moscow's high-rise residential blocks Traditionally, residents maintained their own apartments but left the entranceway in slum conditions They figured it was the job of the government to clean it up, and if it didn't, nothing got done

Blagodarov, 38, took a different route, and in the process planted a seed of civil society He set about organizing a cleanup and renovation of his building's eight-floor entranceway that filled the gap left by the authorities Unlike the anti-nuclear referendum in Chukhloma, Blagodarov insisted that

people do more than vote, that they contribute time and money Instead of waiting for the government, residents got together and helped themselves Now, residents of other buildings are eyeing his success -- and talking about doing the same

It wasn't easy, Blagodarov recalled in an interview along with neighbor Yusup Bashirov, 44, a businessman, who helped lead the fight Blagodarov, a journalist for the newspaper Komsomolskaya Pravda, also wrote a long essay in the paper about his experience

Impoverished pensioners who lived in the building would have none of it "Let millionaires do the renovation!" they screamed at him, he recalled "We'll continue living like this " Others insisted that the city housing maintenance committee should do the work -- even though they had neglected the building for years

Blagodarov told the residents they needed about $4,000 for the renovation, or $220 per family They went outside, made a list and told everyone to come back with money They scraped together $1,280 -- some pensioners gave less, some businessmen gave more -- bought the materials and started the renovation

Blagodarov said his neighbor, Valentina Mikhailova, grew indignant one day while he was working on the entryway "I put up artificial greenery and she jumped out of her apartment, and she was angry She began to scream at me Why are you setting up a restaurant here? Why this greenery?' "

But once people saw the improvements, they coughed up more money "Yes, the babushkas got angry, envious, but when many people saw the result, what people were able to do, they started to respect themselves and others more," he recalled "This renovation united us We were never friends like we are now When we collected the money, people just stood around talking with each other, for an hour

"Those grandmothers who screamed at us -- they saw something to it They saw something can be done And they don't yell like that any more My neighbor now says `hello ' "

NEXT Divergent dreams

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PENN KEMBLE

Civil society, education and democracy

The term civil society acquired its cachet during the stubborn resistance to communist rule in Central Europe and the Soviet Union The understanding grew that there should and could be legitimate centers of social and economic life outside the realm of the state This idea also had appeal in the established democr ies where the bureaucracy and impersonality that affects the welfare state were coming under challenge Even on the Left many welcomed the proposition that small thriving democratic associations might provide countervailing influence to the giant institutions of government and the private economy a sort of guild socialism

But recently the discussion of civil society has grown more complex We are reminded that we sometimes adopt concepts and terms from social science that are merely descriptive and then infuse them with an unwarranted benevolence The kinds of institutions and voluntary groups included under the term civil society can indeed be the little platoons of democracy community improvement and good works that inspired Alexis de Toqueville and came together to create Poland s Solidarnosc But they can also be the Ku Klux Klan militant fundamentalists or the Russian mafias

We have learned that if it is to merit our praise and support civil society must exhibit a distinct moral and political character In a word it must be democratic

So much of contemporary social and economic thought straining toward the supposed purity of the physical sciences tries to e de political judgments or moral ref erences Even when we design foreign assistance programs with the deliberate intention of supporting transitions to deomocracy these programs often drift toward value free social engineering We act as if the mechanisms of democracy are all important and are skittish about what might be described as moral and cultural matters

We have been willing for example to spend substantially to help establish the machinery for conducting elections or to provide computers to newly organized parliaments or to train the directors of newly privatized companies We have advanced large sums of money to prime the pumps of private investment. And now fashion is discovering another intriguing set of mechanism the voluntary associations the NGOs the molecules of civil society

This one has to agree could be a useful thing It has become apparent that in both the established democracies and the societies in transition a thick network of independent, voluntary civic organizations helps the larger institutions of democracy But it is also the case that both the mega institutions of democracy and its smaller cells have their existence in a medium, and environment, a culture And for civil society to be democratic the culture that pervades it and nourshes it must also be democratic

But how do we encourage this culture of democracy and the institutions of civil society that both nourish it and feed on it? This is not an easy question — especially when we are dealing with foreign countries

The educational processes that peoples who are or wish to be democratic adopt will in many ways be distinctive to their own experiences These are sensitive subjects involving the most intimate issues of national identity Nevertheless there are aspects of these educational processes that can be shared Every people should be free to choose its own approach but such freedom whould include the freedom to borrow or adapt from others Given the urgency so many of us face to improve our civic education — we in the United States most emphatically included — we had better be looking everywhere we can for benchmarks and best practices to copy

Interest in strengthening the culture of democracy through education has prompted an array of educators from many plces to join in the creation of CIVITAS an international network for the advancement of civic education whose principal participants are nongovernmental organizations in the field of education CIVITAS also enjoys support and cooperation from the Council of Europe UNESCO our United States Information Agency and other international organizations

CIVITAS has two objectives encourage groups and individu in the field to share materials tec niques and professional exper ence and to advance the impo tance of education for democra on the agendas of national gover ments and international organi tions Well attended seminars civic education have been held Prague and Buenos Aires a another was held recently in P toria South Africa

Western Europeans and Nor Americans can find many valual ways to cooperate in strengthenin civic education We know we m never impose our cultures on o ers nor should we overlook t lessons and the inspiration we c gain from them

The idea of citizenship has d roots in what we call Western C lization This is something th Europe and America can be pr of We can give these ideals n strength through education Eur and America will also find mu inspiration in the brave strugg for democracy being waged to i in other parts of the world

Penn Kemble is deputy direc of the United States Informat Agency

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SEYMOUR MARTIN LIPSET

Democratic linkage and American aid

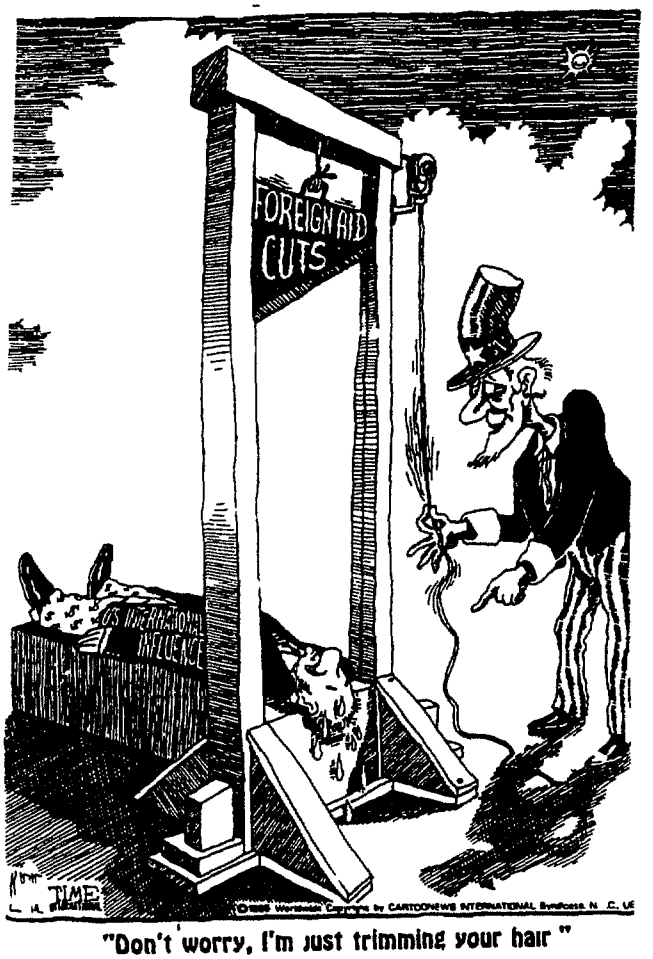
The current debate in Congress concerning American efforts to aid the institutionalization of democracy in emergent systems deals with an old American concern. As heirs of the world's first successful democratic transition 19th century Americans favored exporting their revolution, ending tyranny wherever it existed. To its citizens and to others who favored the cause of democracy the United States was the nearest thing to utopia.

The writings of numerous foreign visitors including most notably Alexis de Tocqueville sought to inform their fellows back home on the characteristics of the American polity in contrast to the monarchical regimes of Europe. These authors dwelt especially on the weakness of government, its minor role in the economy, its divided and federal character, the separation of church and state and the role of voluntary associations both in mediating between citizens and the state and in educating and mobilizing the electorate.

Foreign democratic activists saw the United States not only as a model but also as a source of concrete material and ideological assistance — and even refuge —when repression back home became unbearable. Lafayette and the 7,000 Frenchmen who served here during our Revolution played a major role in theirs. Opponents of monarchy including supporters of democratic republics from Canada to Austria-Hungary, disunited Italy and czarist Russia recognized our system as exemplary. And Americans responded to these movements with enthusiasm. They welcomed Lafayette, Kossuth, Garibaldi, Sun Yat Sen and many others to our shores, giving both political advice and money. And ultimately their early 20th century offspring supported the Wilsonian crusade to make the world safe for democracy.

The image of Washington as the center of a worldwide revolution diminished after World War I and a new center Moscow emerged. Communism and liberal democracy are enemies. But many on the democratic left identified with the Russian Revolution because of its advocacy of greater egalitarianism. Consequently America was no longer the model and was even seen in some quarters as backward and reactionary.

Following World War II as the totalitarian nature of the Soviet Union became clear the United States once more became the leader of the struggle for democracy. All lovers of freedom including democratic socialists were prepared to follow this country's lead in seeking to overturn repressive regimes. Under presidents like Truman, Eisenhower, Kennedy and Reagan the American people showed themselves willing to continue the mission that Woodrow Wilson and Franklin Roosevelt had initiated. People living under tyranny in the Soviet Union in the People's Republic of China and in Czechoslovakia like their predecessors in the autocratic regimes of 19th century Europe turned to America for inspiration and aid.



"Don't worry, I'm just trimming your hair"

As we soon learned transitions to democracy do not occur easily in societies still struggling to shake off the effects of three quarters of a century of totalitarian rule. Among other things democracy needs a civil society with stable and competitive parties and erecting such structures is anything but easy. New parties can lose mass support and collapse overnight as has occurred in Poland, Lithuania, Russia and post-Franco Spain to mention a few.

What can we Americans and our allies do? We can give advice, teach and send equipment and money. We have done so and a pattern has emerged. Institutes have arisen that are funded but not controlled by their respective governments such as the party foundations of Germany, the Westminster Foundation for Democracy in Britain, the multinational supported International Institute for Democracy and Electoral Assistance in Sweden, the International Center for Human Rights and Democratic Development in Canada and the National Endowment for Democracy (NED) in the United States. The German foundations each linked to a German political party together receive approximately $200 million from their government for programs abroad.

NED funded by Congress at $34 million last year resembles the German model in that it provides a substantial portion of its funding to four institutes affiliated with the Republicans, the Democrats, the Chamber of Commerce and the AFL-CIO which are commissioned to help their counterparts abroad. The Agency for International Development (AID) operates with more money but deals mostly with governments. The Endowment by funding a broad range of nongovernmental organizations seeks to bolster citizens' democratic efforts including independent media, get out the vote drives, development of democratic parties, cooperatives, unions and market reform groups. A NED sponsored conference held in Washington during the first week of May brought together recipients of NED grants from more than 60 countries around the world. Those who came included Elena Bonner Andrei Sakharov's widow and a leading spokesperson for pro-democracy forces in Russia, Sergei Kovaev, the head of the Human Rights Commission of Russia, Monique Mujawamariya, a courageous human rights activist from Rwanda, and Sergio Aguayo Quezada, an important advocate for pluralism, governmental accountability and honest elections in Mexico. To see and listen to them was an emotional experience. They are the true heirs of Lafayette, Kossuth and Garibaldi. Washington once more the center of the global democratic revolution.

Sadly there are some in Congress who would reduce the scope of and even eliminate our role in support of the freedom network arguing that democracy abroad has no bearing on American interests. What benefit they ask does the United States get out of helping a voter drive in Romania, trade unions and business management in Russia, election observation teams in Mexico, democratic magazines in the Middle East or human rights fighters in Rwanda when we are cutting funds for welfare at home?

While there is no short answer it may be noted that no stable democracy has ever been involved in a war with another and that the opponents of democracy whether on the left or right are anti-American viewing the United States as the enemy par excellence because it embodies everything they dislike. Freedom's supporters on the other hand continue to identify the United States as a model.

Almost everywhere outside the older democracies there is a democratic and an anti-democratic party or to put it less elegantly an American and an anti-American party. The global struggle is no longer linked to nuclear weapons or submarines but it goes on. Today it is tied to economic development to polling to campaign organization to the sophisticated use of the mass media and the monitoring of elections. America having succeeded in the Cold War must not abandon the field of battle in the continuing and far less costly struggle to build free societies for the twenty first century and beyond.

Seymour Martin Lipset is the Hazel Professor of Public Policy at George Mason University and senior fellow of the Hoover and Progressive Policy institutes. His book, "American Exceptionalism: A Double-Edged Sword," will be published by W.W. Norton in the fall.

BOWLING ALONE AMERICA'S DECLINING SOCIAL CAPITAL

Robert D Putnam

Robert D Putnam is Dillon Professor of International Affairs and director of the Center for International Affairs at Harvard University His most recent books are Double-Edged Diplomacy International Bargaining and Domestic Politics *(1993) and* Making Democracy Work Civic Traditions in Modern Italy *(1993), which is reviewed elsewhere in this issue He is now completing a study of the revitalization of American democracy*

Many students of the new democracies that have emerged over the past decade and a half have emphasized the importance of a strong and active civil society to the consolidation of democracy Especially with regard to the postcommunist countries, scholars and democratic activists alike have lamented the absence or obliteration of traditions of independent civic engagement and a widespread tendency toward passive reliance on the state To those concerned with the weakness of civil societies in the developing or postcommunist world, the advanced Western democracies and above all the United States have typically been taken as models to be emulated There is striking evidence, however, that the vibrancy of American civil society has notably declined over the past several decades

Ever since the publication of Alexis de Tocqueville's *Democracy in America*, the United States has played a central role in systematic studies of the links between democracy and civil society Although this is in part because trends in American life are often regarded as harbingers of social modernization, it is also because America has traditionally been considered unusually civic' (a reputation that as we shall later see, has not been entirely unjustified)

When Tocqueville visited the United States in the 1830s, it was the Americans' propensity for civic association that most impressed him as the key to their unprecedented ability to make democracy work Americans of all ages, all stations in life and all types of disposition'

ie observed, 'are forever forming associations There are not only ommercial and industrial associations in which all take part, but others of a thousand different types—religious, moral, serious futile, very eneral and very limited, immensely large and very minute Nothing, in my view, deserves more attention than the intellectual and noral associations in America [1]

Recently, American social scientists of a neo-Tocquevillean bent have inearthed a wide range of empirical evidence that the quality of public life and the performance of social institutions (and not only in America) are indeed powerfully influenced by norms and networks of civic engagement Researchers in such fields as education urban poverty unemployment, the control of crime and drug abuse, and even health have discovered that successful outcomes are more likely in civically engaged communities Similarly, research on the varying economic attainments of different ethnic groups in the United States has demonstrated the importance of social bonds within each group These results are consistent with research in a wide range of settings that demonstrates the vital importance of social networks for job placement and many other economic outcomes

Meanwhile, a seemingly unrelated body of research on the sociology of economic development has also focused attention on the role of social networks Some of this work is situated in the developing countries and some of it elucidates the peculiarly successful network capitalism' of East Asia [2] Even in less exotic Western economies, however, researchers have discovered highly efficient highly flexible industrial districts based on networks of collaboration among workers and small entrepreneurs Far from being paleoindustrial anachronisms, these dense interpersonal and interorganizational networks undergird ultramodern industries, from the high tech of Silicon Valley to the high fashion of Benetton

The norms and networks of civic engagement also powerfully affect the performance of representative government That, at least was the central conclusion of my own 20-year quasi-experimental study of subnational governments in different regions of Italy [3] Although all these regional governments seemed identical on paper, their levels of effectiveness varied dramatically Systematic inquiry showed that the quality of governance was determined by longstanding traditions of civic engagement (or its absence) Voter turnout, newspaper readership, membership in choral societies and football clubs—these were the hallmarks of a successful region In fact historical analysis suggested that these networks of organized reciprocity and civic solidarity, far from being an epiphenomenon of socioeconomic modernization, were a precondition for it

No doubt the mechanisms through which civic engagement and social connectedness produce such results—better schools faster economic

development, lower crime, and more effective government—are multiple and complex While these briefly recounted findings require further confirmation and perhaps qualification, the parallels across hundreds of empirical studies in a dozen disparate disciplines and subfields are striking Social scientists in several fields have recently suggested a common framework for understanding these phenomena, a framework that rests on the concept of *social capital* [4] By analogy with notions of physical capital and human capital—tools and training that enhance individual productivity—"social capital" refers to features of social organization such as networks, norms, and social trust that facilitate coordination and cooperation for mutual benefit

For a variety of reasons, life is easier in a community blessed with a substantial stock of social capital In the first place, networks of civic engagement foster sturdy norms of generalized reciprocity and encourage the emergence of social trust Such networks facilitate coordination and communication, amplify reputations, and thus allow dilemmas of collective action to be resolved When economic and political negotiation is embedded in dense networks of social interaction, incentives for opportunism are reduced At the same time, networks of civic engagement embody past success at collaboration, which can serve as a cultural template for future collaboration Finally dense networks of interaction probably broaden the participants sense of self, developing the I into the we," or (in the language of rational-choice theorists) enhancing the participants' taste for collective benefits

I do not intend here to survey (much less contribute to) the development of the theory of social capital Instead I use the central premise of that rapidly growing body of work—that social connections and civic engagement pervasively influence our public life, as well as our private prospects—as the starting point for an empirical survey of trends in social capital in contemporary America I concentrate here entirely on the American case, although the developments I portray may in some measure characterize many contemporary societies

Whatever Happened to Civic Engagement?

We begin with familiar evidence on changing patterns of political participation, not least because it is immediately relevant to issues of democracy in the narrow sense Consider the well-known decline in turnout in national elections over the last three decades From a relative high point in the early 1960s voter turnout had by 1990 declined by nearly a quarter, tens of millions of Americans had forsaken their parents habitual readiness to engage in the simplest act of citizenship Broadly similar trends also characterize participation in state and local elections

It is not just the voting booth that has been increasingly deserted by

Americans A series of identical questions posed by the Roper Organization to national samples ten times each year over the last two decades reveals that since 1973 the number of Americans who report that in the past year" they have attended a public meeting on town or school affairs has fallen by more than a third (from 22 percent in 1973 to 13 percent in 1993) Similar (or even greater) relative declines are evident in responses to questions about attending a political rally or speech, serving on a committee of some local organization and working for a political party By almost every measure Americans direct engagement in politics and government has fallen steadily and sharply over the last generation, despite the fact that average levels of education—the best individual level predictor of political participation—have risen sharply throughout this period Every year over the last decade or two millions more have withdrawn from the affairs of their communities

By almost every measure, Americans' direct engagement in politics and government has fallen steadily and sharply over the last generation

Not coincidentally Americans have also disengaged psychologically from politics and government over this era The proportion of Americans who reply that they trust the government in Washington only some of the time or almost never' has risen steadily from 30 percent in 1966 to 75 percent in 1992

These trends are well known of course and taken by themselves would seem amenable to a strictly political explanation Perhaps the long litany of political tragedies and scandals since the 1960s (assassinations, Vietnam, Watergate Irangate, and so on) has triggered an understandable disgust for politics and government among Americans, and that in turn has motivated their withdrawal I do not doubt that this common interpretation has some merit, but its limitations become plain when we examine trends in civic engagement of a wider sort

Our survey of organizational membership among Americans can usefully begin with a glance at the aggregate results of the General Social Survey a scientifically conducted, national sample survey that has been repeated 14 times over the last two decades Church related groups constitute the most common type of organization joined by Americans, they are especially popular with women Other types of organizations frequently joined by women include school-service groups (mostly parent teacher associations) sports groups, professional societies and literary societies Among men sports clubs, labor unions, professional societies fraternal groups veterans' groups and service clubs are all relatively popular

Religious affiliation is by far the most common associational

membership among Americans Indeed, by many measures America continues to be (even more than in Tocqueville's time) an astonishingly churched" society For example, the United States has more houses of worship per capita than any other nation on Earth Yet religious sentiment in America seems to be becoming somewhat less tied to institutions and more self-defined

How have these complex crosscurrents played out over the last three or four decades in terms of Americans' engagement with organized religion? The general pattern is clear The 1960s witnessed a significant drop in reported weekly churchgoing—from roughly 48 percent in the late 1950s to roughly 41 percent in the early 1970s Since then, it has stagnated or (according to some surveys) declined still further Meanwhile, data from the General Social Survey show a modest decline in membership in all church-related groups" over the last 20 years It would seem then, that net participation by Americans, both in religious services and in church-related groups, has declined modestly (by perhaps a sixth) since the 1960s

For many years, labor unions provided one of the most common organizational affiliations among American workers Yet union membership has been falling for nearly four decades with the steepest decline occurring between 1975 and 1985 Since the mid-1950s, when union membership peaked, the unionized portion of the nonagricultural work force in America has dropped by more than half falling from 32 5 percent in 1953 to 15 8 percent in 1992 By now, virtually all of the explosive growth in union membership that was associated with the New Deal has been erased The solidarity of union halls is now mostly a fading memory of aging men [5]

The parent-teacher association (PTA) has been an especially important form of civic engagement in twentieth-century America because parental involvement in the educational process represents a particularly productive form of social capital It is, therefore, dismaying to discover that participation in parent teacher organizations has dropped drastically over the last generation, from more than 12 million in 1964 to barely 5 million in 1982 before recovering to approximately 7 million now

Next we turn to evidence on membership in (and volunteering for) civic and fraternal organizations These data show some striking patterns First, membership in traditional women's groups has declined more or less steadily since the mid-1960s For example membership in the national Federation of Women's Clubs is down by more than half (59 percent) since 1964 while membership in the League of Women Voters (LWV) is off 42 percent since 1969 [6]

Similar reductions are apparent in the numbers of volunteers for mainline civic organizations, such as the Boy Scouts (off by 26 percent since 1970) and the Red Cross (off by 61 percent since 1970) But what about the possibility that volunteers have simply switched their loyalties

to other organizations? Evidence on regular" (as opposed to occasional or drop-by) volunteering is available from the Labor Department's Current Population Surveys of 1974 and 1989 These estimates suggest that serious volunteering declined by roughly one-sixth over these 15 years from 24 percent of adults in 1974 to 20 percent in 1989 The multitudes of Red Cross aides and Boy Scout troop leaders now missing in action have apparently not been offset by equal numbers of new recruits elsewhere

Fraternal organizations have also witnessed a substantial drop in membership during the 1980s and 1990s Membership is down significantly in such groups as the Lions (off 12 percent since 1983) the Elks (off 18 percent since 1979), the Shriners (off 27 percent since 1979) the Jaycees (off 44 percent since 1979), and the Masons (down 39 percent since 1959) In sum after expanding steadily throughout most of this century many major civic organizations have experienced a sudden, substantial and nearly simultaneous decline in membership over the last decade or two

The most whimsical yet discomfiting bit of evidence of social disengagement in contemporary America that I have discovered is this more Americans are bowling today than ever before but bowling in organized leagues has plummeted in the last decade or so Between 1980 and 1993 the total number of bowlers in America increased by 10 percent, while league bowling decreased by 40 percent (Lest this be thought a wholly trivial example, I should note that nearly 80 million Americans went bowling at least once during 1993 *nearly a third more than voted in the 1994 congressional elections* and roughly the same number as claim to attend church regularly Even after the 1980s plunge in league bowling nearly 3 percent of American adults regularly bowl in leagues) The rise of solo bowling threatens the livelihood of bowling lane proprietors because those who bowl as members of leagues consume three times as much beer and pizza as solo bowlers and the money in bowling is in the beer and pizza, not the balls and shoes The broader social significance however, lies in the social interaction and even occasionally civic conversations over beer and pizza that solo bowlers forgo Whether or not bowling beats balloting in the eyes of most Americans bowling teams illustrate yet another vanishing form of social capital

Countertrends

At this point however we must confront a serious counterargument Perhaps the traditional forms of civic organization whose decay we have been tracing have been replaced by vibrant new organizations For example national environmental organizations (like the Sierra Club) and feminist groups (like the National Organization for Women) grew rapidly

during the 1970s and 1980s and now count hundreds of thousands of dues-paying members An even more dramatic example is the American Association of Retired Persons (AARP), which grew exponentially from 400,000 card-carrying members in 1960 to 33 million in 1993, becoming (after the Catholic Church) the largest private organization in the world The national administrators of these organizations are among the most feared lobbyists in Washington, in large part because of their massive mailing lists of presumably loyal members

These new mass-membership organizations are plainly of great political importance From the point of view of social connectedness however, they are sufficiently different from classic secondary associations' that we need to invent a new label—perhaps 'tertiary associations For the vast majority of their members, the only act of membership consists in writing a check for dues or perhaps occasionally reading a newsletter Few ever attend any meetings of such organizations, and most are unlikely ever (knowingly) to encounter any other member The bond between any two members of the Sierra Club is less like the bond between any two members of a gardening club and more like the bond between any two Red Sox fans (or perhaps any two devoted Honda owners) they root for the same team and they share some of the same interests, but they are unaware of each other's existence Their ties, in short are to common symbols common leaders and perhaps common ideals, but not to one another The theory of social capital argues that associational membership should for example increase social trust but this prediction is much less straightforward with regard to membership in tertiary associations From the point of view of social connectedness the Environmental Defense Fund and a bowling league are just not in the same category

If the growth of tertiary organizations represents one potential (but probably not real) counterexample to my thesis, a second countertrend is represented by the growing prominence of nonprofit organizations especially nonprofit service agencies This so-called third sector includes everything from Oxfam and the Metropolitan Museum of Art to the Ford Foundation and the Mayo Clinic In other words although most secondary associations are nonprofits, most nonprofit agencies are not secondary associations To identify trends in the size of the nonprofit sector with trends in social connectedness would be another fundamental conceptual mistake [7]

A third potential countertrend is much more relevant to an assessment of social capital and civic engagement Some able researchers have argued that the last few decades have witnessed a rapid expansion in support groups of various sorts Robert Wuthnow reports that fully 40 percent of all Americans claim to be currently involved in [a] small group that meets regularly and provides support or [illegible] for those who participate in it [8] Many of these groups are religiously affiliated but

many others are not For example, nearly 5 percent of Wuthnow's national sample claim to participate regularly in a 'self-help' group, such as Alcoholics Anonymous, and nearly as many say they belong to book discussion groups and hobby clubs

The groups described by Wuthnow's respondents unquestionably represent an important form of social capital, and they need to be accounted for in any serious reckoning of trends in social connectedness On the other hand, they do not typically play the same role as traditional civic associations As Wuthnow emphasizes,

> Small groups may not be fostering community as effectively is many of their proponents would like Some small groups merely provide occasions for individuals to focus on themselves in the presence of others The social contract binding members together asserts only the weakest of obligations Come if you have time Talk if you feel like it Respect everyone s opinion Never criticize Leave quietly if you become dissatisfied We can imagine that [these small groups] really substitute for families neighborhoods and broader community attachments that may demand lifelong commitments, when, in fact they do not[9]

All three of these potential countertrends—tertiary organizations nonprofit organizations, and support groups—need somehow to be weighed against the erosion of conventional civic organizations One way of doing so is to consult the General Social Survey

Within all educational categories, total associational membership declined significantly between 1967 and 1993 Among the college educated, the average number of group memberships per person fell from 2 8 to 2 0 (a 26 percent decline) among high school graduates the number fell from 1 8 to 1 2 (32 percent), and among those with fewer than 12 years of education, the number fell from 1 4 to 1 1 (25 percent) In other words, at *all* educational (and hence social) levels of American society, and counting *all* sorts of group memberships, *the average number of associational memberships has fallen by about a fourth over the last quarter century* Without controls for educational levels, the trend is not nearly so clear, but the central point is this *more Americans than ever before are in social circumstances that foster associational involvement (higher education, middle age, and so on), but nevertheless aggregate associational membership appears to be stagnant or declining*

Broken down by type of group, the downward trend is most marked for church related groups, for labor unions, for fraternal and veterans organizations, and for school service groups Conversely, membership in professional associations has risen over these years, although less than might have been predicted, given sharply rising educational and occupational levels Essentially the same trends are evident for both men and women in the sample In short, the available survey evidence

confirms our earlier conclusion American social capital in the form of civic associations has significantly eroded over the last generation

Good Neighborliness and Social Trust

I noted earlier that most readily available quantitative evidence on trends in social connectedness involves formal settings, such as the voting booth, the union hall, or the PTA One glaring exception is so widely discussed as to require little comment here the most fundamental form of social capital is the family, and the massive evidence of the loosening of bonds within the family (both extended and nuclear) is well known This trend, of course, is quite consistent with—and may help to explain—our theme of social decapitalization

A second aspect of informal social capital on which we happen to have reasonably reliable time-series data involves neighborliness In each General Social Survey since 1974 respondents have been asked, "How often do you spend a social evening with a neighbor?" The proportion of Americans who socialize with their neighbors more than once a year has slowly but steadily declined over the last two decades, from 72 percent in 1974 to 61 percent in 1993 (On the other hand socializing with friends who do not live in your neighborhood' appears to be on the increase, a trend that may reflect the growth of workplace based social connections)

Americans are also less trusting The proportion of Americans saying that most people can be trusted fell by more than a third between 1960, when 58 percent chose that alternative, and 1993, when only 37 percent did The same trend is apparent in all educational groups, indeed, because social trust is also correlated with education and because educational levels have risen sharply, the overall decrease in social trust is even more apparent if we control for education

Our discussion of trends in social connectedness and civic engagement has tacitly assumed that all the forms of social capital that we have discussed are themselves coherently correlated across individuals This is in fact true Members of associations are much more likely than nonmembers to participate in politics, to spend time with neighbors, to express social trust, and so on

The close correlation between social trust and associational membership is true not only across time and across individuals, but also across countries Evidence from the 1991 World Values Survey demonstrates the following[10]

1) Across the 35 countries in this survey, social trust and civic engagement are strongly correlated, the greater the density of associational membership in a society, the more trusting its citizens Trust and engagement are two facets of the same underlying factor—social capital

2) America still ranks relatively high by cross-national standards on both these dimensions of social capital Even in the 1990s, after several decades' erosion Americans are more trusting and more engaged than people in most other countries of the world

3) The trends of the past quarter century however have apparently moved the United States significantly lower in the international rankings of social capital The recent deterioration in American social capital has been sufficiently great that (if no other country changed its position in the meantime) another quarter century of change at the same rate would bring the United States roughly speaking, to the midpoint among all these countries roughly equivalent to South Korea, Belgium or Estonia today Two generations' decline at the same rate would leave the United States at the level of today s Chile, Portugal and Slovenia

Why Is U S Social Capital Eroding?

As we have seen, something has happened in America in the last two or three decades to diminish civic engagement and social connectedness What could that something be? Here are several possible explanations along with some initial evidence on each

The movement of women into the labor force Over these same two or three decades many millions of American women have moved out of the home into paid employment This is the primary, though not the sole reason why the weekly working hours of the average American have increased significantly during these years It seems highly plausible that this social revolution should have reduced the time and energy available for building social capital For certain organizations such as the PTA the League of Women Voters the Federation of Women s Clubs, and the Red Cross this is almost certainly an important part of the story The sharpest decline in women s civic participation seems to have come in the 1970s, membership in such women s organizations as these has been virtually halved since the late 1960s By contrast most of the decline in participation in men s organizations occurred about ten years later, the total decline to date has been approximately 25 percent for the typical organization On the other hand, the survey data imply that the aggregate declines for men are virtually as great as those for women It is logically possible, of course that the male declines might represent the knock on effect of women s liberation is dishwashing crowded out the lodge, but time budget studies suggest that most husbands of working wives have assumed only a minor part of the housework In short, something besides the women s revolution seems to lie behind the erosion of social capital

Mobility The repotting hypothesis Numerous studies of organiz[illegible] involvement have shown that residential stability and such related [illegible]nena is homeownership are clearly associated with greater

civic engagement Mobility, like frequent re-potting of plants, tends to disrupt root systems, and it takes time for an uprooted individual to put down new roots It seems plausible that the automobile, suburbanization, and the movement to the Sun Belt have reduced the social rootedness of the average American, but one fundamental difficulty with this hypothesis is apparent the best evidence shows that residential stability and homeownership in America have risen modestly since 1965, and are surely higher now than during the 1950s, when civic engagement and social connectedness by our measures was definitely higher

Other demographic transformations A range of additional changes have transformed the American family since the 1960s—fewer marriages, more divorces, fewer children lower real wages, and so on Each of these changes might account for some of the slackening of civic engagement, since married, middle-class parents are generally more socially involved than other people Moreover the changes in scale that have swept over the American economy in these years—illustrated by the replacement of the corner grocery by the supermarket and now perhaps of the supermarket by electronic shopping at home or the replacement of community-based enterprises by outposts of distant multinational firms—may perhaps have undermined the material and even physical basis for civic engagement

The technological transformation of leisure There is reason to believe that deep seated technological trends are radically privatizing or individualizing our use of leisure time and thus disrupting many opportunities for social-capital formation The most obvious and probably the most powerful instrument of this revolution is television Time budget studies in the 1960s showed that the growth in time spent watching television dwarfed all other changes in the way Americans passed their days and nights Television has made our communities (or rather what we experience as our communities) wider and shallower In the language of economics electronic technology enables individual tastes to be satisfied more fully, but at the cost of the positive social externalities associated with more primitive forms of entertainment The same logic applies to the replacement of vaudeville by the movies and now of movies by the VCR The new 'virtual reality helmets that we will soon don to be entertained in total isolation are merely the latest extension of this trend Is technology thus driving a wedge between our individual interests and our collective interests? It is a question that seems worth exploring more systematically

What Is to Be Done?

The last refuge of a social-scientific scoundrel is [illegible]ll for more research Nevertheless, I cannot forbear from sugge[illegible]me further lines of inquiry

• We must sort out the dimensions of social capital, which clearly is not a unidimensional concept, despite language (even in this essay) that implies the contrary What types of organizations and networks most effectively embody—or generate—social capital, in the sense of mutual reciprocity, the resolution of dilemmas of collective action, and the broadening of social identities? In this essay I have emphasized the density of associational life In earlier work I stressed the structure of networks, arguing that "horizontal" ties represented more productive social capital than vertical ties [11]

We need to explore creatively how public policy impinges on social-capital formation In some well-known instances, public policy has destroyed highly effective social networks and norms

•Another set of important issues involves macrosociological crosscurrents that might intersect with the trends described here What will be the impact, for example of electronic networks on social capital? My hunch is that meeting in an electronic forum is not the equivalent of meeting in a bowling alley—or even in a saloon—but hard empirical research is needed What about the development of social capital in the workplace? Is it growing in counterpoint to the decline of civic engagement reflecting some social analogue of the first law of thermodynamics—social capital is neither created nor destroyed, merely redistributed? Or do the trends described in this essay represent a deadweight loss?

• A rounded assessment of changes in American social capital over the last quarter century needs to count the costs as well as the benefits of community engagement We must not romanticize small town, middle class civic life in the America of the 1950s In addition to the deleterious trends emphasized in this essay, recent decades have witnessed a substantial decline in intolerance and probably also in overt discrimination, and those beneficent trends may be related in complex ways to the erosion of traditional social capital Moreover, a balanced accounting of the social capital books would need to reconcile the insights of this approach with the undoubted insights offered by Mancur Olson and others who stress that closely knit social, economic, and political organizations are prone to inefficient cartelization and to what political economists term 'rent seeking" and ordinary men and women call corruption [12]

Finally, and perhaps most urgently, we need to explore creatively how public policy impinges on (or might impinge on) social-capital formation In some well known instances, public policy has destroyed highly effective social networks and norms American slum-clearance policy of the 1950s and 1960s for example renovated physical capital

but at a very high cost to existing social capital The consolidation of country post offices and small school districts has promised administrative and financial efficiencies, but full-cost accounting for the effects of these policies on social capital might produce a more negative verdict On the other hand, such past initiatives as the county agricultural-agent system, community colleges, and tax deductions for charitable contributions illustrate that government can encourage social-capital formation Even a recent proposal in San Luis Obispo, California, to require that all new houses have front porches illustrates the power of government to influence where and how networks are formed

The concept of civil society" has played a central role in the recent global debate about the preconditions for democracy and democratization In the newer democracies this phrase has properly focused attention on the need to foster a vibrant civic life in soils traditionally inhospitable to self-government In the established democracies ironically, growing numbers of citizens are questioning the effectiveness of their public institutions at the very moment when liberal democracy has swept the battlefield, both ideologically and geopolitically In America, at least, there is reason to suspect that this democratic disarray may be linked to a broad and continuing erosion of civic engagement that began a quarter century ago High on our scholarly agenda should be the question of whether a comparable erosion of social capital may be under way in other advanced democracies perhaps in different institutional and behavioral guises High on America s agenda should be the question of how to reverse these adverse trends in social connectedness, thus restoring civic engagement and civic trust

NOTES

1 Alexis de Tocqueville *Democracy in America* ed J P Maier trans George Lawrence (Garden City N Y Anchor Books 1969) 513 17

2 On social networks and economic growth in the developing world see Milton J Esman and Norman Uphoff *Local Organizations Intermediaries in Rural Development* (Ithaca Cornell University Press 1984) esp 15 42 and 99 180 and Albert O Hirschman *Getting Ahead Collectively Grassroots Experiences in Latin America* (Elmsford N Y Pergamon Press 1984) esp 42 77 On East Asia see Gustav Papanek The New Asian Capitalism An Economic Portrait in Peter L Berger and Hsin Huang Michael Hsiao eds *In Search of an East Asian Development Model* (New Brunswick N J Transaction 1987) 27 80 Peter B Evans The State as Problem and Solution Predation Embedded Autonomy and Structural Change in Stephan Haggard and Robert R Kaufman eds *The Politics of Economic Adjustment* (Princeton Princeton University Press 1992) 139 81 and Gary G Hamilton William Zeile and Wan Jin Kim "Network Structure of East Asian Economies in Stewart R Clegg and S Gordon Redding eds *Capitalism in Contrasting Cultures* (Hawthorne N Y De Gruyter 1990) 105 29 See also Gary G Hamilton and Nicole Woolsey Biggart "Market Culture and Authority A Comparative Analysis of Management and Organization in the Far East *American Journal of Sociology* (Supplement) 94 (1988) S52 S94 and Susan Greenhalgh Families and Networks in Taiwan s Economic Development in Edwin Winckler and Susan Greenhalgh eds *Contending Approaches to the Political Economy of Taiwan* (Armonk N Y M E Sharpe 1987) 224 45

3 Robert D Putnam *Making Democracy Work Civic Traditions in Modern Italy* (Princeton Princeton University Press, 1993)

4 James S Coleman deserves primary credit for developing the "social capital theoretical framework See his Social Capital in the Creation of Human Capital *American Journal of Sociology* (Supplement) 94 (1988) S95 S120 as well as his *The Foundations of Social Theory* (Cambridge Harvard University Press 1990) 300 21 See also Mark Granovetter Economic Action and Social Structure The Problem of Embeddedness *American Journal of Sociology* 91 (1985) 481 510 Glenn C Loury Why Should e Care About Group Inequality?" *Social Philosophy and Policy* 5 (1987) 249 71 and Robert D Putnam The Prosperous Community Social Capital and Public Life" *American Prospect* 13 (1993) 35 42 To my knowledge the first scholar to use the term social capital" in its current sense was Jane Jacobs in *The Death and Life of Great American Cities* (New York Random House, 1961) 138

5 Any sophisticated political interpretation of the collapse of American unionism would need to confront the fact that the steepest decline began more than six years before the Reagan administration s attack on PATCO Data from the General Social Survey show a roughly 40 percent decline in reported union membership between 1975 and 1991

6 Data for the LWV are available over a longer time span and show an interesting pattern a sharp slump during the Depression a strong and sustained rise after World War II that more than tripled membership between 1945 and 1969 and then the post 1969 decline which has already erased virtually all the postwar gains and continues still This same historical pattern applies to those men s fraternal organizations for which comparable data are available—steady increases for the first seven decades of the century interrupted only by the Great Depression followed by a collapse in the 1970s and 1980s that has already wiped out most of the postwar expansion and continues apace

7 Cf Lester M Salamon The Rise of the Nonprofit Sector *Foreign Affairs* 73 (July August 1994) 109 22 See also Salamon "Partners in Public Service The Scope and Theory of Government Nonprofit Relations in Walter W Powell ed *The Nonprofit Sector A Research Handbook* (New Haven Yale University Press 1987) 99 117 Salamon s empirical evidence does not sustain his broad claims about a global associational revolution comparable in significance to the rise of the nation state several centuries ago

8 Robert Wuthnow *Sharing the Journey Support Groups and America s New Quest for Community* (New York The Free Press 1994) 45

9 Ibid 3 6

10 I am grateful to Ronald Inglehart who directs this unique cross national project for sharing these highly useful data with me See his The Impact of Culture on Economic Development Theory Hypotheses and Some Empirical Tests (unpublished manuscript University of Michigan 1994)

11 See my *Making Democracy Work* esp ch 6

12 See Mancur Olson *The Rise and Decline of Nations Economic Growth Stagflation and Social Rigidities* (New Haven Yale University Press 1982) 2

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Source The IDB, Vol 24 no 6 (publication of the Inter-American Development Bank)

OPINION POLLS

A verdict on democracy

Long-term support tempered by local disappointment

Latin Americans overwhelmingly prefer democracy over authoritarianism as a form of government But at the same time they are largely dissatisfied with the performance of their own democratic governments

These seemingly incompatible perceptions about the benefits of democracy were among the findings of a comprehensive 1996 survey of attitudes on government politics and the economy in 17 Latin American countries conducted by Latinobarometro a private polling organization based in Santiago Chile

Good for the other guy The survey results which were recently presented at IDB headquarters offer some fascinating glimpses into the perceptions of people who have lived through a period of great social and economic change

The survey showed that even in countries where a strong majority prefers democracy a significant minority would choose an authoritarian regime under certain circumstances That minority is 26 percent of the population in Paraguay 24 percent in Brazil 23 percent in Chile and Mexico and 21 percent in Guatemala

According to Latinobarometro Costa Rica and Uruguay stand out as the countries where democracy enjoys the highest level of support—80 percent With one exception at least 50 percent of citizens in every other surveyed country also prefer democracy In Honduras only 42 percent of those surveyed favor democracy while close to 30 percent said they do not care what kind of government they have and 14 per cent said an authoritarian regime could sometimes be preferable

Surprisingly favorable opinions of democracy did not translate into approval of the local state of affairs In all but two of the surveyed countries less than 34 percent of respondents answered yes when asked if they were satisfied with democracy as it functions in their own country Only in Costa Rica (51 percent) and Uruguay (52 percent) did more than half answer yes

According to Marta Lagos director of Latinobarometro many respondents to the latter question were actually issuing a verdict on the performance of the government currently in power a bias that might help explain the apparent contradiction in respondents view of democracy

Many observers believe these responses underscore the importance of accelerating so-called second generation reforms in the region If income distribution were more equitable judicial systems more efficient and independent and politicians more accountable public perception of the local functioning of democracy would probably improve

Useful data Latinobarometro s findings have been used by the IDB in several of its studies notably in the research papers presented in the seminar Latin America After a Decade of Reforms What Comes Next? that took place last March at the Bank s annual meeting in Barcelona Highlights of those papers were featured in the May issue of *THE IDB*

Regional surveys are increasingly being used by researchers and policymakers according to Liliana Rojas-Suarez principal advisor in the IDB s Office of the Chief Economist The Bank for instance is presently carrying out studies on urban violence and corruption that use opinion polls findings

—by Samuel Silva

For further information contact Marta Lagos at (56-2) 235 0574

People prefer democracy to authoritarianism*

Uruguay	80%	Nicaragua	59%
Costa Rica	80%	Paraguay	59%
Panama	75%	El Salvador	56%
Argentina	71%	Chile	54%
Bolivia	64%	Mexico	52%
Peru	63%	Guatemala	51%
Venezuela	62%	Brazil	50%
Colombia	60%	Honduras	42%

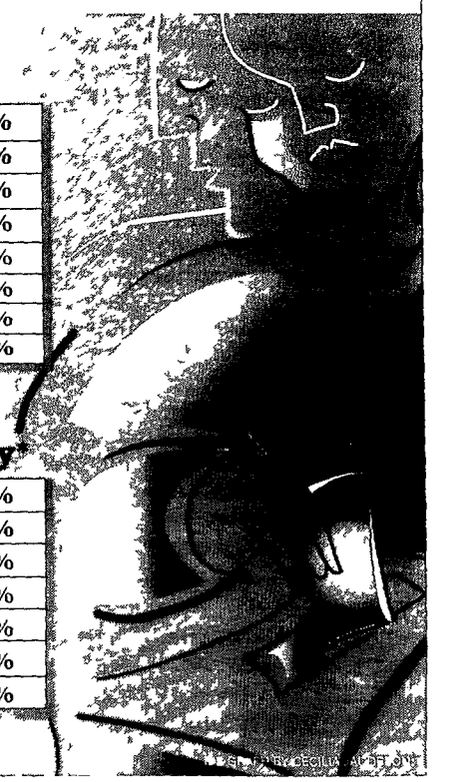
** Percent of respondents preferring democracy*

.but are dissatisfied with democracy in their own country*

Uruguay	52%	El Salvador	26%
Costa Rica	51%	Bolivia	25%
Argentina	34%	Nicaragua	23%
Ecuador	34%	Paraguay	22%
Venezuela	30%	Colombia	16%
Peru	28%	Guatemala	16%
Chile	27%	Mexico	11%

**Percent satisfied with democracy*

Source Latinobarometro



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