

CENTER FOR DEMOCRACY AND GOVERNANCE

"...promoting the transition to and consolidation of democratic regimes throughout the world."

RESULTS REVIEW AND RESOURCE REQUEST FY 2003



April 2001

Center for Democracy and Governance
Bureau for Global Programs, Field Support, and Research
U.S. Agency for International Development
Washington, D.C. 20523-3100

**The attached results information is from
the FY 2003 Results Review and Resource Request (R4)
for Global Bureau's
Center for Democracy and Governance**

The R4 is a pre-decisional USAID document and does not reflect results stemming from formal USAID reviews. Additional information on the attached can be obtained from

John Wiebler
G/DG
RRB 3.10
U.S. Agency for International Development
Washington, DC 20523-3100

tel (202) 712-5532
fax (202) 216-3232

jwiebler@usaid.gov

Related document information may be obtained from

USAID Development Experience Clearinghouse
1611 N. Kent St., Suite 200
Arlington, VA 22209-2111
tel (703) 351-4006, ext. 106
fax (703) 351-4039
email INTERNET[docorder@dec.cdie.org]
internet <<http://www.dec.org>>

Please Note:

The attached FY 2002 Results Review and Resource Request ("R4") was assembled and analyzed by the country or USAID operating unit identified on this cover page.

The R4 is a "pre-decisional" USAID document and does not reflect results stemming from formal USAID review(s) of this document.

Related document information can be obtained from:

USAID Development Experience Clearinghouse
1611 N. Kent Street, Suite 200
Arlington, VA 22209-2111
Telephone: 703/351-4006 Ext. 106
Fax: 703/351-4039
Email: docorder@dec.cdie.org
Internet: <http://www.dec.org>

Released on or after Oct. 1, 2003

RESULTS REVIEW AND RESOURCE REQUEST FY 2003

CONTENTS

I.	Overview	1
A.	Summary of Center Accomplishments	2
B.	Factors Impeding Progress	8
C.	Issues for Senior Management Consideration.....	9
D.	Areas for Improvement	10
E.	Select Performance Indicators.....	11
II.	Sector-level Accomplishments.....	13
A.	Strategic Assessment/Program Design.....	13
B.	Managing for Results	14
C.	Building a DG Technical Cadre	15
D.	Cross-cutting Linkages.....	15
E.	Disadvantaged Populations	16
III.	Results Review by Strategic Support Objective	19
A.	SSO 1: Legal systems operate more effectively to embody democratic principles and protect human rights (rule of law).....	19
1.	Self Assessment	19
2.	Summary of Strategic Support Objective.....	19
3.	Key Results	19
4.	Performance and Prospects	22
5.	Possible Adjustments to Plan	23
6.	Other Donor Programs	24
7.	Principal Contractors, Grantees, or Agencies	24
B.	SSO 2: Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry (elections and political processes)	25
1.	Self Assessment	25
2.	Summary of Strategic Support Objective.....	26
3.	Key Results	26
4.	Performance and Prospects	31
5.	Possible Adjustments to Plan	32
6.	Other Donor Programs	33
7.	Principal Contractors, Grantees, or Agencies	33
C.	SSO 3: Informed citizens' groups effectively contribute to more responsive government (civil society).....	34
1.	Self Assessment	34

2.	Summary of Strategic Support Objective.....	34
3.	Key Results	34
4.	Performance and Prospects	42
5.	Possible Adjustments to Plan	43
6.	Other Donor Programs	43
7.	Principal Contractors, Grantees, or Agencies	44
D.	SSO 4: National and local government institutions more openly and effectively perform public responsibilities (governance).....	45
1.	Self Assessment	45
2.	Summary of Strategic Support Objective.....	45
3.	Key Results	45
4.	Performance and Prospects	49
5.	Possible Adjustments to Plan	50
6.	Other Donor Programs	51
7.	Principal Contractors, Grantees, or Agencies	52
IV.	Resource Request	53
A.	Program Requirements	53
B.	Workforce	55
C.	Operating Expenses.....	55

Annex A: G/DG Strategic Framework

Annex B: Results to Date of All G/DG Authorized Non-presence Country Activities

Annex C: Implementing Policy Change: What USAID has Learned

I. OVERVIEW

USAID's support for democratic governance helps to promote political transformation and democratic consolidation in 78 operating units around the world. It promotes and protects human rights; promotes the rule of law; reinforces the principles of inclusion, participation, and peaceful competition in all sectors of society; strengthens public and private institutions of democratic governance; makes integrity, accountability, transparency, and responsiveness to citizens at all levels of governance the norm; overcomes the insidious legacies of authoritarian rule; facilitates a deepening of citizen participation and cultural commitment to democratic norms; and reinforces the links between political development and both economic and social development. As such, USAID's DG programming directly promotes inclusive, democratic processes believed to be fundamental in building states capable of preventing violent conflict. The Center for Democracy and Governance (G/DG or Center) has a role to play in making USAID's programs as effective and efficient as possible—through assuring that critical U.S. foreign policy initiatives take into account lessons from experience and by providing technical expertise, field support, and program management to support Agency efforts.

In only a few years, the Center has established itself as both a source of technical expertise in democracy promotion and an important tool for foreign policy planning and program implementation. Since 1994, G/DG has served as a focal point within USAID, among other agencies, and outside the government for achieving the USG's DG objectives. To this end, the Center has commissioned and led important studies to document the Agency's track record in DG programming, clarifying lessons learned and guiding the design of new DG programs based on these lessons and best practices. Our technical publications provide DG officers with practical guidance across the spectrum of DG programs and can be accessed through our web sites.

G/DG has also developed a standardized approach for a DG country assessment, which includes strategic recommendations through which outside support could stimulate democratic development. This assessment methodology provides a common language and framework for DG programming issues and opportunities. Based on them, the Center works closely with other parts of the Agency and with the U.S. State Department (State) to identify priority countries and strategic program approaches. G/DG also serves as USAID's implementing arm for often fast-paced DG programs in countries where there is no USAID presence.

Since democracy promotion is a relatively new area of focus for foreign assistance, USAID has placed high priority on building a cadre of technical officers who can be deployed to critical posts and assure sound programmatic and political judgement. The Center plays a lead role in organizing recruitment, training, and placement of DG officers throughout the USAID system, and it sends its own officers to USAID Missions and U.S. Embassies to assist in program planning, implementation, and evaluation.

The importance of USAID's DG work was recently recognized by Congress. Anti-corruption and good governance received explicit statutory authority as an integral part of the USG's development assistance programs and U.S. foreign policy when the president signed the Micro-enterprise Self Reliance and International Anti-corruption and Good Governance Act in October 2000. A truly bipartisan effort, the act encourages the continuation of USAID's efforts to support a range of programs, including strengthening independent media; promoting responsive, transparent, and accountable legislatures; and encouraging legal and judicial reforms, as well as fostering free and fair elections that hold government officials accountable to their own people. The signing of the act into law indicates a clear consensus within the development

community, Congress, and the executive branch that DG issues are absolutely critical to advancing U.S. interests and support development in countries around the world.

A. Summary of Center Accomplishments

G/DG's primary accomplishment has been in further defining the field of democracy promotion. Using its program design and evaluation processes, along with examination of lessons learned by USAID and other donors, G/DG has developed a solid body of knowledge documenting approaches to democracy promotion, pitfalls in program design and implementation, and lessons learned. The Center has undertaken a deliberate and aggressive approach to disseminating this knowledge and is vigorously working to expand the cadre of professionals knowledgeable not only in political science, but more importantly in the practice of democracy promotion. During the past year, the Center moved to strengthen its successes from the six years since its establishment and to look toward improving its responsiveness to the field, its management of DG programs, and its provision of technical leadership.

1. Technical Leadership

Research/Development. In FY 2000 G/DG extended its knowledge in the sector by publishing technical guidance and occasional papers, convening conferences, and reviewing the DG sector.

- The Center's conflict group, with representation across G/DG, has designed and is implementing a research and program agenda to guide its investigation of how targeted DG programming can prevent conflict by means such as supporting the development of capable states. The agenda focuses on identifying programmatic tools for addressing causes of conflict at three levels: underlying structural causes, proximal causes, and trigger events. G/DG aims to develop Center resources, and strategic assessment and programmatic tools for access by missions and embassies in conflict-prone environments.
- Preparing for a new administration, the Center undertook its own internal review of the DG sector, looking at what had been accomplished over the last several years and identifying where programs and processes might be improved. Through a series of focus groups, we analyzed topics and prepared draft recommendations for setting DG program priorities, strategy development, training, personnel, resources, program implementation, field support, USG coordination, donor coordination, and constituent relations. Our findings were shared at the annual DG officers workshop and disseminated to DG field officers for further comment. Findings and recommendations are being shared with the new leadership of the Agency.
- The Center held the Second International Conference on Legislative Strengthening in June 2000, bringing together more than 160 parliamentarians, experts, other donor representatives, and USAID field and headquarters staff. This event focused on the state of the art, key issues, and assistance strategies to improve the representative nature of legislatures in democratizing countries. The conference resulted in the creation of an informal network of African parliamentarians who committed to maintaining contacts and sharing information on issues of common interest and on how to strengthen legislative bodies. A report on the conference was published and disseminated electronically.

- In FY 2000, the Center, working with PPC, initiated qualitative case studies that use “impact tracing” to understand relations between program activities and significant political changes at the individual, institutional, and systemic levels. Study teams found evidence that USAID programs contribute to important democratization processes. G/DG is disseminating this approach and the findings to mission staff to assist them in assessing the impacts of their DG programs and to PPC to help document the impact of DG programs.
- As the foundation of its technical leadership, G/DG examines programs in the field and develops guidance for DG officers based on experience; in addition, it translates political theory into useful practical guidance to inform program design. As part of this technical leadership agenda, the Center published its strategic foundation piece, *Conducting a DG Assessment: A Framework for Strategy Development*, in November 2000. Since that time, this publication has been distributed to over 1,500 USAID field officers, USAID/W staff, partner representatives, and public individuals via hard-copy publication and downloads from our Intranet and Internet sites. In discussions with various missions, it is clear that the document is fulfilling its purpose: helping missions to conduct a DG assessment along strategic lines. G/DG also published other technical guidance documents last year, including *Decentralization and Democratic Local Governance Programming Handbook*. Since the launch of its Technical Publication Series in March 1998, the Center has published 11 of these guidance pieces covering the additional topics of alternative dispute resolution, civil-military relations, DG indicators, anti-corruption, a strategic approach to media, political party development assistance, legislative strengthening, and elections.

Foreign Policy/Other Donors. G/DG does not move forward alone, as it has consistently received strong support for its work from within USAID, State, and other USG agencies.

- The prominent role of the Center was acknowledged by then-Secretary of State Madeleine Albright in her keynote address to the Center’s 2000 Partners Conference: “USAID, guided by Brian Atwood and Brady Anderson and spearheaded by its Center for Democracy and Governance, and bolstered by its many partners, has become the world’s heavyweight champion of democracy.” The conference, held on November 30 and December 1, was G/DG’s 4th Annual USAID DG Partners Conference. This year’s conference was attended by over 300 DG officers and representatives from partner organizations—grantees, contractors, donors, and other USG agencies engaged in democracy development. Its objectives, tailored to the theme of “DG Accomplishments and Challenges,” were to facilitate the sharing of best practices and lessons learned in a variety of DG programming areas, to seek new solutions and approaches to critical DG challenges, and to encourage ongoing collaboration and coordination within the DG community. During the conference, participants engaged in substantive discussions on the promotion of judicial independence; political will; justice reform; decentralization in difficult environments; cross-sectoral linkages; globalization; anti-corruption priorities and practices; DG programs in environments of conflict; elections and political processes; information technology and DG programs; and USAID perspective on DG accomplishments and future priorities.
- The Center advised and facilitated USAID support of key elections. In March 2001, the House International Relations Subcommittee on Western Hemisphere held a hearing on

the prospects for free and fair elections in **Peru**. The General Accounting Office, testifying about the USAID-funded election support activities in Peru (\$7 million), strongly commended USAID efforts: USAID's "election-related assistance has been timely, responsive, and coordinated with other donors. For example, the Agency has expeditiously programmed and disbursed its election-related assistance to support various aspects of the electoral process. The Agency's election-related assistance has also been responsive to Peru's needs by funding electoral observation efforts before and during the elections; supporting technical assistance efforts to the Peruvian electoral agencies; and funding the delivery of election-related information to voters, journalists, candidates, and political parties. In addition, the Agency has coordinated its election-related assistance with the other international donors." Center staff visited Peru in December 2000 to help the mission design this package of assistance. G/DG grants and contracts are being used to implement the assistance, and the elections rapid-response task order with the International Foundation for Election Systems (IFES) was used to kick start our support while a fuller program of activities was designed.

- The Center played an important role in several other major democracy promotion events in addition to its own conference. G/DG was integrally involved in the planning and execution of the June 2000 Worldwide Community of Democracies ministerial in Warsaw. The secretary of state led the four-person U.S. delegation, which included the USAID deputy administrator. At the conference, the foreign ministers from over 100 democratic or democratizing countries discussed the challenges to democracy and the ways by which democracies and democratizing countries could assist one another to meet those challenges. The Warsaw Declaration, formally adopted by the convening group and signed by the ministers present, affirmed the basic principles that the Community of Democracies was dedicated to advance. The Center was represented on the core planning group for the overall conference and staffed the Warsaw working group on coordinating democracy assistance; it continues to play an important role in the ongoing, post-Warsaw efforts of the Community of Democracies working groups, with focus on coordinating democracy assistance. Finally, it was a sponsor of the Organization of American States-hosted regional follow-up conference.
- G/DG staff also played a significant part in developing an inter-agency proposal to help the administration strategically allocate scarce DG resources. The Center took the lead in the group, which included USAID/PPC, regional bureaus, and Global Bureau's Management Office, as well as State's Bureau of Democracy, Human Rights, and Labor (DRL); Bureau of Policy and Planning; and Office of Resources, Plans, and Policy. Engaging USAID and State regional counterparts in the process, participants developed a detailed method to determine DG priorities and ensure that State and USAID are positioned to invest resources effectively. Using the method, the inter-agency group developed a list of democracy priorities. The list serves three purposes:
 1. Staff can compare the priority list to where funds actually went and identify missed targets of opportunity.
 2. It allows for a rational allocation of resources.
 3. It gives staff the ability to make a reasoned argument for additional resources.

The process also helped inform USAID's budget decisions on allocation of FY 2001 development assistance. Finally, G/DG used the method when giving input into the FY 2001 economic support funds (ESF) allocation process for regional DG ESF.

Cadre Development. The Center has taken an aggressive stance on building the cadre of competent democracy promotion professionals through recruitment and training not only of USDH staff, but also of PSCs, FSNs, RSSAs, fellows, and other officers serving a DG role in Washington and overseas.

- During its 2000 DG Officers Workshop, the Center trained some 125 DG officers in an array of DG practice areas. This brings to over 2,000 the number of training encounters (i.e., the total level of participation for all sessions. For example, a DG officer may have attended three sessions at the 1999 workshop; this equals three training encounters.) provided to USAID officers through annual training workshops, regional sessions, and managing for results conferences. For this year's workshop, G/DG also undertook a selective prioritization process to help us to better meet our target audiences. We sought to draw in DG team leaders that had not received any previous training, and registration preference was given to these participants. We also did extensive and intensive training of the new entry professionals (NEPs), presidential management interns (PMIs), cross-over officers new to DG, and other individuals entering USAID to do DG work for the first time.
- In 2000, G/DG managed the training of the first and second classes of DG NEPs. Five DG NEPs came on board in the fall of 1999 and were supervised, mentored, and trained by the Center. The training was tailored to specific NEP needs. It included a series of overview briefings on each of the DG sub-sectors, participation in the annual DG officers workshop and partners conference, a series of seminars on strategic assessment and strategy development, and in-depth seminars on each of the major areas of DG programming. All participants in the first NEP class are now assigned to post. G/DG also recruited for the second NEP class; two joined G/DG in October 2000, and three will start in April 2001. They will participate in a similar mentoring and training program.
- Complementing its traditional training efforts by addressing more individual training needs and travel constraints, G/DG completed its anti-corruption distance learning module, *DG University: Anti-corruption*. The module is the first in a proposed series of non-traditional training tools for DG officers, and it presents users with an introduction to anti-corruption programs and the steps involved in designing an anti-corruption strategy. The anti-corruption module, which will shortly be available both online and on CD-ROM, is an interactive program, including several tests to measure progress and a final assignment where users will develop a strategy for a fictional country.

2. *Field Support*

Portfolio Management. In FY 2000, G/DG managed a portfolio of contracts and assistance agreements with a cumulative obligation level of \$200 million. The portfolio provided field missions with access to mission-friendly contracts, grants, and cooperative agreements, which were specifically targeted to DG programs. At the end of the reporting period, G/DG managed

17 indefinite quantity contracts (IQCs), 10 cooperative agreements, 4 grants, 1 contract, 1 participating agency service agreement, and 1 participatory agency program agreement.

Buy-ins. Mission buy-ins during FY 2000 totaled \$44,973,631, a three-fold increase from FY 1999's level of \$14,450,846. FY 1999's level was particularly low due to procurement delays in the award of 17 new IQCs. As IQCs awarded in 1996 were drawing to a close, no new contractual mechanisms were available to missions. Despite FY 1999's low buy-in level, the original set of IQCs was successful, with about \$28 million worth of buy-ins in FY 1997 and about \$34 million in FY 1998. The high level of buy-ins for the new IQCs indicates that field missions find them important for their programming needs and easy to access. Similarly, USAID-administered grants and cooperative agreements continue to attract increasing amounts of funds transferred from the field. The table on page 12 depicts the steady rise of field support dollars obligated to G/DG grants and cooperative agreements. Future levels may be expected to decline as the Center is now establishing leader with associate cooperative agreements, allowing missions to keep and manage funds in the field.

TDYs/Consultations. G/DG staff undertook some 40 TDY assignments in countries as diverse as **Guatemala, Nigeria, Russia, and West Bank/Gaza**. Assignments were used to assist mission staff in the development of broad DG and sub-sector specific strategies, definition of indicators, and temporary replacement of permanent staff. In addition, staff members traveled to **Kenya and West Bank/Gaza** for three-month rotations in each country. These field-based consultations are in addition to the dozens of others that took place from Washington in meetings with visiting mission staff, via telephone and email, or through one-on-one meetings at our annual officers workshop.

3. Program Management

Non-presence Activities. G/DG's activities in non-presence countries are conceived jointly with our NGO partners and State. The Center takes an active role in encouraging the strategic use of ESF for these activities. New activities are reviewed by Center staff, the Office of General Counsel, and the appropriate regional bureau. G/DG recently adopted new procedures to ensure better monitoring of results in non-presence countries, including reporting requirements and possible site visits. In most cases, activities provide technical assistance to civil society actors to promote political will for reform or to nascent government institutions that have little democratic history. Many of these programs work in countries that are still troubled by political instability, and training needs are great. The Center's mechanisms are flexible and allow for re-programming of funds if a country becomes ineligible for assistance or a program expands its scope. In most cases, tangible results are achieved. (See Annex B for additional details.)

G/DG currently supports 26 programs in 14 non-presence countries. For example, in FY 2000, activities included contributing funds toward the training of political parties on constitutional reform in Cote d'Ivoire and the strengthening of a regional network of women's organizations to protect the rights of women in the Asia region. G/DG has supported 15 non-presence country programs that have been completed. Activities ranged from supporting the electoral system in Cape Verde and the production of a judicial benchbook on economic legal issues in Laos, to improving the institutional capacity of labor unions in Algeria and monitoring the 1998 elections in Venezuela.

Global Programs. G/DG also manages a number of global programs through which we provide direct and/or cross-cutting support to the presence countries that USAID serves. These programs merit special mention not only because of their broad scopes of work and the monetary amounts devoted to them, but also because of their impacts across DG programming areas.

- The American Center for International Labor Solidarity (ACILS) and its predecessor regional institutes have been significant partners in implementing programs for the last four decades. These programs have contributed substantially to USAID's DG objectives. During the last year they were instrumental in ensuring free and fair elections in **Serbia**, fighting for the rule of law in the **Philippines**, and supporting democracy threatened by an authoritarian regime in **Zimbabwe**. ACILS' work with the free trade union movement in **Eastern Europe** and **Indonesia** was an essential component in those pro-democracy movements. In addition to its traditional role in helping unions develop the institutional capacity necessary to carry out its representational work in countries such as **Honduras** and **Bangladesh**, ACILS' programs are supporting new and important USAID objectives beyond democracy and governance. They include providing innovative HIV/AIDS prevention programs in **Guatemala** and **South Africa**, economic literacy education to union members in **Brazil**, advocacy for observance of internationally recognized core-labor standards in **Kenya**, women's leadership development in **Ghana** and **Nigeria**, and other cross-sectoral initiatives such as educational reforms.
- Since 1999, G/DG, in cooperation and consultation with the Department of Labor (Labor) and State/DRL, has administered anti-sweatshop programs conducted by the International Labor Rights Fund (ILRF) and the Fair Labor Association (FLA). Through the ILRF grant, technical assistance is being provided to civil society organizations in two countries to build their capacity to monitor labor practices in the apparel industry. As this program enters its second and final year, it is anticipated that the formal monitor-training curriculum will be completed by September 2001, and the field training in actual production facilities will be completed by year's end. The FLA cooperative agreement supports a consortium representing apparel and footwear manufacturers, U.S. universities that license names and logos with manufacturers, and NGOs concerned about labor conditions in U.S. and foreign factories producing for U.S. manufacturers. During its first 18 months, FLA produced a code of conduct for its member companies, a set of monitoring guidelines used to measure compliance, and criteria for certifying independent monitoring organizations and companies.
- G/DG's flagship program in anti-corruption is its grant to Transparency International (TI), the leading international NGO dedicated to the development of national watchdog groups promoting greater accountability, transparency, and good government. Today we support TI in Bangladesh, Bulgaria, Colombia, Dominican Republic, Ghana, Jordan, Mozambique, Senegal, Sri Lanka, and Ukraine. G/DG is pursuing a sustainability strategy for TI, including a possible extension of the current grant relationship as well as consideration of a USAID contribution to an endowment fund.
- The Center's principal program in the elections and political processes area is its cooperative agreement with the Consortium for Elections and Political Process Strengthening (CEPPS). In FY 2000, some \$20 million was transferred from missions,

regional bureaus, and State into CEPPS, compared with just \$2.6 million in FY 1996, the first year of the agreement.

- In March 2001, USAID awarded two five-year leader with associate cooperative agreements to support the Agency's civil society work; each is implemented by a consortium of civil society partners. Both are aimed at strengthening the planning and activity implementing capabilities of civil society organizations.
- G/DG is administering two human rights and rule of law leader with associate cooperative agreements. Like the civil society strengthening awards, these agreements constitute an innovative addition to Center-sponsored implementing mechanisms as they are structured to offer accelerated mission access to the expertise of NGO partners and respond directly to feedback from field missions on how the agreements could more effectively meet their needs. The agreements provide a rapid-response capability to both missions and State: State can use the mechanisms to obtain rapid assistance in non-presence countries. They also allow missions to issue their own grants through an accelerated procurement process. In the first year, about \$7 million was programmed for various rule of law and human rights activities in 12 countries. G/DG core contributions represent only 36 percent of this funding.

B. Factors Impeding Progress

G/DG is proud of its accomplishments. The Center is comprised of dedicated, hard-working technically specialized experts. Constraints to optimal performance are identified in this section—most notably, high staff turnover and vacancy; inherent conflict in workload and resource levels; USAID-State relations for ESF programming; and procurement backlog.

Although the number of USDH positions in the Center increased from 24 to 27 late in 2000, the resulting benefit has not been realized as seven approved positions are vacant. Three more departures from the USDH staff are planned to occur within the next several months, and replacements have not been identified. The combination of a significant level of staff turnover with an overly bureaucratic and inefficient Agency personnel system keeps the Center in a deficit operating mode. While frustrating to our efforts to build institutional capacity and expertise, G/DG takes solace in the fact that the turnover is attributed to staff promotion. The time gap from the time of departure to identification and placement of a successor, however, is an issue.

Workload continues to be heavy, and available staff face competing demands on their time. Too often priorities must be reordered, and there exists the need for reflection on longer-term requirements. The Center puts a high priority on examining trade-offs and relative returns on investment from various types of DG interventions to help refine programs and address the issues of deciding among program options and addressing overload. Similarly, G/DG continues to push the agenda of strategic choices with counterparts at State. State regional bureau and DRL propensity to allocate small amounts of funding in a non-strategic and unfocused manner creates management requirements for USAID disproportionate to the expected return on investment.

On the topic of procurement, CTO training efforts have been stepped-up, and G/DG appears to be a beneficiary of reorganization in the Office of Procurement. The procurement backlog persists, however. For this reporting period, major delays were encountered in the award of the CEPPS II Cooperative Agreement and two new leader/associate awards for civil society strengthening. A number of other "carry-over" FY 2000 priorities remain undone, including a new RSSA with the Department of Agriculture and modification of cooperative agreements with

the International Labor Rights Fund and the Fair Labor Association for the “no sweat” initiative. A complicating factor is exceedingly high draw-down rates on two of the 17 new IQCs the Center issued in the past year. Policy inflexibility appears to prevent amendments to increase award ceilings as needed. G/DG will consequently be forced back into the procurement process in order to redo something we had thought was behind us for the next several years.

C. Issues for Senior Management Consideration

Three resource-related issues have been identified for senior management attention: USAID-State coordination in the DG sector, clarification of G/DG’s role in implementing foreign policy priority programs, and development of USAID policy guidance on DG programming priorities.

At its core, the issue of USAID-State coordination concerns how resource allocation decisions are made in the DG sector. Without agreed-upon criteria, USAID and State regional democracy funds are allocated without overall strategic rationale, and synergies between development assistance funds and other funding sources are not realized. G/DG has worked closely with key State actors (S/RPP, S/P, and DRL) to develop and adopt criteria that could facilitate a more strategic decision-making process. This issue has been raised with the new leadership at State with good receptivity. Once the full leadership team is in place at State and USAID, G/DG will resume its push for appropriate inter-agency coordination for a more strategic allocation of resources.

Meanwhile, the Center will continue to address a broader concern—the “institutional gulf” between USAID and State personnel working in the DG sector. Efforts to break down the institutional barriers to closer cooperation will be pursued, including cross-training of DG officers at FSI and State officers at our annual training workshop; participation in joint DG assessments in selected countries; and, once the Center reaches its full staffing complement, exploration of personnel exchanges with key State offices involved in DG programming.

The third issue concerns resource allocation and the development of policy to better guide the DG investment. G/DG has, in its first stage of technical leadership, defined approaches used in the sector and key lessons learned in these approaches. The next level of technical leadership will involve judgements about the types of assistance that maximize returns on investment, in particular types of countries. To date, G/DG efforts have been concerned with establishing a strong presence in the DG field. Mission experimentation has been encouraged in every kind of developmental setting, the “territory” has been defined, and an inventory of strategic as well as practical approaches has been collected. The challenge now is to evaluate that experience and lay an empirical foundation for the development of more specific guidance on the program areas in which we should be engaged and the types of programs that yield highest return on investment. The more immediate objective of the Center’s planned evaluation agenda is to determine how, and under what circumstances, USAID-financed DG programs are effecting sustainable, positive changes in the political environment of target countries, and whether in fact these changes are contributing to the countries ability to build sustainable democracies. Senior management support for an extensive evaluation agenda will be important to an efficient and effective process and ultimate Agency-wide acceptance of resulting policy. The issue here will be to support evidence-based guidance that some approaches, while supported by strong constituencies, may not be worth pursuing in terms of likely accomplishments.

D. Areas for Improvement

G/DG has identified three areas for internal improvement: continued development and use of standard operating procedures; continued improvements in program management; and improved workload management through better definition of priorities.

A series of standard operating procedures has been prepared and issued within the past year. Examples include those on time and attendance, official travel, non-presence country activity review and approval processes, record keeping and file management, activity closeout procedures, and delegation of authorities to team leaders. Efforts will continue to systematize procedures and empower staff as means to improve efficiency and effectiveness in the face of high turnover and vacancy rates.

Management and staff find organized portfolio reviews to be particularly meaningful program management exercises. G/DG will continue to develop the procedures to make these effective fora for the review and resolution of both strategic and operational issues. At the same time, the Center will increase its outreach to partners, in a more informal manner, to increase dialogue on key DG implementation issues, such as managing for results.

The most intractable issue is that of workload and day-to-day priority setting. Criteria are being developed by each team for the assessment of TDY and USAID/W consultation requests; non-presence country work remains to be rationalized with State; and the technical agenda is being assessed for narrowing of scope. The Center realizes it has a long way to go before reaching resolution on this issue, but there is at least a growing sense of problem definition and understanding.

SELECT PERFORMANCE INDICATORS

I. Technical Leadership

Training Report. The Center’s training agenda, begun in 1997, has involved training of USAID democracy officers in all of the DG program areas. It occurs through our annual officers workshops, regional workshops, NEP training, and topical conferences. The following chart indicates training encounters, where “encounters” are the total level of participation for all sessions.

Year	Training Encounters
1997	208
1998	667
1999	617
2000	552

Publications Report. G/DG launched its Technical Publication Series in March 1998 and its Occasional Papers Series in November 2000. Both are designed to share programming experience and lessons learned with USAID field missions and the Agency’s implementing partners. Since that time, the Center has produced 12 papers.

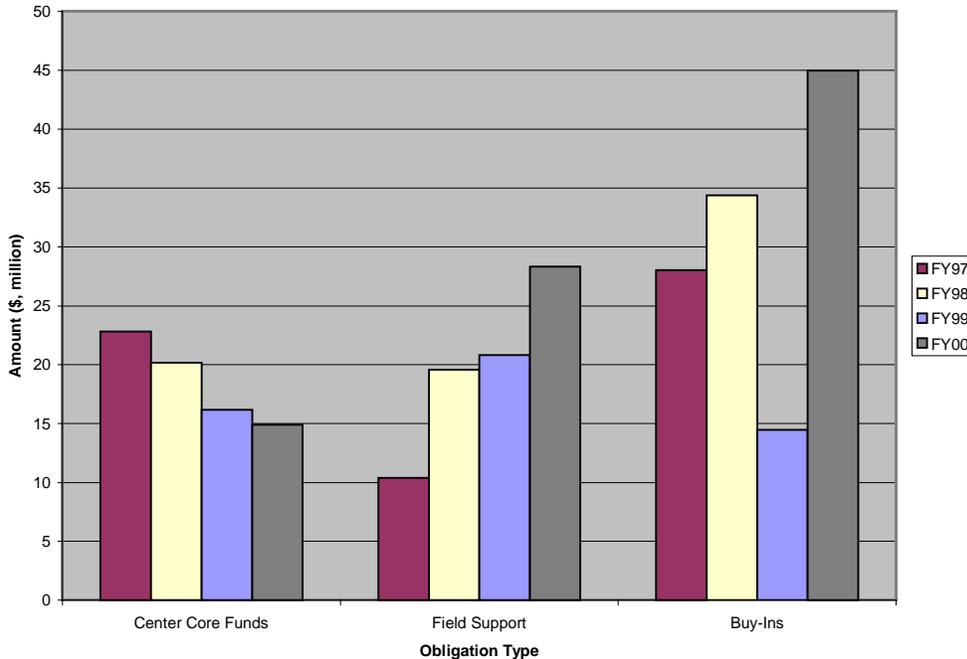
- 1998** *Democracy and Governance: A Conceptual Framework*
 Alternative Dispute Resolution Practitioners Guide
 Civil-military Relations: USAID’s Role
 Handbook of Democracy and Governance Program Indicators
- 1999** *A Handbook on Fighting Corruption*
 USAID Political Party Development Assistance
 The Role of Media in Democracy: A Strategic Approach
- 2000** *Managing Assistance in Support of Political and Electoral Processes*
 USAID Handbook on Legislative Strengthening
 Decentralization and Democratic Local Governance Programming Handbook
 Conducting a DG Assessment: A Framework for Strategy Development
 Understanding Representation: Implications for Legislative Strengthening
- 2001 (coming)** *Civic Education Handbook*
 Participation and Economic Reform
 Advocacy Paper
 Accountability Paper
 Civil Society Strategies
- 2002 (coming)** *Labor Strategies Manual*
 Guide for Case Management
 Strategic Framework for Justice Sector Assistance
 Study on Judicial Independence
 Conflict Paper

Web Report. G/DG launched its internal site in April 1999 and a revamped Agency-wide external site in December 1999. The following chart highlights the amount both sites have been used by USAID personnel and the public.

	2nd Qtr. 2000	3rd Qtr. 2000	4th Qtr. 2000	1st Qtr. 2001
Internal – inside.usaid.gov/G/DG				
Hits (Entire Site)	37,845	35,406	33,032	27,523
Hits (Average Per Day)	413	389	358	298
Visitors Who Visited Once	87	276	299	253
Visitors Visiting More Than Once	54	156	171	122
External – www.usaid.gov/democracy				
Hits (Entire Site)	99,489	104,779	130,715	170,708
Hits (Average Per Day)	1,095	1,149	1,419	1,857
Visitors Who Visited Once	7,937	7,732	7,778	11,589
Visitors Visiting More Than Once	1,932	1,965	2,041	2,842

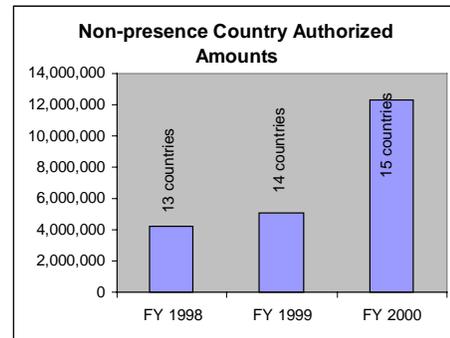
II. Field Support

In measuring the Center's support to the field, we use funding obligation levels to show the relevance and utility of G/DG-sponsored grants, contracts, and cooperative agreements to missions. This chart outlines these levels for FYs 1997 to 2000. FY 1999's buy-in level was particularly low due to procurement delays in the award of 17 new IQCs.



III. Program Management

Non-presence Country Activity. The Center's activities in non-presence countries, conceived jointly with State and our partners, provide assistance where no USAID Mission is present. Many of these countries are foreign policy priorities, and most involve support to civil society or to nascent government institutions that have little democratic history. The chart shows how many country programs were managed and how much funding was authorized for each year. NOTE: Funding was authorized for Guinea-Bissau; however, activities were never initiated.



Global Programs. Global programs, such as the core labor program with the Solidarity Center, are administered by Center staff with expectations of direct accomplishment. Among accomplishments reported by the American Center for International Labor Solidarity in FY 2000 are the following: 173 political and economic programs (13,886 participants) held to increase the participation of workers in political advocacy and public policy processes.

Selected trade unions strengthened internally

- 291 conferences with 8,552 participants
- 240 educational activities with 10,635 participants
- 104 training programs with 2,907 participants
- 113 exchange programs with 8,169 participants

Enhanced democratization of trade union structures (figures do not add up to 100 percent)

- Participants who are rank-and-file members
44.0 percent
- Participants who are branch/local leaders
17.0 percent
- Participants who are national leaders
9.7 percent

II. THE CENTER'S SECTOR-LEVEL ACCOMPLISHMENTS

A. Strategic Assessment/Program Design

The Center assists USAID Missions and other parts of USAID and the USG to define country-appropriate programs to assist in the transition to and consolidation of democracy. To help make strategic decisions on how and when to invest for greatest impact, G/DG has developed a flexible strategic assessment framework designed to analyze country-specific political conditions and craft targeted program interventions. *Conducting a DG Assessment: A Framework for Strategy Development*, after several years of refinement, was published in November 2000. In addition, the document was distributed at the 2000 DG Partners Conference and DG Officers Workshop, where specific training was held on applying the framework to make strategic choices. The document has been heralded both inside and outside the Agency by academics and practitioners as one of the best applications of development assistance theory in the field of democracy. Through its application, Center staff and partners conducted assessments and helped to develop strategies for a number of countries:

- G/DG has continued to provide advice about program design and orientation for State's priority DG countries, especially **Indonesia** and **Ukraine**, where Center staff and partners provided on-site technical assistance. Democratic transitions are underway in both countries, and their success is critical to USG interests.
- G/DG collaborated with the all four regional bureaus to conduct comprehensive DG assessments in **Jamaica**, **Macedonia**, **Pakistan**, and **Uganda**. These assessments reviewed conditions, opportunities, and constraints for democratic development. In each case, the strategic recommendations have helped inform the missions' (or embassy in the case of Pakistan) strategic thinking as they have designed their DG portfolios.
- The Center also participated in conflict vulnerability assessments in **Peru** and **Uganda**. In both cases, these assessments helped the mission design programs in all sectors (not only DG) that either helped address the potential causes of conflict or ensured that USAID's development portfolio would not inadvertently exacerbate existing tension.

G/DG provided strategic advice and technical assistance through travel to **Morocco** to work with this mission to refocus its DG strategy; to **Peru** to conduct a DG and conflict assessment that was used by the mission to develop its five-year strategy; and to **Angola**, **Kenya**, **Kosovo**, and **Uganda** to help the missions conduct strategy-related research, design their DG strategies, develop performance monitoring plans (PMPs), and initiate new programs under those strategies. Under a Center-managed IQC, G/DG provided support to help eight other missions to conduct sectoral and sub-sectoral assessments to help missions design successful DG programs.

G/DG has participated in ongoing efforts to strengthen the Agency's conflict prevention and post-conflict capacities. Center staff have continued to improve a draft of a modified strategic assessment methodology for use in post-conflict environments. Center staff also designed and moderated a session about DG programs in environments of conflict that was held at the annual partners conference.

Finally, G/DG's efforts at systematically measuring country-level political change are beginning to yield crucial lessons that will assist missions in designing DG programs that are better able to address existing barriers to democratic reform.

B. Managing for Results

The Center continued to work to meet high demand for technical assistance and training in managing for results (MFR). After a successful dissemination campaign, G/DG's *Handbook of Democracy and Governance Program Indicators* has become an essential tool for USAID Missions, consultants, and partner organizations in the process of developing results frameworks and PMPs. Indeed, reliance on the handbook has facilitated and improved collaboration. It remains one of the most frequently accessed documents on the Center's internal and external websites, and it is one of the most requested hard-copy publications.

During this reporting period, G/DG extended the breadth and depth of its MFR training. At the 2000 DG Officers Workshop, officers were offered a new course on "Innovations in Performance Measurement." The sessions provided an overview of new developments in the field: refinements in quantitative indicators, creation and use of "hybrid indicators" such as indices, and cutting-edge work on qualitative indicators.

In response to growing demand, the Center has taken the lead on developing new qualitative performance measures in democracy and governance. This initiative has already provided missions with candidate indicators in several program areas, as well as guidance, information, and training on their development and use. This effort continues to be in-step with OMB and Agency guidance, which states that qualitative indicators may be "the most appropriate and effective way of measuring an intended result." It is our deeper understanding of democratic transitions that allows us to complement quantitative indicators with nuanced qualitative performance measures.

At the Agency-level, G/DG, together with PPC, is making good on the commitment in the *2001 Agency Performance Plan* to develop a qualitative approach for measuring the impact of DG programs on country-level political change. This year, the Center initiated case studies that use the process of "impact tracing" to examine relations between program activities and significant individual, institutional, and system effects. Study teams in three countries—Bolivia, Bulgaria, and South Africa—applied this new approach relying on a carefully developed research protocol. The three teams found rich evidence—already incorporated in the *2001 Performance Overview Report*—that USAID programming often does contribute to country-level political change. G/DG will disseminate both the approach and the findings among mission staff to assist them in assessing the impacts of their DG programs. At the same time, G/DG is assessing options for expanding the country case study effort to include complementary studies for a coordinated, systematic review of democracy and governance programs and their impacts. The objective is to develop programming recommendations for specific settings through improved understanding of the relative value of various programming options in democratic change.

The Center directly assisted several missions with MFR—developing indicators, refining results frameworks, and putting together new PMPs. G/DG provided technical assistance in these areas to **Armenia, Bulgaria, Egypt, Morocco, and Panama**, among others. Additionally, Center IQCs were used to assist **Indonesia, Moldova, and Ukraine** in refining their results frameworks; **Nigeria** in implementing its PMP; **Haiti** with the second round of data collection for recently developed indices; and **Georgia** with R4 reporting.

C. Building a DG Technical Cadre

Immediately following the partners conference was the 2000 DG Officers Workshop, which was held from December 4 to 8, 2000. Approximately 125 DG officers participated in the workshop, attending concurrent sessions on DG strategy development and program implementation, coordination with the Office of Transitional Initiatives, staffing and career development, the Agency's transition to a new administration, and regional issues. All major areas of DG programming were covered in full-day sessions—rule of law; elections; civil society strategies; media; labor; anti-corruption, both an introduction course and a new seminar on political will for anti-corruption reform; decentralization; legislative strengthening; implementing policy change; strategic assessment; and performance measurement. A half-day session on integrating gender into DG programs was offered; two other new half-day sessions were launched—civil-military relations and human rights.

In 2000, G/DG managed the training of the first and second classes of DG NEPs. The program included participation in a series of overview briefings on each of the DG program areas, the annual DG officers workshop and partners conference, a series of seminars on strategic assessment and strategy development, and in-depth seminars on each of the major areas of DG programming.

G/DG placed new Democracy Fellows in the REDSO mission, Global Bureau Office of Women in Development, and the Center. Continuing Democracy Fellows were supported in the missions of **Indonesia, Madagascar, Paraguay, Russia, and South Africa**, as well as in the Center. Fellows helped USAID to apply academic and outside knowledge to its programs, while they gained on-the-ground DG experience.

Technical information continued to be disseminated both inside and outside USAID. The Center capitalized on its highly regarded and frequently visited internal and external websites to design and launch a sub-sector website on anti-corruption. This latter site presents information about and links to a growing collection of anti-corruption resources available on the Internet. Descriptions of the anti-corruption programs currently supported by USAID, other USG agencies, and the many USAID partners who are active in the effort to combat corruption are also provided. Tuesday Group continued as a weekly, Agency-wide discussion forum on DG-related issues, with discussion summaries shared Agency-wide via *Democracy Report*. G/DG continued to manage the Center's Technical Publication Series and technical notes series (*Democracy Dialogue*). It also launched the Occasional Papers Series in November 2000 with *Understanding Representation*.

D. Cross-cutting Linkages

The active exploration of cross-sector linkages is now a hallmark of the Center's technical leadership agenda. Close collaboration with the Biodiversity Support Project led to a workshop, "The Greening of Democracy and Governing the Environment," which highlighted the results of a CDIE study in cross-sector linkages and provided a forum for USAID's visiting field staff and others to share their experiences in how DG approaches have been used to produce results in the environment sector. Follow-up continues via a standing working group of participants in the Environment/Democracy and Governance Exchange (EDGE), a series of workshops aimed at deepening our understanding of linkages and ultimately aimed at developing Agency guidance to ease implementation across sectors.

The Center designed two workshops aimed at a deeper exploration of the linkages of DG approaches to work being done in other areas. Building on 10 years of experience in policy reform and implementation, which was gleaned from the Implementing Policy Change project, G/DG worked with the Africa Bureau and Office of Population, Health, and Nutrition (PHN) to produce a toolkit, “Use of Strategic Management Tools to Support HIV/AIDS Policy Change.” The workshop identified the most useful approaches in policy reform and implementation drawn from both the DG and PHN sectors and shared them with resource people and project implementors from Africa. Targeted field testing of the toolkit was undertaken in Namibia and Kenya. Given the Africa Bureau mandate to include HIV/AIDS as a cross-cutting theme in every country strategy, we believe the final version will prove extremely helpful to missions when it comes to implementing the strategy. The second workshop will explore the use of public-private partnerships to fight corruption. We have invited program implementors and DG officers to spend a half-day looking at a variety of USAID programs from the vantage points of the implementing partner, the USAID field officer, and a leading anti-corruption NGO to explore why, how, and when to employ this particular programmatic intervention in anti-corruption efforts.

E. Disadvantaged Populations

In addition to its country specific programs, ACILS ran three global programs designed to address the issues of child labor, gender, and worker rights. The worker rights project is in its formative stages, and results can not be fully assessed. The child labor and gender programs have proven to be innovative and effective in designing interventions that work.

- The child labor program is broadly focused on giving meaning to the global commitment to fight abusive child labor through advocacy, education, and piloting concrete programs that can effectively reduce the incidence of child labor. Its activities include efforts to mainstream child labor concerns among unions, advocate for adoption of ILO Convention 182, and develop educational programs to raise awareness of the risks associated with child labor. Specific programs have also been established to directly attack child labor. In **Kenya**, ACILS is working with parents, employers, and community leaders to move children out of the workplace and into the classroom. This community-focused approach has proven to be quite effective and has resulted in reduced child labor, children returning to school, increased parental involvement in a range of children’s concerns, and community-based economic development activities to replace the income lost when the children stop working. This model is now being developed in other countries with similar child labor problems.
- The gender program has conducted an assessment of women’s role in union programs and leadership in **Guatemala, India, Kenya, Morocco, Russia, Sri Lanka, and Uruguay**. The assessment led to the development of a gender policy intended to ensure that ACILS supported programs consider the best and most effective ways to include women’s issues and women’s leadership. It has also developed and disseminated a document describing innovative and effective programs that have integrated women’s issues in various programs.

Since the collapse of the Soviet Union, **Russian** women have struggled to attain full participation and equal representation in the political and civic arenas. G/DG supports activities that provide advanced skills training and assistance to help bring Russian women into the political process. With CEPPS training and assistance, women's organizations can now more effectively participate in public advocacy campaigns and influence government policies. CEPPS is also encouraging more experienced female leaders in various regions to implement mentoring programs for younger women in order to bring a new generation of women into the civic and political world.

**USAID Country and Regional Programs with
Democracy and Governance Objectives in FY 2002***

	AFR	ANE	E&E	LAC	TOTAL
Total operating units with DG objectives	27	14	20	17	78
Objective 2.1 Rule of Law	Angola, Eritrea, Ethiopia, Ghana, Liberia, Madagascar, Malawi, Mozambique, Rwanda, Somalia, South Africa, Sudan, Tanzania, Uganda, RCSA, REDSO/ESA (16)	Bangladesh, Cambodia, Egypt, India, Indonesia, Lebanon, Nepal, Philippines, Sri Lanka, West Bank-Gaza (10)	Albania, Armenia, Azerbaijan, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Macedonia, Moldova, Romania, Russia, Tajikistan, Turkmenistan, Ukraine, Uzbekistan (17)	Bolivia, Brazil, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Honduras, Mexico, Panama, Paraguay, Peru, Caribbean Regional Program, LAC Regional (16)	59
Objective 2.2 Elections and Political Processes	Angola, Benin, Ghana, Guinea, Liberia, Malawi, Mozambique, Nigeria, Rwanda, South Africa, Tanzania, Uganda, Zimbabwe, REDSO/ESA, RCSA (15)	Bangladesh, Cambodia, Indonesia, Mongolia, Nepal, West Bank-Gaza (6)	Albania, Armenia, Azerbaijan, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Macedonia, Moldova, Romania, Tajikistan, Ukraine, Uzbekistan (14)	Bolivia, Colombia, Dominican Republic, Guatemala, Guyana, Haiti, Nicaragua, Paraguay, Peru, Caribbean Regional Program, LAC Regional (11)	46
Objective 2.3 Civil Society	Angola, Benin, DR Congo, Eritrea, Ethiopia, Ghana, Guinea, Kenya, Liberia, Malawi, Mali, Mozambique, Nigeria, Rwanda, Somalia, South Africa, Sudan, Tanzania, Uganda, Zimbabwe, AFR/SD, REDSO/ESA, RCSA (23)	Bangladesh, Cambodia, Egypt, Indonesia, Lebanon, Nepal, Philippines, West Bank-Gaza, Yemen (9)	Albania, Armenia, Azerbaijan, Belarus, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Macedonia, Moldova, Romania, Russia, Slovakia, Tajikistan, Turkmenistan, Ukraine, Uzbekistan (18)	Bolivia, Brazil, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Mexico, Paraguay, Peru, LAC Regional (13)	63
Objective 2.4 Governance	Angola, Benin, Eritrea, Ethiopia, Ghana, Guinea, Malawi, Mozambique, Namibia, Nigeria, Rwanda, Senegal, Somalia, South Africa, Tanzania, Uganda, Zambia, Zimbabwe, REDSO/ESA, RCSA (20)	Bangladesh, Egypt, Indonesia, Jordan, India, Lebanon, Morocco, Philippines, West Bank-Gaza, Yemen (10)	Albania, Armenia, Azerbaijan, Bulgaria, Croatia, Georgia, Kazakhstan, Kyrgyzstan, Macedonia, Moldova, Poland, Romania, Slovakia, Tajikistan, Turkmenistan, Ukraine, Uzbekistan, Central Asia Regional (18)	Bolivia, Colombia, Dominican Republic, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Honduras, Mexico, Paraguay, Peru, LAC Regional (13)	61

* Table source: CDIE Online Crosstab Report generated March 6, 2001 with 96 percent of operating units reporting.

III. RESULTS REVIEW BY STRATEGIC SUPPORT OBJECTIVE

Operating Unit:	Center for Democracy and Governance
Program Name:	Legal systems operate more effectively to embody democratic principles and protect human rights (<i>Rule of Law</i>)
Program Number:	932-001

1. *Self Assessment: On Track*

The growing foreign policy emphasis on the rule of law (ROL) and human rights has placed G/DG in a central position within the USG on justice sector development and assistance, and the Center works continuously with various bureaus in the Departments of State, Justice, and Treasury, as well as with the Federal Judiciary on these issues. The growing worldwide interest among USAID Missions in ROL programming has provided the impetus for extensive G/DG engagement with a number of USAID Missions with important transition programs, including **Indonesia, Kosovo, and Nigeria**. Throughout 2000 the Center consolidated and indeed strengthened its reputation within USAID, gained over the past five years, as a technical center of excellence in justice sector development and assistance, providing timely expert guidance, supplying direct support and assistance to field missions, and sustaining USAID's leadership role in this evolving field.

2. *Summary of the Strategic Support Objective*

Respect for ROL and development of an effective and equitable justice system are essential underpinnings of a democratic society, including the functioning of a market-based economy. USAID Missions with a ROL objective (now numbering 59) implement activities to address fundamental challenges to democratic governance, such as disruption of public order and security; maintenance of checks and balances; systematic abuses of political power and official authority; impunity; inequality before the law; abuse of human rights; and the absence of effective mechanisms for resolving disputes peacefully.

The purpose of this program element is to enhance the effectiveness of U.S. assistance and field-based efforts to improve the ROL through justice sector development and assistance. The Center leads USAID efforts to develop both technical expertise in justice sector assistance and strategic approaches to problems within the justice sector. G/DG identifies lessons learned, best practices, and innovative techniques that help justice systems to operate in accordance with democratic principles, including improving access to justice, administration of justice, and protection of human rights. G/DG also designs, manages, and procures implementing capacity, develops and disseminates technical guidance, carries out assessments in the field, and assists USAID Missions and other USG agencies in devising strategies to enhance the rule of law.

3. *Key Results*

Foreign Policy. Successful inter-agency coordination and collaboration are vital to achieving U.S. foreign policy objectives. Throughout 2000 G/DG consolidated the strong relations developed in previous years with various offices within State, including the senior ROL coordinator; the Bureau for International Narcotics and Law Enforcement (INL); DRL; and the

Office of War Crimes. USAID is looked to on a continuing basis to provide policy makers with information and insights informed by our country knowledge and programming experience in rule of law. G/DG also participated frequently in National Security Council (NSC) discussions and meetings pertaining to ROL and justice sector assistance in complex contingencies and peace-keeping operations. The net result of Center participation in these deliberations has been to ensure that U.S. foreign policy decisions pertaining to justice sector assistance are informed by USAID's technical leadership and experience in the ROL field. In this context, G/DG engaged in ongoing consultations with State, NSC, and Justice on Presidential Decision Directive 71: "Strengthening Criminal Justice Systems in Support of Peace Operations." The directive was signed by the president in February 2000 and features a prominent role for USAID and G/DG.

In 2000 the Center played key roles in **Colombia, East Timor, Kosovo, Indonesia, Nigeria, and Rwanda** both by participating in inter-agency meetings in Washington and on inter-agency (and in Rwanda multi-donor) justice sector assessment and design missions. This participation led directly to the design of programs based on, among other things, USAID's experience in justice sector assistance.

Technical Expertise. Over the past five years G/DG has developed a reputation within USAID for technical expertise in the ROL field. This reputation is based on continuing support to missions in designing and reviewing strategies for justice sector development and assistance, and statements of work to implement those strategies, as well as performance monitoring and other assistance. In a variety of formats, the Center has compiled lessons learned in the field of justice sector assistance. *Alternative Dispute Resolution: A Practitioners' Guide* was published in G/DG's Technical Publication Series; it summarizes worldwide program experience with alternative dispute resolution. The Center has also published monographs on judicial training, justice sector institutional strengthening, code reform, and building constituencies for justice sector reform, all based primarily on the Latin American experience.

- The strategic framework for justice sector assistance that was developed and reported in 1999 was further refined in 2000, and again formed the basis of training ("Rule of Law Fundamentals") in December 2000. The framework has been applied in several new mission programs, including **Indonesia, Nigeria, and Rwanda**.
- With the assistance of its partner the International Foundation for Election Systems (IFES), G/DG has been the driving force in studying judicial independence and impartiality within the justice community. The Center and IFES have established a strong partnership through workshops, conferences, and commissioned papers and reviews pertaining to judicial independence and impartiality. The effects of this partnership have been an increased attention to the issue within the international donor community and a greater emphasis on strategies to ensure judicial impartiality and independence.

Field Support. Programs managed by G/DG have been effective in meeting a variety of field and regional needs. In addition, State has relied on the Center's rapid-response capability to address immediate foreign policy priorities. Through G/DG's portfolio of justice sector assistance programs, some \$23 million in FY 2000 was programmed by USAID and other USG agencies.

The Center continued to forge strong partnerships with field missions, providing direct TDY support and other consultative services for field implementation of justice sector activities. Key results of direct field support by G/DG staff are represented by programs in **Colombia, East**

Timor, Indonesia, Jamaica, Kosovo, Madagascar, Mongolia, Morocco, Nigeria, Rwanda, South Africa, and West Bank/Gaza. Its efforts at aiding the field through NGOs and private contract partners continued to bear fruit. For instance, one partner began a briefing on its highly regarded Kosovo War Crimes Documentation project by praising our rapid-response mechanism and calling it a USAID success story about how effective procurement mechanisms and a cooperative relationship with USAID empowers NGOs to generate timely results.

- With assistance from G/DG, USAID/**Rwanda** designed and has begun implementing an activity aimed at prosecuting the most serious cases related to the 1994 genocide. USAID is partnering with the U.S. Department of Justice (Office of Overseas Prosecutorial Development Assistance and Training) in this activity.
- USAID/**Mongolia**, with assistance from the Center, initiated a major innovative justice sector reform activity in cooperation with the government of Mongolia to modernize and improve the overall performance of the state justice institutions.
- G/DG participated in a design team for justice sector assistance in **Kosovo**. This team designed a justice sector program to assist Kosovo's transition to democracy.
- The Center played a key role in an inter-agency assessment of justice sector needs in **Indonesia**. In consultation with the Departments of State, Justice, and Treasury, this team submitted a proposal for a balanced justice sector program in Indonesia.
- At the request of State/DRL, G/DG took part in an on-the-ground assessment, the planning and implementation of a justice sector assistance project in **East Timor**. This assistance addresses both investigation and prosecution of serious crimes committed by Timorese militias and others following the 1999 national referendum, and the extreme training needs of the nascent Timorese judiciary.
- The Center assisted USAID/**South Africa** in developing and integrating an important role for Justice in the mission's "Criminal Justice Reform" program, jointly demonstrating an outstanding example of inter-agency cooperation in the ROL field.
- G/DG provided extensive support to USAID/**Jamaica** in reviewing its overall democracy and justice sector strategy. USAID/Jamaica sponsored Center participation in a conference organized by the Inter-American Development Bank on its behalf.
- G/DG provided a key member of the team that designed the multi-million dollar justice/human rights program, which was part of the supplemental for **Colombia** aimed at reducing drug trafficking and improving democracy.
- Responding to rapidly changing circumstances in the occupied territories, USAID/**West Bank-Gaza**, with assistance from G/DG, integrated a criminal justice component into the broader ROL program. This program, although suspended due to the eruption of violence in the fall, helped to develop important contacts for the USG within the Palestinian law enforcement community.
- USAID/**Nigeria** invited G/DG to play an important role in developing a justice sector program. This program is innovative in that it provides a framework for donor cooperation as one of its primary concerns. G/DG then played a further key role in procuring goods and services on behalf of the mission for the purpose of implementing

the activity. In addition G/DG has provided extensive support to OTI/Nigeria in introducing democratic policing in Nigeria.

- Through expedited design of a court administration activity led by Center staff, USAID/**Morocco** was able to honor the U.S. ambassador's commitment to provide the Moroccan Ministry of Justice with timely assistance to Morocco's commercial courts. The activity's early launch in FY 2000 was also critical to leveraging larger World Bank resources, which are expected to follow and be shaped by the USAID pilot.

Program Management/Direct Development Impact. In addition to providing technical guidance and field support, G/DG directly manages several justice sector assistance activities in non-presence countries. In **Oman**, for example, through its partner grantee the International Development Law Institute, the Center is implementing a series of workshops and seminars to contribute to the modernization of the Omani justice sector. In **East Timor**, G/DG manages a portfolio of grants to support the establishment of accountability for serious abuses, as well as building the justice sector institutions necessary to support a democratic transition process. In **Laos**, the Center previously managed an activity resulting in the publication of the first benchbook for the Lao judiciary, helping to establish standards of accountability and norms for professional performance. G/DG also managed non-presence country justice sector assistance in **Afghanistan, Algeria, Kosovo, Sierra Leone, and Yemen**. The cumulative impact of this direct management role has been to give the USG a capacity to implement justice sector assistance in non-USAID countries, thereby extending the reach of foreign assistance as a foreign policy tool.

USAID has had a longstanding relationship with the International Relations Committee of the Judicial Conference of the U.S. Courts. A recent example of its international assistance work comes from **Russia**, where the Russian Federation Council of Judges has used information obtained under our program to implement a judicial reform program. This program will create organizations and institutions based on those in the U.S. Federal Judiciary. Yu Sidorenko, chairman of the Russian Council, in a letter to Chief Justice William Renquist thanked the chief justice for the assistance provided by the Federal Judiciary under USAID's program and advised him of its importance to the Russian reforms. A team of federal judges visited Russia last month to follow-up on this technical assistance.

4. Performance and Prospects

The Center has accomplished a great deal in the area of justice sector development and assistance in the past five years. This past year G/DG met expectations in this area by developing several new areas of technical expertise, including a theoretical underpinning for assistance to support judicial impartiality and a strategic framework for justice sector assistance. The Center continues to provide direct support to numerous USAID Missions; train staff; and manage a portfolio of assistance awards and contracts capable of providing USAID Missions with a full spectrum of implementing options for justice sector assistance. Interaction with other USG agencies and donors involved in ROL continues as well.

Through its technical publications, the Center is contributing to a growing understanding of the relationship among the rule of law, the justice sector, and democracy. Existing publications include the *ADR Practitioners Handbook* and a series of monographs on the empirical experience of justice sector assistance in the LAC region. This year three additional technical publications will be completed: the strategic framework for justice sector assistance,

the judicial independence study, and the handbook for case management. These represent the anticipated core publications for the Center in the justice sector during this reporting period. Also during this period G/DG anticipates upgrading the skill and knowledge level of the USAID cadre engaged in justice sector development and assistance through an ongoing training effort.

The ongoing demand for TDY assistance and the labor-intensive process of implementing the judicial independence technical leadership project imposed unforeseen burdens on a small team. This prevented the implementation of regional training proposed last year and the more rapid development of the strategic framework for justice sector assistance.

G/DG still harbors some concerns over the paucity of technical expertise at large for justice sector assistance. Although USAID partnerships with both private and public, profit and non-profit organizations over the past five years have helped to expand the community of experts and institutional capacity, it is still difficult to meet the global demand. That demand, reflected in the number, variety, and magnitude of task orders and other requests for assistance and acquisition from USAID Missions and USG agencies, has exceeded expectations. Newly authorized assistance and contract awards are being drawn down much quicker than anticipated. This is problematic as procurement is a long, slow process. G/DG is considering possible options to alleviate this problem, including a new solicitation for additional contracts in the field of justice sector assistance.

5. *Possible Adjustments to Plan*

The Center's justice sector team continues to be handicapped by insufficient staff. The team currently has four authorized USAID direct hire (USDH) positions, of which three are "on board." The fourth USDH is anticipated in 2001; however, additional support may be needed to effectively perform both technical leadership and field support responsibilities as justice sector assistance expands throughout the Agency and the USG.

As mentioned above, the need for additional contracting authority will likely require a previously un-anticipated procurement for additional IQCs. This can be anticipated to be a significant task which will have to be absorbed by the Center.

In justice sector assistance, G/DG must weigh the competing time demands of technical leadership, mission support, and program management. It has not proven effective to try to develop technical leadership or to provide direct mission support with non-USDH staff. Further, fellows and other non-USDH staff are prohibited from direct governmental program management responsibilities. As a result, the burden of all three mandates falls upon the USDH staff.

Developing technical leadership and taking pro-active stances with respect to USG policy in the field of rule of law are the main ways by which the Center keeps USAID in the forefront in this field. Ensuring that USAID's voice is heard and its place kept at the inter-agency policy table is a high priority for G/DG, which we believe cannot be compromised if a comprehensive approach to the rule of law is to prevail in our foreign policy priorities.

At the same time, the Center must be responsive to USAID Missions' requests for support and consultation. Indeed technical leadership derives from field experience, so the G/DG commitment to field support, through TDYs and electronic and other media, is vital and cannot be reduced. With a small ROL team, the Center risks becoming fully captured by the highest foreign policy priorities, such as the Nigeria transition or Plan Colombia. Such capture would prevent G/DG from providing quality service to lesser priority countries, which may not have

regional bureau staff to depend on for DG assistance. Yet, the Center cannot afford to be absent from either the USAID or the inter-agency discussions on the highest priorities. Therefore, G/DG must develop flexible but clear strategic guidance on prioritizing country needs. It is to this end that the Center is preparing with State and regional bureaus a strategic allocation framework.

The Center is currently engaged in an inventory of USAID's work in the field of justice sector assistance, which will document USAID's worldwide accomplishments in the rule of law. This activity is expected to be completed by mid-2001. This will form the basis of determining what has yielded results in the field of rule of law. Also, during the course of 2001, the Center will work toward publishing its *Guide for Case Management, Strategic Framework for Justice Sector Assistance*, and *Study on Judicial Independence*.

6. *Other Donor Programs*

Since its establishment, G/DG has developed good working relations with a number of international and bi-lateral donor organizations, including the World Bank, the United Nations Development Programme, the Inter-American Development Bank, the Asian Development Bank, British DFID, Canadian CIDA, and Swedish SIDA. USAID has historically been a leader in this area among donors, having begun ROL programs nearly two decades ago. USAID continues to influence other donors by focusing on political aspects of the rule of law and by developing strategic approaches to justice sector reform and improvement. USAID has also led the way in results-based assessment and evaluation of justice sector performance. During 2000 the Center engaged major donors in its developing and vetting the study on judicial impartiality. G/DG also introduced its strategic framework justice sector assistance at a donor conference in Japan.

7. *Principal Contractors, Grantees, or Agencies*

Over the past five years the Center has contributed to the development of both institutional and individual expert capacity in justice sector assistance, both within the USG and in the private sector. During 2000 the Center awarded three contracts for ROL implementation: two of them—National Center for State Courts and Institutional Reform and the Informal Sector—to educational organizations, and the third—Management Sciences for Development—to a small business. In past years G/DG has worked with numerous other private sector contractors in implementing justice sector activities. In addition the Center, in 1999, pioneered leader with associate cooperative agreements with two NGO consortia: the RIGHTS Consortium consisting of Freedom House, the National Democratic Institute for International Affairs, and the American Bar Association; and the International Foundation for Election Systems/International Human Rights Law Group consortium. The Center also manages an inter-agency agreement with Justice and has a strong working relationship with the International Relations Committee of the Judicial Conference of the U.S. Courts, supporting federal judges' involvement in judicial reform. Finally G/DG manages a grant to a public international organization, the International Development Law Institute.

Operating Unit:	Center for Democracy and Governance
Program Name:	Political processes, including elections, are competitive and more effectively reflect the will of an informed citizenry (Elections and Political Processes)
Program Number:	932-002

1. Self Assessment: On Track

According to Freedom House, today there are 120 electoral democracies (63 percent of the world's states), and that number has remained relatively steady in the last four years. Three new entrants joined the ranks this past year: Mexico, Senegal, and Yugoslavia; while Fiji, Haiti, and the Kyrgyz Republic recently left the ranks. Freedom House also reports that there are reasons to believe that this year will offer further momentum for new transitions towards democracy and cites **Peru** as a prime candidate due to the departure of Alberto Fujimori last year and elections planned for April 2001. The Center played a significant role in the **Mexico** and **Peru** elections last year and has provided rapid-response assistance to design activities to ensure that the electoral bodies in Peru are capable of administering the new elections.

Over the past five years, we have learned more about what works and what doesn't in election support and the development of political processes. For example, we have learned that authoritarian regimes are now stealing elections long before election day, thereby rendering some large international observation missions that come in for two to three days a waste of time and money. Our programming has adjusted to this growing trend, and USAID is funding more and more pre-election assessments. Last year we helped USAID/**Peru** to design a series of pre-election assessments that were carried out by the National Democratic Institute for International Affairs (NDI) and The Carter Center. We also worked with USAID/**Zimbabwe** to design a program consisting of a pre-election assessment by NDI and an election day observation by the International Republican Institute (IRI). As for the historic elections in **Mexico** this past year, G/DG funded a series of pre-election assessments by IRI and then worked with State and the mission to program \$730,000 in ESF for election day observation missions.

Operationally, our implementing partners are also improving their capacity to carry out programs in elections and political processes overseas. In the early 1990s when USAID began providing significant support in this area, many of the long-term staff fielded to implement programs had technical expertise from elections work in the United States or Europe, but very little experience transferring these skills in other countries. Our partners developed a cadre of technical experts who now have such experience, not just from one country, but oftentimes from several countries. Also, our implementing partners are using experts from countries in which they have worked and which have gone through similar transitions, to provide assistance in other countries. A good example of this is that NDI has hired the head of the Pro-democracy Association in Romania to run its assistance program with the Kosovo Action Center Initiative, an election monitoring organization in Kosovo.

Technical Leadership: In FY 2000 G/DG issued *Managing Assistance in Support of Political and Electoral Processes* and took the lead in ensuring that missions and regional bureaus are aware of and using the Center's USAID *Political Party Development Assistance* guidance. G/DG is taking the lead, with PPC, in developing expanded policy for issuance in the ADS later this year. Center guidance of this kind was important in programming funds for political parties last year in **Serbia** and **Haiti**.

Grants and Contracts: Center grants and contracts were used to implement programs in 38 different countries, with almost \$20 million of mission funds going through CEPPS and another \$9 million in IQC task orders being signed last year. Overall the Agency budgeted \$37 million for elections and political process assistance in FY 2000.

Field Support: Elections and political processes field support consists of a combination of TDY support, access to easy-to-use grants and contracts and assistance with using them, and technical assistance and advice based upon lessons learned and the latest experiences from other USAID Missions. TDY support was targeted to key countries holding elections this past year, including **Bosnia, Cote d'Ivoire, Haiti, Kosovo, Mexico, and Peru.**

2. Summary of the Strategic Support Objective

Elections are the ultimate means by which citizens hold their government accountable. Elections can also be a primary tool to expand political openings, increase citizens' political participation, and offer political parties and civil society organizations an opportunity to mobilize and organize supporters and develop alternative platforms with the public. USAID operating units with elections and political processes objectives now number 46, and many without specific elections objectives also do elections and political processes work.

The purpose of this program is to strengthen USAID programming and reinforce field-based efforts in the elections and political processes area. G/DG develops strategic approaches and program support to assist elections administration activities in an impartial and professional manner; train indigenous organizations to monitor elections and implement civic and voter education programs; improve citizen representation within political parties; and train newly elected legislators and local officials. To do this, the Center designs and manages new grants and contracts, develops technical leadership materials, carries out field assessments, assists the field in writing election strategies, and provides direct on-site assistance when needed. G/DG's approach focuses on institutionalizing and sustaining democratic electoral and political processes.

3. Key Results

Over the last year, many prominent elections stand out as successful (i.e., governments were held accountable, political openings were expanded, citizen participation was increased, and meaningful political choices were offered to voters). In **Cote d'Ivoire, Peru, and Serbia**, local civil society organizations effectively monitored and documented flawed election processes which, when combined with the work of democratic opposition movements and targeted international diplomatic pressure, served to overturn fraudulent results. G/DG took the lead, with the embassy, in on-site assistance to develop a post-coup election strategy in **Cote d'Ivoire**. In **Zimbabwe**, forces unleashed via the election process began to hold the government accountable for abuses and introduce pluralism into a one-party state. In **Mexico and Senegal**, long-dominant political parties accepted their defeat in free and fair elections, ushering in a consolidation of democracy. A pervasive problem remains whereby incumbent parties retain power through controlling electoral processes and/or undermining effective political competition, as seen in **Belarus, Haiti, Kyrgyzstan, Tunisia, Uganda, Ukraine, and Zimbabwe**. G/DG funded a new program to support the fledgling opposition in **Belarus** this year, and Center grants and contracts were used to implement programs in **Uganda, Ukraine, and Zimbabwe** as well. Assuring that

elections are meaningful competitions, and not simply symbolic gestures by governments with questionable commitments to democracy, is a key challenge for the future.

FY 2000 Elections

	Elections Assisted by G/DG	Elections Not Assisted by G/DG
USAID Presence Countries	Albania, Azerbaijan, Bosnia, Croatia, Georgia, Haiti, Kosovo, Mexico, Mongolia, Peru, Romania, Sri Lanka, Tanzania, Uganda, Zimbabwe	Dominican Republic, El Salvador, Ethiopia, Kyrgyzstan, Lebanon, Paraguay, Russia, Senegal, Uzbekistan
Non-presence Countries	Cote d'Ivoire	Guinea-Bissau, Mauritius, Niger, Serbia, Thailand, Venezuela

Of the 31 developing countries that held elections during the rating period, more than half (16 in all) were assisted by the Center through cooperative agreements and contracts, technical advisory services, and/or TDYs. For the developing-country elections that were not assisted by G/DG, a select few were either supported by others in USAID/Washington (e.g., OTI and E&E Bureau in **Serbia**) or established their own grants or contracts with election partners based on G/DG-developed guidance (e.g., **Dominican Republic, Kyrgyzstan, Paraguay, Russia, and Senegal**). Still others were countries in which neither State nor USAID provided election assistance (e.g., **Guinea-Bissau, Mauritius, Niger, Thailand, and Venezuela**).

Elections were not the exclusive focus of G/DG's assistance. Broader support to political processes, especially political parties, was an important aspect of the Center's work over the last year. Political party development programs were implemented, using G/DG mechanisms, in countries like **Algeria, Guinea, Nigeria, Romania, and Ukraine**, and new programs were designed with our assistance in **Belarus, Bulgaria, and Russia**.

Foreign Policy. Throughout FY 2000, G/DG consistently demonstrated its capacity to support and influence key foreign policy objectives by designing, funding, and implementing new elections-related programs, often in a fast-paced, high-profile environment. This is thanks in large part to its CEPPS mechanism, recognized by colleagues within USAID, at State, and at the NSC as a mechanism that can rapidly respond to foreign policy priorities with critical assistance. Given their strategic and programmatic expertise, Center personnel have also been asked by other USG offices to participate in critical foreign policy electoral initiatives:

- Growing out of our work on peace negotiations in FY 1999, this year Center staff helped design and mobilize support for municipal elections in **Kosovo** via multiple TDYs, use of the CEPPS agreement, and ongoing support from Washington.
- In **Nigeria**, Center mechanisms provided assistance for political party development and legislative assistance—follow-on activities to those implemented last year related to voter education, election administration, and political party and civil society poll-watcher training. CEPPS continues to provide USAID/Nigeria with critical post-election support.
- G/DG developed the criteria for credible elections upon which USG assistance in **Angola** would be predicated and was asked by the embassy to present those criteria to the Angolan government at the U.S.-Angola Consultative Commission.
- The Center sent staff to **Peru** in December for 10 days to assist the mission to design election administration technical assistance for the groundbreaking April 2001 elections.

- More than \$8 million in ESF from State was obligated into CEPPS last year, including for programs in 10 countries in which USAID is not present.

Technical Expertise. Since its creation in 1995, G/DG has created a body of technical expertise related to elections and political process that is documented in publications and disseminated via subject-specific training. Two documents in the Technical Publication Series are key: *Managing Assistance in Support of Political and Electoral Processes* (January 2000) and *USAID Political Party Development Assistance* (April 1999). USAID democracy officers are becoming more knowledgeable about elections and political process programming due to efforts of the Center to develop and disseminate these materials to the field.

- Political party assistance policy for ADS is being drafted in collaboration with PPC. The policy clarifies how political parties can appropriately be assisted given the legal and policy restrictions against USAID influencing the outcome of elections and translates USAID best practices into clear policy guidance.
- At G/DG's 2000 DG Officers Workshop, Center staff trained participants from the field on the political party assistance guidance.
- At the same workshop, participants learned about principal election assistance activities and how to apply international election administration and observation standards through training and a case study organized by Center staff.

Field Support. In addition to those missions mentioned above, Center staff provided on-site support to USAID Missions in the form of long- and short-term TDYs, as well as direct assistance from Washington. Implementing mechanisms developed and made available to the field by G/DG continued to provide rapid-response capability. In FY 2000, the Center's elections IQC with IFES expired, and two new IQCs, one with IFES and one with Development Associates, were signed. In addition, G/DG has a \$525,000 rapid-response task order with IFES, which allows us to field teams almost upon request. The Consortium for Elections and Political Process Strengthening (CEPPS) cooperative agreement, which allows missions to access NDI, IFES, and IRI services easily and quickly, was extended an additional year and its ceiling increased another \$25 million, ensuring a smooth transition as we issued a request for applications for a new \$70 million follow-on cooperative agreement. This cooperative agreement, which was recently awarded to CEPPS, includes \$3 million obligated by the Center to forward fund mission programs to allow for rapid response. CEPPS usage has increased compared to previous years, rising from the previous three-year average of \$12 million in mission add-ons to \$19.7 million in FY 2000.

- TDY support for elections and political process programs this year included **Bosnia, Cote d'Ivoire, Haiti, Kosovo, Macedonia, Mexico, and Peru**. G/DG grants and contracts were used to support elections and political process activities in 38 countries.
- **Mexico:** G/DG played a significant role in the July 2000 presidential elections by (1) funding pre-election programs and assessments in the year preceding the elections; (2) facilitating the obligation of \$730,000 in the Center's cooperative agreement with CEPPS a month before the elections to enable the partners to field international observer missions and to support domestic observers; and (3) sending Center staff to assist a short-staffed mission during the busy election period.

- **Peru:** The Center has played a key role in partnership with the geographic bureau and the USAID Mission, beginning in the fall of 1999 and continuing through today. As mentioned above, G/DG worked with the mission to design a program that included a series of pre-election assessments by NDI and The Carter Center, and obligated those funds as well as additional State funds through CEPPS. Although these assessments highlighted major problems in the electoral process, the government of Peru was not willing to make the changes recommended to ensure a free and fair election. Following these seriously flawed elections, secret videotapes showing high level officials involved in bribery came to light, leading to then-President Alberto Fujimori's resignation. In October 2000, the Peruvian legislature passed constitutional reforms setting up a new electoral process and scheduled new presidential and congressional elections for April 2001. In December, G/DG sent a democracy officer to Lima to work with the mission to design a program of support for the elections. Shortly thereafter a team was deployed under a G/DG rapid-response task order to provide immediate assistance to the three bodies responsible for elections in Peru. At the same time, staff worked closely with the mission and IFES to design a longer-term program for two of the electoral bodies to ensure that they had the capacity to administer the April 2001 elections. This \$1.2 million program is being done through the Center's cooperative agreement with CEPPS.
- In FY 2000, 34 countries tapped CEPPS for programs, including
 - \$7.1 million for Africa: **Angola, Benin, Burkina Faso, Cape Verde, Central African Republic, Cote d'Ivoire, Guinea, Niger, Nigeria, Senegal, Sierra Leone, Tanzania, Uganda, and Zimbabwe**
 - \$4 million for Asia/Near East: **Algeria, Bangladesh, Cambodia, Iraq, Mongolia, Oman, Sri Lanka, West Bank/Gaza, and Yemen**
 - \$7.8 million for Europe and Eurasia: **Albania, Armenia, Azerbaijan, Bosnia, Croatia, Georgia, Kosovo, Romania, and Ukraine**
 - \$815,000 for Latin America and the Caribbean: **Mexico and Peru**
- Some examples of impact from these programs include
 - Strongly worded critiques of the **Zimbabwean** electoral processes by international observation teams deployed through CEPPS set a critical precedent that elections can be condemned as flawed before election day if the pre-elections environment is sufficiently weak.
 - G/DG technical assistance led to a more strategic plan to improve **Cote d'Ivoire's** troubled return to civilian rule. G/DG's work was instrumental not only in crafting an assistance program that documented the flaws of the electoral process and improved citizen's participation in it, but to insuring the timely implementation of a program that had a very short time horizon.

Program Management/Direct Development Impact. With the significant shift toward the use of CEPPS as the implementor of choice by field missions and regional bureaus, improved systems to sustain quality program management have been put into place. To ensure that missions have access to this centrally procured grant for political process programming, G/DG raised the

ceiling and added a year to the term of the agreement, allowing for an additional \$25 million in mission obligations and programs through December 31, 2001.

- In FY 2000, Center funding made possible the development of handbooks on political party building, implementing legislative programs, media monitoring, parallel vote tabulation, civic organizing, best practices in citizen participation and legislative development, elections methodologies, and promoting legal and constitutional reform for free and fair elections. An example of how these efforts have impacted our implementing partners' activities is that NDI reported that its civic organizing programs now follow a less ad-hoc and a more structured and strategic approach as a result of developing the handbook on civic organizing.
- The Administration and Cost of Elections project (ACE), implemented under G/DG sponsorship, is a unique on-line elections planning database produced in partnership with the United Nations and International IDEA. This project (www.aceproject.org) is notable in that it allows for greater self-sufficiency, cost effectiveness, and sustainability of election administration efforts. Distribution of the second cut of over 5,000 copies of the CD-ROM version of ACE is continuing. Four thousand updated ACE User's Guides—1,000 English, 1,000 French, and 2,000 Spanish—were printed and are being distributed through the three partner organizations, increasing the access of this information beyond English speakers and people with access to the internet. USAID funding this year is expanding the information on ACE to include a module entitled "Media and Elections," sponsoring a Russian-language translation of the ACE material, and continuing an effort to create the Electoral Process Information Project, a database with standard information on country-level election processes. The impact is obvious with UNDP now translating it into Arabic with its own funding.
- G/DG continues to support the F. Clifton White Resource Center, which houses comprehensive information on elections and political processes worldwide through a collection of primary documentation. In FY 2000, the resource center staff hosted visits by election officials from **China**, representatives from Consejo Electoral del Estado **Mexico**, a delegation of parliamentarians from **Moldova**, NGO representatives from **Kazakhstan**, **Tajikistan**, and **Uzbekistan**, political party members from **Belarus** and various others. Officials from **Mexico's** Federal Electoral Institute also used the resource center in planning for Mexico's historic presidential election last summer. G/DG continues to work with IFES to assure sustainability of the resource center when CEPPS funding ends in December.
- G/DG, through CEPPS, initiated a program to promote global access to DG resources. The project provides selected partners' documents via the Internet in order to make the material available to a wider audience of democratic activists around the world. The aim is to pass on lessons learned that could serve as useful examples for developing more effective programs to promote democratic change. The project is currently in start-up.
- Using G/DG grants and contracts, comprehensive voter education activities facilitated greater participation in the electoral and political arena among targeted citizens in **Bosnia-Herzegovina**. Although the electoral process has sensitized people to focus attention on their leadership, it fails to provide them with adequate representation and, thus, threatens to undermine their already limited engagement in the process. Effective

and stable democratic governance, however, relies on active citizen involvement. The activity assists community groups to document their needs, address their concerns to appropriate municipal officials, and exercise due diligence and persistence in obtaining results. Results of the activity identified a significant increase in the number of cases in which citizens initiated and sought better service from their local government, as well as an increase in the number of citizens directly contacting public officials.

- G/DG's support to Latin American Political Leadership Academy through CEPPS has bolstered young leaders in **Bolivia, Colombia, Guatemala, Mexico, Paraguay, and Venezuela** to push for democratic renewal within political parties. Throughout various regions, the Center fosters associations of election authorities and officials as a way of networking and building intra-regional cooperation to promote and sustain effective election administration beyond USAID assistance.
- Center programs continue to support cross-fertilization among countries. For example, the budding Association of African Election Authorities (AAEA), led by the president of the **Ghanaian** election commission, reinforced ties within the region when **Burkina Faso** paid its membership dues and joined the ranks of **Gambia, Ghana, Kenya, and Uganda** as paying AAEA members. G/DG continues to support the publication and distribution of the AAEA newsletter. The wealth and diversity of articles represented in the newsletter indicates a solidification of the AAEA's role as a primary vehicle for the exchange of election- and democracy-related information all across the African continent. The goal is for the AAEA to become self-sustaining, much as the Association of Central and Eastern European Election Officials is poised to become as USAID support through IFES is scaled back.

4. Performance and Prospects

The Center continued to meet the targets it identified in last year's R4, including wide dissemination of its elections manual and political party development assistance paper to integrate more effectively lessons learned into the Agency's DG assistance. G/DG, working with PPC, built upon its political party development paper and drafted policy guidance. The Center continued to respond rapidly and strategically to political imperatives in elections and political processes in places such as **Cote d'Ivoire** and **Kosovo**. Finally, our training modules for G/DG's annual training conference were updated to include the new draft political party policy and international standards for election administration and observation.

The Center is on track to meet other objectives such as developing and applying a better management tracking system for CEPPS and the new IQCs; closing-out the CEPPS I agreement and starting up CEPPS II, which was recently signed by the Office of Procurement; continuing support for partners' new approaches in the field; and ensuring the sustainability of the ACE and F. Clifton White Resource Center.

During the next reporting period, G/DG will finalize Agency political party assistance guidance that builds upon best practices and continues to assure adherence to its provisions, particularly for programs using Center agreements and contracts. G/DG will begin research on the critical issue of campaign finance reform, analyzing research to date and developing documentation and recommendations on program approaches to assist field officers in tackling a tough-but-essential issue in democratization. The Center aims to provide technical assistance and field support to a select number of priority countries (e.g., Kosovo, Peru, and Uganda) over the

course of the next year, helping to assure that Agency best practices and lessons learned are consistently applied in policy and program-level decision-making. G/DG also expects to continue to respond rapidly and strategically to political imperatives in elections and political processes and will work to improve our monitoring of non-presence country programs. Finally, G/DG will continue to update its elections and political processes training modules for the Center's annual training conference.

5. *Possible Adjustments to Plan*

G/DG's work in the elections and political processes program area is unique in that it manages a significant amount of ESF resources on behalf of State (over \$8 million this year), much of which is programmed in countries where USAID does not have a presence (10 countries this year). The Center, thus, must manage programs in these countries without a USAID Mission. A review of non-presence activities this year has indicated that there are weaknesses in the monitoring and reporting on these activities by our embassies. Therefore, staff has to provide clearer and more detailed guidance to embassies when new ESF programs are initiated through CEPPS, to ensure proper monitoring and reporting. Furthermore, G/DG staff must have the ability to travel to non-presence countries to monitor activities. This past year, country clearance was denied to a staff member traveling to a country for which more than \$3 million of ESF was programmed through CEPPS (including \$1.5 million in FY 2000). The Center is vulnerable in its management of non-presence CEPPS activities, and, unless major improvements are made, G/DG should reconsider whether it should manage non-presence activities on behalf of State.

Since elections and political process programs usually involve an "event" (the election), which is usually called with very short notice, the Center must be very flexible and able to shift focus and plans immediately. Known elections planned for 2002 include Algeria, Bosnia, Burkina Faso, Colombia, Macedonia, Mali, and Ukraine, but already rumors of province-wide elections in Kosovo abound, and instability in other countries in which USAID works may mean early elections in others. Balancing the rapid-response needs of election programs and the long-term intensive management required of ESF-funded activities in non-presence countries will be difficult and may require additional adjustments to plan.

Programmatically, G/DG has identified political party assistance as an area for further analysis and research for several reasons. First, citizens do not respect political parties in many of the countries in which we work. This is mostly due to irrelevance and corruption. The Center is concerned that our programs may be having limited impact because we are not taking into account this very important factor in our programming. More importantly, the changes required to address corruption in electoral systems and to introduce issues-based platforms are long-term efforts, while many of our efforts are short-term in nature. Second, many of the parties with which we work are personality-based with little connection to citizens or civil society. Although the purported goal of many of our programs is to build broad-based representative political parties, we are afraid that we may not be achieving that goal. Moreover, progress at achieving broader based constituencies in the parties could be a powerful tool to begin to chip away at the problem of corruption. Finally, an outside scholar reviewing USAID's democracy building assistance has suggested that partisan assistance should be provided in countries where "a fledgling opposition of obvious pro-democratic intentions is up against an entrenched, clearly anti-democratic regime, and the playing field is profoundly unlevel because the ruling power is abusing its access to state resources and putting obstacles in the way of the opposition." (Thomas

Carothers, *Aiding Democracy Abroad*, pp. 147-148). This would suggest targeting our assistance to countries such as Zimbabwe and pre-Kostunica Serbia. This same scholar has suggested that while our efforts in helping parties to learn more sophisticated campaign techniques may be successful, “it is exponentially more difficult to transform their basic structures, interests, and goals” and suggests that it will take “decades or generations.” (pp. 153-155). G/DG proposes a research agenda for the next two years, which would take a more in-depth examination and review of USAID programs in elections and political party building to address some of the concerns raised above. The results will shape future programming and ensure that we have having the maximum impact based on appropriate program approaches.

6. *Other Donor Programs*

G/DG has sought to expand its relationships and to coordinate more effectively with other donors to disseminate Center lessons learned and to leverage the funding of other donors. To disseminate its best practices and develop cutting edge approaches, G/DG has participated in election assistance conferences and has conferred with such organizations as IDEA, CAPEL, CIDA, and local electoral bodies. For example, the elections and political processes team is consulting with IDEA on its political party assistance programs and publications to ensure that we are not duplicating work already done, and more importantly, to build on those efforts to advance the state of the art in elections and political process programs.

Due to the highly political and publicized nature of elections in key countries, UN organizations, governments, and a myriad of other donors often provide large-scale assistance on a selective basis. In these situations, the Center has worked closely with the UN, the UNDP, the Organization for Security and Cooperation in Europe, the Organization of American States, the EU, DFID, and bi-lateral organizations to coordinate donor activities and to leverage other funds. A good example of this is Sierra Leone where USAID and DFID are splitting the costs of technical assistance being provided through IFES. The ACE project continues to be a multi-donor effort involving the UN, IDEA, and USAID (through IFES); UNDP is also translating its documents into Arabic. The National Endowment for Democracy and its core grantees also complement long-term USAID programs with grassroots civic education, political party training, and legislative strengthening in countries where USAID is no longer active or in urgent situations where it can more appropriately provide assistance.

7. *Principal Contractors, Grantees, or Agencies*

The Center’s elections and political processes implementing mechanisms comprise one cooperative agreement and two IQCs. The CEPPS cooperative agreement includes the International Foundation for Election Systems, the International Republican Institute, and the National Democratic Institute for International Affairs. This cooperative agreement has recently been re-competed and a new 5-year, \$70 million agreement was signed with CEPPS for a second phase of implementation, which begins in the next reporting period. Two new IQCs were awarded during this period to IFES and Development Associates.

Operating Unit:	Center for Democracy and Governance
Program Name:	Development of politically active civil society (<i>Civil Society</i>)
Program Number:	932-003

1. Self Assessment: On Track

Civil society programs continue to grow and receive the largest share of DG resources (44 percent), an amount that has doubled in magnitude since 1993. Because of research and analysis initiated in the late 1990s, the Center is now providing more advanced state-of-the-art guidance in the design and implementation of programs in such areas as civic education, media development, advocacy approaches, labor union engagement, and the design of civil society strategies in general—although there continues to be a gap between what we now know based on experience and the application of this knowledge in field programs. In labor, increased resources continue to flow in support of anti-sweatshop and child labor eradication initiatives. The Center continued to provide civil society support to key countries, including **Indonesia** and **Nigeria**. G/DG has designed new cooperative agreements to support mission civil society programs, but as a consequence of protracted delays (over six months) encountered in securing grant and contract approvals in OP, these grants are just becoming available to missions.

2. Summary of the Strategic Support Objective

The capacity of civil society (including advocacy groups, media, and labor) to effectively advocate on behalf of political reform is a key element in contributing to successful democratic transitions, since civil society represents one important source of input as voices strive to be heard by governments, particularly in authoritarian states. The Center supports this program by developing, evaluating, and disseminating new and improved strategic approaches and methodologies for supporting an expansion of opportunities for civil society to have its voice heard. The program addresses the legal and regulatory environment for NGOs, labor, and the media; institutional capacity-building; effective advocacy techniques; and strengthening of democratic political culture through education of citizens on rights and responsibilities in a democracy. G/DG's work in the civil society area is carried out through the design of grants and contracts for use by field missions—linking knowledge gained in this area with easy procurement, development of new guidance for progress based on an analysis of existing programs, assistance to missions in carrying out DG assessments and designing programming strategies, and provision of other field support.

3. Key Results

G/DG provided assistance to a number of USG bodies during the reporting period—from assisting State through on-site technical assistance to its delegation to Indonesia and through provision of its expert opinion to its Advisory Committee on Labor Diplomacy, to TDY assistance to key countries such as **Indonesia**, **Nigeria**, and **Russia**. The Center continued its research into areas such as civil society strategies, civic education, DG-EG linkages, and advocacy, and it anticipates completing program guidance handbooks on each of these areas in the coming year.

Foreign Policy.

- The civil society team leader represented USAID on an inter-agency State-led design team to **Indonesia** in January 2000. The team drafted a three-year DG transition strategy which resulted in a major expansion of the DG elements of the mission program.
- The secretary of state's Advisory Committee on Labor Diplomacy, with representation from labor, business, academia, government, and the International Labor Organization, is examining the broad scope of State's labor function using operational and policy lenses. In September 2000, the committee released its first report, *A World of Decent Work: Labor Diplomacy for the New Century*. Given its significant worldwide investment in labor and through Center initiative, USAID became a valued participant in committee meetings. Its role helped to ensure an informed process that respected the contributions of the various organizational actors within the USG to the labor diplomacy function.
- G/DG has been an integral partner of USAID's working group on trade and development, bringing a new respect for internationally-recognized core labor standards to issues of privatization, market liberalization, and trade capacity building of the less developed countries. The focus of the Center's engagement on trade issues during this reporting period was expanding the internal base of knowledge on the linkages between trade and DG, particularly with regard to labor issues and the democratization of the beneficiaries of trade liberalization. This has included holding high-level seminars, drafting official Agency papers, contributing to briefing materials for USAID delegates to international trade and development meetings, and participating regularly in intra-Agency fora.
- The third accomplishment was the creation of a intra- and inter-agency group to coordinate and cooperation on programs designed to attack the worst forms of child labor. The civil society team, along with G/HCD, is now managing the coordination with Labor in designing and implementing child labor eradication programs around the globe. In particular, the civil society team's programs with ACILS, the Fair Labor Association, and the International Labor Rights Fund are now, to the extent feasible, closely coordinated with other USAID programs that address child labor and with Labor. In addition, the civil society team is facilitating the coordination between Labor and regional bureaus and missions that are engaged on the child labor issue. It is anticipated that this partnership will lead to the more efficient and effective use of USG resources devoted to the international child labor problem.

Technical Expertise. In the past several years, the Center initiated assessments in developing strategy and program guidelines for elements of the DG civil society portfolio, including an examination of USAID country strategies in civil society; media development; civic education; advocacy; trade union development; and DG and economic growth linkages. These topics were given high priority either because the Agency was devoting considerable resources in these areas or were potential candidates for increased resource flows. In both instances, it was felt that further knowledge was needed on appropriate objectives and practices in these areas of civil society programming. Much of the research and analytical work on these subjects is now completed, with findings and recommendations represented in a series of papers now being published and distributed to relevant audiences.

- **Civil Society Strategies.** Over the past two years, G/DG has undertaken an assessment of USAID strategies in several countries, gleaned Agency experience with supporting civil society as part of its DG portfolio. The basic civil society assistance design was crafted in the early 1990s, and, particularly given the increased flow of support to this area, it was time to review these approaches, to gauge how well they have worked, and to suggest modifications to them. In carrying out this assessment, G/DG conducted field studies in **Bolivia, El Salvador, Kenya, Mali, Mozambique,** and the **Philippines**. Several of these country reports are being published as G/DG Occasional Papers. A synthesis with specific program guidance will be published during the first half of calendar year 2001 and later published as DG guidance; a workshop is planned for the latter half of the year.
- **Media.** In 1997, the Center undertook an initiative to focus greater attention on media development, recognizing that the absence of a free and independent print and broadcast sector presented a major constraint on advancing democratic transitions and filling the gap created by USIA's absorption into State. In the past two years G/DG added staff with extensive media development experience, enabling the Center to undertake a desk and field review of lessons learned by USAID and donors in media development. Published in 1999, *The Role of Media in Democracy: A Strategic Approach* identifies the basic steps in designing a media strategy. The Center's enhanced expertise in media enabled it to offer over the past two years a one-day media training course at the DG training conference, with assistance from the Europe and Eurasia Bureau and G/PHN.
- **Civic Education.** By the mid-1990s, USAID was allocating some \$30 million annually to civic education initiatives; however, virtually no evidence was available regarding program impact. Accordingly, in 1997 G/DG launched a series of quantitative survey assessments focusing on impact with both adult programs and school-based efforts in the **Dominican Republic, Poland,** and **South Africa**. Results indicated a modest but significant impact among adult participants, with more mixed evidence for the school programs, but with a clear conclusion that, unless coupled with an environment in which the lessons of civic education could be put into practice, the returns on investment tend to be low. A technical synthesis of the impact studies was reviewed by outside experts at a G/DG-sponsored workshop in December 2000 and will be published as a G/DG Occasional Paper. Another upcoming occasional paper covers a broader analytical survey of illustrative Agency-sponsored initiatives in civic education. A synthesis of both papers is being published in 2001 as a G/DG Technical Publication on civic education strategies.
- **Labor.** In 2000, field studies were conducted in **Indonesia, Kenya,** the **Philippines, South Africa, Thailand,** and **Zimbabwe** to identify leading contributions of labor programs to USAID's DG, EG, and HIV/AIDS objectives. These studies, augmented by additional research, form the basis for technical guidance to missions, regional bureaus, and other USG agencies. Topics include elections, transitions to democratic governance, women's empowerment, workplace-based HIV/AIDS education and treatment, policy reforms, child labor, workforce development, and economic literacy. The intent of the guidance is to demonstrate how labor can become a more integral feature of DG strategies and programs and of the activities to be undertaken in the new labor grant.
- **DG-EG Linkages.** Several countries have established economic fora to bring together relevant actors from government and business, and sometimes labor and other civil

society constituencies to weigh the merits of various policy options, identify problems, air grievances, propose solutions, and attempt to forge consensus on how to implement economic reform. In 1999, G/DG undertook four field studies (**Ghana, South Africa, Uganda, and Zimbabwe**) to evaluate the effectiveness of these fora. A synthesis paper of the studies is being published now; it outlines what economic fora can do, how they do it, and what sorts of results they have produced. Overall, economic fora are important procedural innovations for reassuring stakeholders that they will have a voice in economic reform, but they are marginal contributors to macro-level political and economic restructuring. They have greater impact when political opening is already taking place, and the key determinant of their political and economic impact is the preference of political leaders to make them relevant or to sideline them. The main contributions of economic fora to democracy and governance are at a much more specific level—small gains in transparency and accountability, increases in the level of trust between participating stakeholders and government, expansion of government and civil society experience with cooperative decision making, increases in the public discourse on economic issues and educating government policy makers—all of which will take significant time to ripen into systemic change. The paper also provides additional background on the DG-EG connections and USAID's efforts to pursue those connections.

- **Advocacy.** Since the early 1990s, USAID has supported civil society organizations (CSOs) engaged in advocacy as part of its DG portfolio. When USAID first started supporting CSOs' advocacy efforts, there was little systematic information available about the field of advocacy or how to achieve desired results. Experience has now helped to define this emerging area of DG activity. In order to capture this experience the Center has prepared a handbook on advocacy for DG officers. Compiled in consultation with the top advocacy trainers, it distills the best practices and lessons learned in advocacy programming. The handbook focuses on the components of advocacy in order to promote USAID's use of it as a civil society tool and explains how to strategically incorporate advocacy into a mission's strategy and implement its subsequent programs. The handbook will be published in 2001.

Field Support. In addition to those missions mentioned above, G/DG staff was directly involved, both in the field and from Washington, in assisting missions in the development of DG strategies and assessments of the civil society environment.

- G/DG provided four weeks of TDY support to USAID/**Nigeria** to assist with an assessment of the mission's civil society program. It also provided essential program management backstopping support at a time when most of the mission staff was preparing for a POTUS visit.
- A TDY to **Namibia** enhanced the Center's ability to provide quality backstopping to the mission while it also brought attention to the need to improve the contribution of the Global Bureau's labor program to address HIV/AIDS and workforce development.
- G/DG assisted the **Indonesia** mission in developing a media strategy to support the country's democratic transition. This is one of the largest media programs outside of the E&E region.

- Center staff wrote the first draft RFA for independent print media development in **Russia** and assisted drafting of an RFA on information activities in the Central Asian Republics (CAR). A TDY to Russia to observe a newscast competition among regional television stations throughout the Russian Federation updated USAID/Russia about current trends in non-state regional TV in Russia. USAID/Russia's successful use of regional newscast competitions as a training mechanism was incorporated as an illustrative approach in the USAID/CAR draft RFA on information activities.
- The above-noted TDY to **Russia** also included participation in a conference on public broadcasting sponsored by the U.S. Consulate in St. Petersburg. The forum provided G/DG with information for a new section in the Center's planned updated version of its media strategies handbook on facilitating democratic transitions from state-controlled broadcasting to public TV and radio systems. G/DG also sent a short memorandum to USAID/**Kosovo** on how to support development of public broadcasting.
- Center IQCs provided rapid-response technical expertise to support civil society programs of missions and regional bureaus. This included an activity to enhance the capabilities of **Moroccan** NGO staff so that they could overcome their relative isolation from the general public and political decision-makers as well as successfully negotiate financial support from them. Administrative and management support to **Indonesia's** civil society strengthening program continued as the country transitions from its authoritarian past to participatory democracy. Training in a computerized financial management system was provided to **Palestinian** CSOs through June 2000.

Program Management/Direct Development Impact. During the rating period, two new IQCs were awarded. The bidding and evaluations of a civil society RFA were completed and submitted to OP in July 2000, but the two new agreements have only recently been awarded.

The American Center for International Labor Solidarity (ACILS) and its predecessor regional institutes have been significant partners in implementing programs for the last four decades. These programs have proven invaluable in helping USAID achieve its DG objectives, while also supporting economic growth. For instance, ACILS programs have supported the rights to freedom of association and speech in non-democratic countries throughout the world. They have also engaged in the fight for free and fair elections, the rule of law, and the rights of civil society around the globe. ACILS work with the free trade union movement in **Eastern Europe**, **Indonesia**, and **South Africa** was critical in pro-democracy movements in those regions. The recent ACILS electoral program in **Serbia**, for example, played a key role in the democratic election that ousted Milosevic. In addition to its traditional role in helping unions develop institutional capacity necessary to carry out pro-democracy work, ACILS programs now support new and important USAID objectives beyond democracy and governance, such as innovative HIV/AIDS programs, economic literacy education, advocacy for observance of labor standards, and women's leadership development.

Beyond specific programmatic objectives, ACILS programs have proven invaluable through its support for democratic principles. The programs have been effective vehicles for institutional governmental reforms—such as transparency and anti-corruption measures and increasing citizen access to justice. They have also facilitated the free flow and broad distribution of information on critical democracy and development issues, such as voter education, core labor standards, and HIV/AIDS prevention information. Finally, ACILS programs have proven very

effective at bringing disenfranchised citizens into the political and economic development process by providing a platform for the concerns of indigenous people, women, and children.

The quantitative indicators form part of the picture of ACILS' contribution. In 2000, the Solidarity Center conducted more than 1,000 USAID core-funded activities in 28 countries in Asia, Africa, and the Americas. These activities reached over 72,000 participants directly but, by these participants sharing their experiences with many times that number, their impact was multiple. E&E mission buy-ins enabled programs in an additional 10 countries to conduct 482 activities involving over 54,000 participants. Furthermore, ACILS' central strategy of building extensive, sustainable coalitions with other pro-democracy organizations created the opportunity for many other CSOs to benefit from the expertise and programs of ACILS.

But the quantitative measures do not fully capture the impact of the ACILS program. The examples below describe both the ACILS activities in various countries but, more importantly, the impact of those activities in advancing USAID democracy objectives.

- Nevavisnost, a **Serbian** trade union confederation supported by our ACILS grant, mounted an effective electoral campaign to support the democratic opposition in the September 2000 elections despite threats, harassment, and arrests. Nevavisnost held 56 public get-out-the-vote (GOTV) meetings attended by over 1,700 organizers. It co-sponsored 200 additional public GOTV events, helped train a cadre of election monitors, and deployed over 1,400 monitors on election day. Nevavisnost also conducted a concerted GOTV media campaign, broadcast messages on radio and TV, distributed hundreds of thousands of leaflets and brochures, and provided over 100,000 inserts in newspapers in 12 cities. This activity contributed significantly to Milosevic's defeat and helped move Serbia closer to true democratic governance.
- In **Zimbabwe**, the ACILS-supported trade union program provided the basis for a broad-based coalition of CSOs campaigning for democratic reforms. ACILS partner and its affiliates created an alternative (the Movement for Democratic Change) to the Mugabe-controlled political apparatus in order to free Zimbabwe from a one-party state. The movement successfully fought constitutional amendments that would have given Mugabe dictatorial powers, and it was able to elect 57 members of parliament, who countervail Mugabe's authoritarian rule. The coalition works with donor countries, international financial institutions, the UN, and other countries in the region to maintain pressure for democratic reforms.
- In **Ghana**, ACILS has supported the promotion of gender equity in the trade union movement. Participants in the program conducted a worker census in all 128 districts of Ghana. The census data will be used as the basis of the GTUC's social policy preparation. ACILS also contributed to building the capacity of the GTUC's Research Department to handle this and similar large-scale projects. Other workshop series resulted in important resolutions from participating unions, such as eight unions committed to seek changes to union constitutions, allowing greater participation of women; 12 unions committed to take advantage of joint empowerment programs offered by the Women's Department; 19 unions committed to seek to hire and train more female organizers and provide gender training to organizers; and 100 percent of participants reported they were ready to take leadership roles as shop stewards. Proof of the resulting elevation of genuine gender equity policies is the designation of the former head of the Women's Wing to the influential position of director of

international affairs and the election of a woman to the post of deputy chairperson. Furthermore, virtually all of the contracts negotiated since the inception of the grant now contain gender neutral language and prohibit discrimination based on sex. The programs in **Nigeria** and **Brazil** had similarly successful women's initiatives.

- In **Mozambique**, ACILS supported minimum wage campaigns (in areas not affected by floods). The campaign resulted in an increase in the minimum wage for all workers, including those who are not union members. This is the second time that workers have succeeded in convincing government of the necessity for wage increases as a result of their advocacy campaigns. As a result of ACILS' programs, workers have realized significant economic gains resulting from effective trade union education and training programs that have upgraded their negotiating skills.
- ACILS continued its support for the **Bangladesh** Independent Garment Workers Union Federation (BIGUF), a women's labor organization. In the past year BIGUF's membership, in a coalition with other NGOs, resulted in placing the garment workers' minimum wage issue on the agenda of the parliamentary labor standing committee. BIGUF was also invited to be a regular participant in the recently established parliamentary subcommittee on the garment sector. Factory management has also adopted BIGUF booklets on Bangladesh labor standards as guides to insure compliance with labor laws. Finally, the BIGUF has established a number of schools for former child garment workers that allow them to continue their education.
- In **Sri Lanka**, ACILS supported the labor movement in its advocacy for electoral law reform and enforcement. One result of this effort has been that the Institute for Human Rights linked 50 lawyers with government workers in pursuing cases before the Human Rights Commission of Sri Lanka alleging election law violations and political victimization during the election period. To date, 34 cases have been filed through this free legal aid program.
- In the **Philippines**, ACILS has supported the trade union movement as it undertakes a major advocacy campaign to improve the performance of the judicial system. The program resulted in a partnership between the Public Attorney's Office (PAO), the Commission on Human Rights, the Department of Interior and Local Government, and the lawyers' association as allies in the campaign to improve access to and administration of justice. The program, through its gender sensitivity training programs for PAO lawyers, family court judges, and other constituencies in Luzon and the Visayas, resulted in the reforms of gender based policies and procedures.
- ACILS support to **Brazil**'s confederation of trade unions has expanded their role as labor rights advocates as the country continues its process of economic modernization. Over the past year, the Confederacao General dos Trabalhadores member unions—with ACILS' technical assistance—continued to widen its members' access to new information and representation techniques, with a particular emphasis on leadership training. This has resulted in more effective representation of their members in the collective bargaining process.
- With ACILS' support, significant progress was made in promoting the right of workers to unionize in **Honduras**. Despite intimidating tactics by several businesses—sometimes abetted by local police—a transport workers strike from

October 2 to 4, 2000, resulted in a national effort to enforce collective bargaining legislation and three major victories were achieved. After a long conflict, the Honduran Brewery signed a collective bargaining agreement with the union. Likewise, one of the country's major cement producers recognized the workers' union and led to improved wages and benefits. The Honduran Seafarers Union successfully achieved recognition by two major Italian-based shipping firms as their sole labor contractors. Thus a precedent for other carriers represented in Honduras has been set. The union also negotiated a more liberal shore leave policy for its members away on voyages of three months or more. Similar success in union capacity building and representational success was achieved in **Kenya**.

- ACILS' representation in **Guatemala** provided technical assistance to three major unions, including health care workers, aimed at mitigating the spread of HIV/AIDS among its membership and the workforce at large. With a matching grant from Public Services International, the unions conducted 11 training programs resulting in over 80 union-member health care workers being recognized as qualified HIV/AIDS prevention promoters. These individuals symbolize organized labor's commitment to stopping the spread of the disease among the Guatemalan workers. During the past calendar year, the promoters reached over 5,000 workers with educational materials in interactive settings. The **South Africa** program has realized significant success in HIV/AIDS education among its union members and families.

For the first time, the Center's core labor program will be open to competition, as the current grant to ACILS will expire in September 2001. The labor RFA—the core funding for the next five years of global labor programs—was published for comment in January 2001. Issued as an RFA in April 2001, it is expected to be awarded in 2001. This new round of funding provides USAID with an opportunity to further examine the role of labor in international development and how labor can support USAID Mission objectives. We anticipate a new approach to labor funding more consistent with funding for other G/DG-supported program areas.

Since 1999, G/DG, in consultation with Labor and State/DRL, has managed anti-sweatshop programs conducted by ILRF and FLA. These programs respond to efforts by U.S. universities, apparel and footwear manufacturers, and labor and human rights NGOs to address the growing concerns about dangerous and inhumane conditions in factories producing apparel and footwear for U.S. consumers. The purpose of both programs is to identify the essential labor standards that should be observed in production of these goods and to ensure, through an independent labor-monitoring program, that the factories are complying with these standards.

The FLA is a consortium representing apparel and footwear manufacturers, U.S. universities that license names and logos with the manufacturers, and NGOs concerned about labor conditions in U.S. and foreign factories producing for the manufacturers. The parties' common interest is the eradication of sweatshop conditions in apparel and footwear factories worldwide. During its first 18 months, with Center support, the FLA has produced a code of conduct for its member companies, a set of monitoring guidelines used to measure compliance, and criteria for certifying independent monitoring organizations and companies.

The FLA has grown from a fledgling organization to one poised to implement factory monitoring on a global basis. Membership in the association has grown, expanding the potential scope of the program to enhancing the lives of millions of workers in the footwear and apparel industry worldwide. Participating companies have registered nearly 2,400 factories to be

monitored, and universities have reached out to thousands of licensees to promote responsible workplace conditions. During the next three years, thousands of factories will be inspected for FLA compliance and remedial measures will be initiated to correct any deficiencies.

The Center grant to ILRF is an essential piece of the USG anti-sweatshop program. ILRF is training NGOs in the knowledge and skills necessary to conduct independent monitoring intended to measure compliance with labor standards. ILRF has identified NGOs in the producing countries—initially, **Guatemala** and **Indonesia**—and builds monitoring capacity among a network of labor, human rights, academic, and women’s organizations. Support for this program is now entering its second and final year. The formal monitor-training curriculum will be completed by September 2001, and the field training in actual production facilities will be completed by year’s end. It is expected that the trained NGO monitors will be able to conduct independent monitoring for U.S. corporations affiliated with the FLA soon thereafter.

Already, the work of the FLA and ILRF is bearing fruit. The development of codes of conduct and independent monitors has sent a clear message to factory operators that there are international norms that must be respected and the means, through independent monitors, to determine compliance with those norms. Once fully implemented, the monitoring programs will help improve conditions for the millions of workers employed in the apparel and footwear industries worldwide.

4. *Performance and Prospects*

At its inception in 1995, the civil society team consisted of two USDHs and one RSSA. Small staff increments and subsequent turnover entailed giving priority attention to field service and grant management over advancing the technical agenda. However, increases in staff, beginning in 1999, allowed the team to move forward in implementing its technical agenda. As a consequence, a wide range of program guidance publications, based on research and analysis over the past several years, will be available for dissemination to donors, partners, and the development community at large; subjects include civic education, media, labor, civil society strategies, advocacy, and DG-EG linkages. During 2001, it is the intent of the Center to sponsor Washington-based workshops and training sessions at its annual workshop where the lessons learned and guidance contained in the papers can be vetted and transmitted for field application.

A number of new activities will be initiated in 2001. One project will look at DG assistance in conflict-prone and post-conflict settings, starting with assistance to civil society. The project will examine what we currently know about the repercussions of DG civil society assistance in the context of civil conflict and communal violence. The main product will be a technical publication geared toward helping DG officers think through the challenges and opportunities of working in conflict-prone environments and crafting appropriate packages of DG assistance that are based on knowledge gained from past experience.

A second project will look at how religion and democracy intersect. Given the prevalence of civil conflict with an explicitly religious dimension and the lack of democratic rule in countries with large, politicized religious communities, it is important to understand both the constructive and destructive roles that religion and religious organizations can play in new democracies, as well as the implications of non-sectarian government for democracy promotion. The emphasis will be on elaborating the types of initiatives that should be undertaken to build on the positive role that religious groups often play in supporting democratic reform and encouraging dialogue and tolerance across religious divides.

G/DG is also coordinating with the ANE Bureau to respond adequately to a congressional earmark for the funding of a journalist training program proposed by Internews and Western Kentucky University. A program grant is expected to be awarded in FY 2001.

5. *Possible Adjustments to Plan*

The team's first priority is field service to missions, its second to effective management of the various grants administered by the team, and its third to completing the technical agenda, which was begun several years ago. Its fourth priority is undertaking several new technical agenda initiatives in conflict prevention and the role of religious organizations in democratic transitions. The intent is to follow-through on the full agenda. Maintenance of staff at the full approval level of five USDH and four program-funded experts is the key to production and service as planned.

6. *Other Donor Programs*

G/DG coordinates its labor portfolio with activities conducted elsewhere in the USG, including State/DRL, the Department of Treasury, the Office of the U.S. Trade Representative, and Labor's Bureau of International Labor Affairs—particularly since Labor has received its own appropriation for international work in this area (\$83 million this year). State and USAID coordinate on funding anti-sweatshop programs. Both USAID and State fund the ILRF monitor training program being conducted in Guatemala and Indonesia. In addition, State and USAID coordinate the anti-sweatshop programs each will fund in order to avoid unproductive duplication, with USAID focused on labor related programs and State on business and other programs.

USAID and U.S. university funders to the ILRF monitor training program have been able to maximize program impact through coordination. USAID and State have funded monitor training programs in Guatemala and Indonesia. This work was subsequently expanded to three other countries—El Salvador, Honduras and Taiwan—through funding from U.S. universities concerned about sweatshop production. This expansion could not have occurred without USAID initial funding for the monitor training materials. USAID has also coordinated funding to the FLA to assure that USAID funding—representing 50 percent of total budget—is used most effectively and efficiently. Other donors—universities, member corporations, etc.—and USAID cooperate to ensure productive use of respective funding to ensure effective and appropriate use of the limited funds. USAID and NED coordinate on ACILS funding to assure that there is no unnecessary duplication of efforts or funding of duplicate programs in any country.

Increasingly USAID and Labor are cooperating in developing child labor programs. For instance, such cooperation in Bangladesh has resulted in a USAID-funded program to remove children from garment factories and placing them in to schools (through the ACILS program) being complemented by a broader child labor program in Bangladesh funded by Labor. Similarly, USAID and Labor are cooperating in designing a complementary program in Egypt to address the child labor problem in the cotton industry. USAID, through ACILS, will fund a grass-roots, community based effort to eliminate child labor in the industry while Labor, through ILO/IPEC, works with the Egyptian government, business, and labor to address the problem. Close coordination will be required between both programs.

In 1999, G/DG executed a State/DRL-funded grant to Oxford University to draft a paper outlining the legal and institutional requirements for a free and independent media. Completed in

early 2001, the publication provides clear guidelines on the environment necessary to stimulate a free and independent media; The guidance is now be translated and disseminated with the help of donors and partner organizations. The translations are being accomplished through Orbicom, UNESCO, the Moscow Media Law and Policy Center, and Serbian Radio *Free B92*. Orbicom has translated the study into French and Spanish. The Moscow Media Law and Policy Center has done the Russian version. Arrangements are being made for the translation of the study into Serbian and Albanian and by *Free B92*. Discussions are underway with a Mexican institution to undertake the Spanish translation. Once the translations are complete, the study, in Spanish, English, and French, will be posted on Orbicom's website.

The English version is found at <http://pcmlp.socleg.ox.ac.uk/EnablingEnvironment.pdf>. The West Africa Media Foundation, Internews, ABA-CEELI, and IREX are disseminating the English study. Internews publicized the URL location to listservs sponsored by Internews, ee-media, International Freedom of Expression Exchange, the International Center for Journalists, Medialaw, Center for Civil Society International, The South East Europe Network for Professionalisation of the Media, and the South East Asian Press Alliance. CEELI also disseminated a web link with the file to its offices throughout Central and Eastern Europe and the former USSR. Translations of the Serbian and Albanian studies will be online and hard copies disseminated to university law schools, journalist associations, media associations, NGOs dealing with media and human rights issues, and authorities engaged in drafting new legislation.

Lessons learned from G/DG's country studies in the **Dominican Republic, Poland, and South Africa** were applied in the design of national civic education programs in **Kenya**, to be funded by non-USAID bi-lateral donors.

7. *Principal Contractors, Grantees, or Agencies*

The Center has civil society IQCs with Creative Associates International and Management Systems International. Both IQC firms and their respective sub-contractors focus their services on the CSO capacity-building needs at the national, regional, and local levels and include design, implementation, and evaluation of activities. Illustrative activities include journalism training, provision of limited amounts of commodities (e.g., computers, ancillary equipment, and access to the Internet), and provision of small grants to professional associations and media outlets.

The Center recently awarded two leader with associate cooperative agreements for civil society strengthening to the Academy for Educational Development and Pact. These agreements will support activities for (1) establishing legal frameworks to promote and protect civil society; (2) increasing citizen participation in policy processes, implementation, and oversight of public institutions; (3) increasing the institutional and financial viability of CSOs; (4) enhancing the unencumbered flow of information through legal reinforcement, strengthening financial and management capacities of independent media and CSO media units; (5) strengthening democratic political culture and gender equity; and (6) supporting activities mitigating abusive labor conditions in factories exporting to U.S. consumer markets.

Program assistance to ACILS for the global labor program and to ILRF and FLA for the "no sweat" initiative are described in the preceding section. In media, program assistance to the Nation Institute has been completed, and a new agreement with Internews and Western Kentucky University is pending.

Operating Unit:	Center for Democracy and Governance
Program Name:	National and local government institutions more openly and effectively perform public responsibilities (<i>Governance</i>)
Program Number:	932-004

1. Self Assessment: On Track

The Center continued to make progress this year in defining appropriate interventions in the governance sector, which help lead to political transformation. Highlights include G/DG support to key DG priority countries (Colombia, Indonesia, Nigeria, and Ukraine) through providing direct TDY support and the use of IQCs (e.g., local government, anti-corruption, policy reform, and civil-military relations); convening the Second International Conference on Legislative Strengthening; and influencing foreign policy objectives. This latter objective is being accomplished through continued engagement in anti-corruption activities in the field, in the design of major policy conferences, in inter-agency policy discussions, and through input into newly passed legislation concerning anti-corruption and good governance. The Center and the Office of Transition Initiatives (OTI) concluded a memorandum of understanding with the Department of Defense (DOD), forming the basis for closer cooperation and coordination of our respective activities in civil-military relations, and promoting civilian oversight of the military.

2. Summary of the Strategic Support Objective

The purpose of this program is to identify lessons learned and fortify strategic approaches for curbing corruption in government, strengthening legislative bodies, promoting decentralization and democratic local governance, enhancing civilian oversight of the military, and improving the management of policy reform—all in the context of promoting political transformation and consolidating democracy in countries where significant political will exists. In short, the program looks at making key government institutions and policy-making processes more transparent, responsive, and accountable to the people they serve, and it promotes a positive relationship between citizens and their government. G/DG’s work brings technical expertise and assistance to over 60 missions that have governance-related strategic objectives. It is carried out through an array of buy-ins to contracts; the design and implementation of activities to expand USAID’s knowledge base and/or seed larger, mission-funded efforts; the development of technical outreach materials, including “best practices;” training (in-house and distance); and field support through TDY support and ongoing backstopping responsibilities.

3. Key Results

Foreign Policy. In FY 2000, all five governance program areas contributed to the advancement of key foreign policy objectives, particularly in democracy priority countries (i.e., **Colombia, Indonesia, Nigeria, and Ukraine**) where issues of anti-corruption, civil-military affairs, and decentralization and democratic local governance were seen as particularly important to developments. USAID’s work in anti-corruption continued to have a significant influence on policy discussions at the inter-agency level, positioning USAID to play a critical role in supporting U.S. foreign policy objectives.

- G/DG's key achievement in its inter-agency role has been getting important players to view the corruption problem as part of the development challenge rather than simply a law enforcement matter. This shift was demonstrated by wide attendance of USG representatives at the 1999 International Anti-corruption Conference focusing on corruption as a development issue. In subsequent inter-agency contacts, we have seen greater appreciation by our law enforcement colleagues of the long-term, institutional development challenges we face and the importance of USAID's role in fashioning effective responses to corruption. The Center continued its leadership role in coordinating the Agency's ongoing response to the administration's anti-corruption initiative. G/DG coordinated Agency positions in response to several inquiries from the White House, State, the National Security Council, and the Office of Management and Budget on overall Agency program levels, specific country anti-corruption programs, and preparations for the follow-on international conference, Global Forum II, scheduled for May 2001. With new players now in the game, this role is even more crucial.
- Timely assistance, using TDY support and IQC rapid-response capacity, was rendered to three of the four DG priority countries. USAID/**Colombia** called upon G/DG expertise and contracts to launch new programs in anti-corruption and decentralization using the supplemental appropriations to carry out aspects of the USG contribution to Plan Colombia. Staff provided input into the mission's overall strategic approach, helped to develop the scopes of work, and advised the mission on how to access the Center's IQCs to get their programs up and running within six months of passage of the appropriation. Similarly, in **Indonesia** and **Nigeria**, USAID Missions accessed G/DG contracts and staff to assist in implementing programs in anti-corruption, civil-military relations, and local government. Ongoing anti-corruption efforts under a Center IQC continued in **Ukraine**.
- The historic election of Vicente Fox in **Mexico** and the government of Mexico's subsequent interest in technical advice from the USG created new opportunities for DG work. Working with USAID/Mexico, G/DG provided TDY support and assessments to explore program opportunities in anti-corruption, decentralization, and policy reform.

In sum, over time the Center has positioned itself to play a significant policy and programmatic role in support of key U.S. foreign policy objectives. With the ability to draw on Agency experience and lessons learned in public administration across regions and to offer innovative programming interventions via buy-in mechanisms, G/DG has enabled the Agency to respond to the administration's highest priority concerns in a timely fashion.

Technical Leadership: In FY 2000, the Center maintained its strong commitment to being a center of excellence through the convening of a major conference in legislative strengthening, the publication of several new technical publications and overview pieces, the development of training modules in each governance activity, the creation of the first distance learning module in anti-corruption and the design of a training program in anti-corruption for local elected officials. After 10 years, G/DG's longstanding policy reform activity, Implementing Policy Change (IPC), will end, to be followed by an effort to disseminate its methodology and lessons learned.

- The Second International Conference on Legislative Strengthening was held in June 2000, bringing together more than 160 parliamentarians, experts, other donor representatives, and USAID field and headquarters staff. This event focused on the state

of the art, key issues, and assistance strategies to improve the representative nature of legislatures in democratizing countries. The conference resulted in the creation of an informal network of African parliamentarians who committed to maintaining contacts and sharing information on issues of common interest and how to strengthen legislative bodies. A report on the conference was published and also disseminated electronically.

- In 2000, G/DG published the *USAID Handbook on Legislative Strengthening* and the *Decentralization and Democratic Local Governance Programming Handbook*; high demand for the decentralization handbook was demonstrated by 1,200 external downloads from the DG website over a three-month period. The Center also published briefing booklets on legislative strengthening, policy reform, and decentralization and local government. Interest in the 1999 anti-corruption handbook continued, now requiring a fourth print run and totaling some 2,000 copies and an average of 120 electronic downloads per month.
- Technical leadership in anti-corruption is manifested on an ongoing basis through G/DG's monthly convening of the Anti-corruption Working Group (ACWG). The group includes representatives from each regional bureau, PPC, IG, GC, and invited guests from other agencies. Center staff review the latest government-wide developments and explore topics of interest, aimed at developing common positions and approaches. G/DG launched Anti-corruption Resources (<http://www.usaid.gov/democracy/anticorruption>), a website providing greater access to information on USAID's programs and developments in this fast-growing field. It averages over 500 hits per month, providing visitors with information on legislative developments including congressional hearings and legislation, upcoming conferences, and articles highlighting innovative USAID programs, as well as links to other sources of information on combating corruption.
- A major achievement was the conclusion of a memorandum of understanding between the Agency and DOD's Defense Security Cooperation Agency (DSCA). The aim is fostering greater collaboration and information exchange regarding respective activities in civil-military relations. Through its cooperative agreement with NDI, USAID continued to provide interested missions with tools to assess opportunities in order to undertake programming in this area. The cooperative agreement supported study missions, development of case studies, the enhancement of the website (www.pdgs.org) which provides access to leading experts, and a conference of the agreement's major sub-grantees from Argentina, Indonesia, and the Philippines. With OTI support, the NDI media training and curriculum development programs in Indonesia increased the capacity of journalists to report on national security matters and introduced a new "Security Studies" curriculum at a leading university.
- G/DG has completed training modules for each of its governance program areas. In 2000, in-house training capacity was enhanced in two ways: (1) for the 2000 DG Officers Workshop, trainers in anti-corruption, decentralization, and legislative strengthening developed additional materials in order to offer introductory and advanced courses; and (2) a distance learning module providing the basic course in anti-corruption has been completed. It will soon be available on-line and via CD-ROM to interested missions. Similarly, a training module on anti-corruption for local officials is being developed and will be piloted by G/DG contractors in Albania, El Salvador, and Paraguay where we see

the greatest prospects for replicability within regions. These enhancements of our in-house training capacity ensure that the Center's training remains relevant to the growing and better-trained cadre of Agency DG officers.

- After 10 years, IPC comes to an end. At its core, the IPC model emphasized a host-country led approach to policy reform and developed a task model for assisting in that effort. Successes range from improving the climate for small enterprise activities in Bulgaria, to harmonizing standards for transportation and telecommunications in SADC, to the development of enterprise networks in West Africa. The common characteristic of these programs has been how to make the process of policy change more inclusive, transparent, and reflective of the will of the people. More than \$30 million in mission buy-ins over the past five years indicates the interest and importance of continued attention to policy reform in assisting macro-level democratic transformation.

Field Support. G/DG's commitment to field support comes in the form of ongoing consultations with Center staff, TDY assignments, the use of IQCs, and the targeted dissemination of best practices and developments of interest to the field.

- The Center provided extensive consultation and support to 15 missions in anti-corruption, including strategy development, scope of work refinement, facilitating access to Center mechanisms, and research requests. This included support to **Colombia, Mexico, Nigeria, Russia, and Ukraine.**
- G/DG placed a new IQC in local government, which has already extended services to four missions: **Colombia, Morocco, Nigeria, and West Bank/Gaza.** The anti-corruption IQC has been extremely active with programs in **Albania, Colombia, Honduras, LAC Regional, Nigeria, and Russia.** A new legislative strengthening IQC aided work in **Egypt, Kenya, Rwanda, and Uganda.**
- G/DG staff has been called on for expert advice in strategy development and sector assessments. TDY support to **Bolivia, Mexico, Indonesia, Georgia, Namibia, Nigeria, Haiti, and Mexico** has assisted missions in local government programming, civil-military relations, and dissemination of lessons learned in policy reform. Center staff joined contractors in response to a request to USAID/**Namibia.** The TDY included delivery of two IPC workshops, including the piloting of a the new toolkit; a workshop with the local NGO partner to do advocacy; and recommendations for strengthening the linkage between democracy promotion and the mission's natural resource management activity—all aimed at helping the mission think through the types of activities it could support to beef up the capabilities of Namibian NGOs. In April 2000, Center staff traveled to **Bolivia** at the mission's request, as part of G/DG's backstopping duties and technical support of the mission's DG team. The TDY called for an assessment and concept paper on the prospects for providing support to single-member district members of congress (those elected "uninominally"). Bolivia's recent institution of district-based congressional representation seeks to improve the responsiveness of members of congress to their constituents. Improved responsiveness is a goal shared by the landmark decentralization reform passed in the 1994 Popular Participation Law, so in Bolivia, the two reforms are closely associated. As suggested in the concept paper, the DG team decided, facing limited opportunities, not to work within the Bolivian congress and instead has focused

on regional groups that help improve coordination among members of congress and the departments-municipalities-constituents they represent.

- The Center continued its e-mail newsletter on democratic decentralization and local government and added a new e-letter in legislative strengthening as part of the follow-up to the international conference. These bi-monthly e-letters update USAID DG officers on developments in the field, provide information on conferences, events and other informational resources, and share experience across regions.

Program Management/Direct Development Impact. G/DG's main program in anti-corruption consists of its grant to TI, the leading international NGO dedicated to the development of national watchdog groups promoting greater accountability, transparency, and good government. In addition to its support to TI's core budget, the grant includes funds to support the development of local chapters. Adjustments to the grant have made it easier to direct resources to those chapters showing the greatest promise while still ensuring that TI's activities complement USAID's work in that country. Today we support TI in Bangladesh, Bulgaria, Colombia, Dominican Republic, Ghana, Jordan, Mozambique, Senegal, Sri Lanka, and Ukraine. Through its direct support of TI, USAID plays an important role in the worldwide anti-corruption movement. Our assistance spurs local NGO efforts to raise awareness and fashion local anti-corruption initiatives designed to meet differing country conditions. In the area of civil-military relations, in accord with the new MOU with the DOD, USAID and DSCA teamed up to deliver the first joint Expanded International Military Education and Training program (E-IMET) in **Georgia**. We view this as a significant advance in the Agency's effort to build civilian capacity to oversee military matters. Other joint training opportunities are under discussion with DSCA and USAID Missions. In addition to the ongoing work in Indonesia, opportunities for work in civilian-military relations are being explored in Nigeria and Peru. Dissemination of lessons learned and application of the Center's work in policy reform continue to have an impact, particularly in the area of cross-sector linkages as demonstrated by the number of mission requests for IPC workshops to assist policy reform efforts in Haiti, Mexico, and Namibia. Two major workshops have been designed for delivery in early 2001, one on HIV-AIDS and the other on public-private partnerships to fight corruption.

4. Performance and Prospects

Center performance in the governance sector is on track. In technical leadership, with the completion of the handbooks and briefing booklets, the team is now identifying the next generation of issues that need to be addressed to ensure that G/DG can help missions decide—based on likely return on investments—in which DG areas to invest, and in so doing, is better able to service the needs of the field and enhance the impact of our democracy programs. This includes examining replicability and participation in local government activities and a deeper look at legislative strengthening programs as part of the Center's overall impact assessment. The goal in these cases is to move beyond the sharing of best practices to get at making more qualitative judgements of what works in terms of macro-level political and democratic transformation. With the close-out of the Implementing Policy Change activity, the Center seeks to capture the lessons learned over 10 years of USAID's work in approaches to policy reform. In addition to the aforementioned workshops, the policy reform agenda will continue via the IQC for Strategic Planning and Institutional Reform (SPIR), although the Center anticipates

significantly less involvement, given the breadth of experience and knowledge gained over the 10 years of IPC. We have already heard of missions (e.g., Guatemala, Mexico, Uganda, and Ukraine) interested in accessing SPIR for priority activities.

USAID's work in anti-corruption is now at a crossroads. The Center has implemented an ambitious agenda that has firmly established USAID as a player in the inter-agency process, responding to the needs of the White House, the National Security Council, the Office of Management and Budget, and numerous State bureaus. G/DG helped keep all relevant USAID offices informed of these assignments, promoted a technical leadership agenda that informs the growing work being done by the field, launched a new website, and serviced the growing number of missions that have initiated activities in this area.

For the past year, we have engaged TI in a dialog on how to best achieve the financial sustainability of the TI Secretariat now supported with grant assistance. TI has proposed an endowment fund to be supported by multiple donors, including the USG. The Center believes that it is in our mutual interests to see TI achieve financial sustainability, not only in building a successful institution but to increase its autonomy and independence in a field where these attributes are important to the credibility of any watchdog organization. We will continue to work with TI to achieve a financially viable strategy and to discuss the prospects for a USAID contribution to an endowment fund.

In governance, our efforts will continue to focus on achieving an ambitious technical leadership agenda in order to maintain our claim as a center of excellence. Also informing our advice to and support of field missions, this agenda is geared to optimally supporting national-level democratic transformations. In the next two years, we expect to see a growing demand for technical support of field missions, as a growing number of anti-corruption programs come on line. We also intend to explore potential partnerships with private sector actors, such as the Council on International Private Enterprise, to pursue innovative anti-corruption programming. In our older portfolios, democratic local governance and legislative strengthening, we intend to focus our technical leadership agenda on researching impacts, or the return on investments, of different approaches with an eye to providing the field with qualitative assessments of how they might pursue future programming choices. The policy reform agenda will consist of inculcating and disseminating the lessons learned under IPC with focus on uncovering and sharing best practices and Agency guidance on cross-sector programming approaches that will make USAID's DG sector and other sector programs more integrated and, we believe, more successful at achieving results.

5. *Possible Adjustments to Plan*

One issue involves the future of G/DG's involvement in civil-military relations. The current cooperative agreement is being extended at no-cost until December 31, 2002. NDI has taken steps to invigorate the program by hiring a new chief of party, dropping a sub-grantee which had not performed as expected and re-designing the PDGS website to make it more user-friendly and provide direct access to country and area specialists in civil-military relations. The new chief of party has also worked closely with Center staff to identify new country program opportunities. We have said that our commitment to this particular cooperative agreement would be determined in part by the number of buy-ins from USAID Missions—a proxy for field interest in this area. To date, most of the buy-ins have been with OTI funds. However, potential work in Paraguay, Peru and East Timor when coupled with ongoing work in Nigeria and Indonesia may yet

demonstrate the level of demand warranting the Center's continued engagement via the cooperative agreement. Also, further collaboration with DSCA in the E-IMET program may also spur demand. We recognize the theoretical link between this area and democratic transformation, but question still whether assistance can yield results. We intend to monitor these developments closely in order to gauge the level of demand and to evaluate whether the cooperative agreement should be continued or whether other programming alternatives should be considered.

The addition of one additional USDH to manage and implement activities of the burgeoning anti-corruption portfolio (approved last year, but not yet on board) will ensure that we continue our leadership role in this area. The deployment of Center staff and resources will continue to be allocated according to the following criteria: (1) Is there a high priority foreign policy objective being served? (2) What level of effort is necessary to show responsiveness and customer service to field missions? (3) Does the deployment of staff advance our technical leadership agenda? (For example, is there an opportunity for innovative programming (e.g., cross-sector programs or new types of partnerships) that are worthy of more intense study and dissemination to other regions? Is TDY support part of our overall evaluation effort aimed at learning about the relative return on investments of differing programmatic approaches? and (4) Does G/DG offer specialized technical assistance that is not available from another source?

6. *Other Donor Programs*

The Center maintains productive relationships with a number of donors across the governance program areas. In anti-corruption, our major collaboration with other donors will be related to the Global Forum II in May 2001 and TI's annual meeting in October 2001. This meeting will focus on government efforts in anti-corruption and USAID has been designated as one of the five USG agencies to coordinate with the Dutch hosts in setting up panels; USAID is working on development cooperation and corruption. Center staff meet regularly with staff of the World Bank Institute, draw on their resources and educate other USG representatives about their programs. For instance, we have recommended that State/INL fund anti-corruption surveys carried out by the Institute.

In legislative strengthening, representatives from the Inter-American Development Bank, World Bank, the Organization of American States, the Parliamentary Centre, the Inter-parliamentary Union, and the United Nations Development Programme attended our Second International Legislative Strengthening Conference. That dialog continued at a meeting in Vienna to discuss various donor efforts aimed at training parliamentarians where USAID's technical publications were shared and helped identify areas for future emphasis. This meeting included representatives from the World Bank, the King Prajadhipok Institute (Thailand), Inter-parliamentary Union (Canada), DFID (England), Commonwealth Parliamentary Association (London-based), NDI, CIDA and the Norwegian Ministry of Foreign Affairs.

In the area of civil-military programs, donor coordination occurs on many levels. The MOU with DOD/DSCA provides a foundation from which numerous collaborative activities have been launched, including a joint USAID-DOD civil-military program in Georgia, coordinated planning for civil-military assessments in East Timor, Indonesia, Nigeria, and Peru, as well as opportunities for both USAID and DOD to participate in each other's respective training programs. The USAID civil-military program makes a strong effort to develop relationships with other donors interested in this field; UNDP, DFID, and CIDA have shown interest in our activities and are currently considering civil-military programs in countries where

USAID has civil-military programs in the active or development stage. Greater donor coordination in these countries may be a possibility in the future. Additionally, all USAID civil-military assessments involve information exchange with other donors involved in a given country. Determining the interest of international donors to participate in civil-military programs is a prerequisite before departing for TDY and once in country.

7. *Principal Contractors, Grantees, or Agencies*

In FY 2000, the Center managed nine IQCs in the governance area (*Accountability*: Management Systems International, Inc., and Casals and Associates; *Democratic Local Governance*: Associates in Rural Development and Research Triangle Institute; *Legislative Strengthening*: Development Associates and the Research Foundation of the State University of New York; *Policy Reform*: Management Systems International, Inc., (2 IQCs) and Development Associates). In addition, the Center oversees a grant to Transparency International for anti-corruption activities and a cooperative agreement with the National Democratic Institute for International Affairs for civil-military relations.

IV. RESOURCE REQUEST

To fulfill mandates, meet objectives, and sustain existing program operations, G/DG requests an FY 2003 program budget allocation of \$13,200,000, an operating expense budget of \$140,000 for USDH travel purposes, and a workforce level of 47 (27 USDH and 20 program-funded staff). This request is consistent with control levels. A program budget allocation request of \$13.2M represents a 5 percent increase over the 2002 planned and 2001 actual levels of \$12.6M. The proposed operating expense travel budget maintains a modest average allocation of \$5,200 per USDH.

A. Program Requirements

Program funding control levels:	FY 2001	\$12,612,000
	FY 2002	\$12,600,000
	FY 2003	\$13,200,000

Administrative Directive

USAID has funded a global labor program since the 1960s, most recently at an annual level of \$9M in core funding with field add-ons, bringing total annual funding to about \$20 million. The current grant to the AFL/CIO-affiliated ACILS expires at the end of this fiscal year, but a no-cost extension through mid-FY 2002 is planned. A follow-on program is being developed through a competitive application and award process. An RFA has been prepared and is nearly ready for issuance. Multiple awards and a field-driven program are envisioned. G/DG funding is planned at a level of up to \$3M annually for institutional support and funding of global and regional activities. Bi-lateral programs will be awarded and administered as associate grants.

Program Support Assistance

Program support assistance to NGO partners represents the most significant portion of the G/DG budget. Besides funding efforts to improve state-of-the-art programming in DG, the Center prepositions resources with NGO partners to facilitate quick response movement in accord with foreign policy and USAID Mission priorities. Working capital of this kind provides for on-the-ground assessments, strategies, program design, and quick mobilization of resources for activity start-ups. As such, these assistance agreements are critical to the Agency's effectiveness in many matters of foreign policy significance. The following NGOs are supported:

Rule of Law	Freedom House/ABA/NDI Consortium IFES/Law Group Consortium
Elections/Political Processes	CEPPS
Civil Society	American Center for International Labor Solidarity International Labor Rights Fund Fair Labor Association Pact Academy for Educational Development
Governance	Transparency International National Democratic Institute for International Affairs
Cross-cutting	World Learning

In the ROL program area, the leader/associate cooperative agreements with Freedom House and IFES were awarded in FY 1999 with a planned life of five years. Both agreements have proven popular with field missions and State. G/DG provides annual support of about \$250,000 to each to maintain core capacity and assure rapid-response capability. The Freedom House leader award was amended in FY 2000 to increase the award ceiling. The IFES award ceiling is due to be increased in FY 2001.

In the elections program area, the original CEPPS agreement awarded in FY 1995 is due to expire 12/31/01. A follow-on agreement was recently awarded to the same consortium. G/DG annual funding requirements to the new agreement is expected to be substantially less than with the original agreement; an annual budget of about \$1M is planned.

Reconfiguration of the global labor program is the major program requirement in the civil society portfolio. An RFA will be issued soon, and award of up to three agreements is expected by the end of 2001. A program funding requirement of about \$3M annually is planned. Future funding of the grant to the ILRF and the cooperative agreement with the FLA is dependent upon the availability of ESF through the “no sweat” initiative. New agreements with Pact and AED for civil society strengthening activities were awarded recently with minimum annual funding requirements of \$250,000 each, again to assure rapid-response capacity.

In the governance program area, the grant to Transparency International expires 12/31/01. Significant follow-on support is dependent upon, among other issues, resolution of institutional plans for addressing long-term financial sustainability. The grant to NDI for work in civil military affairs has been extended through 12/31/02, but no decision has yet been taken in terms of follow-on funding.

The World Learning cooperative agreement for the DG Fellows program is being amended to increase the award ceiling and extend the program through June 2005. Annual funding requirement is about \$1M.

Technical Assistance Contracts

The complete portfolio of 17 IQCs has now been awarded, as have initial G/DG task orders in each of eight subject areas. The task orders essentially have the private firms on retainer to G/DG, and as with the “working capital” concept with the NGO partners, the task orders allow for quick mobilization of contract services where and when needed in support of the DG objective. The Center plans to maintain quick response capabilities of this kind across the full spectrum of DG programming through the planning period. This comes at an annual estimated cost of about \$1M. These task orders are also employed as much as possible for the Center’s own needs in carrying-out the technical leadership agenda.

A buy-in to the PPC/CDIE Development Information Services program is planned upon completion of the current Research and Reference Services contract and award of a new DIS contract this fiscal year. The buy-in provides the services of the G/DG Information Unit. A budget of \$700,000 annually is planned. The contract with PaL-Tech for the provision of administrative support services in the Center expires in FY 2002. Options going forward are being assessed. The average annual funding for administrative support is about \$200,000.

In addition to finishing a number of technical publications, which will further describe DG activity experimentation occurring in the field, identify lessons learned, and promote best practices, G/DG proposes to initiate a series of new evaluative studies. The core of the plan is a systematic review of DG programs and their impacts as a basis for providing guidance on which DG interventions are most likely to have major impact. Preliminary plans call for a set of

coordinated studies over a 10-year period to include statistical studies, country case studies, and sub-sectoral studies. The 10-year budget totals approximately \$9M. The evaluation agenda will be pursued through a combination of task orders and NGO assistance awards.

Inter-agency Awards

Inter-agency awards are in effect with the Departments of Agriculture, Justice, and Labor. The PASA with Justice runs through 2002. The provision of Justice staff to the PASA, the major cost to G/DG, is being re-examined, as benefits have not been proportionate to costs. The working relationship with the Judicial Conference of the U.S. Courts, presently undefined as a PAPA, was allowed to expire in favor of more informal arrangements. G/DG is currently supporting travel of judges as necessary with direct administrative services (using the PaL-Tech administrative support contract to prepare documentation) and invitational travel authorizations. Costs have been minimal. RSSAs with the Departments of Agriculture and Labor are being newly negotiated in FY 2001. A new agreement with Labor provides for two experts over a five-year period. A new RSSA with Agriculture will provide up to seven experts over a five-year period.

B. Workforce

The G/DG USDH workforce was increased from 24 to the requested 27 in November 2000, although the hiring freeze imposed during the transition has in fact led to a reduced USDH staff rather than the anticipated increase. No further increase is anticipated through 2003.

The non-USDH workforce requiring Center office space is now capped at 20. While the composition may change over time, the program-funded workforce is presently comprised:

- 2 Labor RSSA employees
- 1 Labor detail-in
- 1 Justice detail-in
- 6 USDA RSSA employees
- 6 Fellows
- 1 OTI/PSC
- 3 Institutional contractors

The major workforce issue is high turnover and vacancy rates. Only 20 of the 27 USDH and 15 of the 20 non-USDH positions are presently encumbered, and 2 of the 20 USDH are scheduled to leave in the immediate future.

C. Operating Expenses

An OE budget allocation of \$140,000 is requested for FY 2003. This request is comparable to current funding levels and includes a modest average travel budget of \$5,200 for each USDH employee. The increase of three staff from 24 to 27 accounts for the requested increase.

FY 2003 Budget Request by Program/Country

Fiscal Year: 2003 Program/Country: G/DG
 Approp: DA/CSD
 Scenario: BASE \$000

FY 2003 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
932-001 Rule of Law															
Bilateral	2,427	3,200						0					3,200	2,600	3,027
Field Spt														0	0
	2,427	3,200	0	0	0	0	0	0	0	0	0	0	3,200	2,600	3,027
932-002 Elections and Political Processes															
Bilateral	3,218	2,000											2,000	2,700	2,518
Field Spt														0	0
	3,218	2,000	0	0	0	0	0	0	0	0	0	0	2,000	2,700	2,518
932-003 Civil Society															
Bilateral	3,679	4,000											4,000	3,800	3,879
Field Spt														0	0
	3,679	4,000	0	0	0	0	0	0	0	0	0	0	4,000	3,800	3,879
932-004 Governance															
Bilateral	2,857	4,000											4,000	3,000	3,857
Field Spt														0	0
	2,857	4,000	0	0	0	0	0	0	0	0	0	0	4,000	3,000	3,857
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	12,181	13,200	0	0	0	0	0	0	0	0	0	0	13,200	12,100	13,281
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	12,181	13,200	0	0	0	0	0	0	0	0	0	0	13,200	12,100	13,281

FY 2003 Request Agency Goal Totals	
Econ Growth	0
Democracy	13,200
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2003 Account Distribution (DA only)	
DA Program Total	13,200
CSD Program Total	0
TOTAL	13,200

FY 2002 Budget Request by Program/Country

Fiscal Year: 2002 Program/Country: G/DG
 Approp: DA/CSD
 Scenario: BASE \$000

FY 2002 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
932-001 Rule of Law															
Bilateral	1,927	3,000						0					3,000	2,500	2,427
Field Spt														0	0
	1,927	3,000	0	0	0	0	0	0	0	0	0	0	3,000	2,500	2,427
932-002 Elections and Political Processes															
Bilateral	3,718	3,000											3,000	3,500	3,218
Field Spt														0	0
	3,718	3,000	0	0	0	0	0	0	0	0	0	0	3,000	3,500	3,218
932-003 Civil Society															
Bilateral	6,079	3,600											3,600	6,000	3,679
Field Spt														0	0
	6,079	3,600	0	0	0	0	0	0	0	0	0	0	3,600	6,000	3,679
932-004 Governance															
Bilateral	2,857	3,000											3,000	3,000	2,857
Field Spt														0	0
	2,857	3,000	0	0	0	0	0	0	0	0	0	0	3,000	3,000	2,857
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	14,581	12,600	0	0	0	0	0	0	0	0	0	0	12,600	15,000	12,181
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	14,581	12,600	0	0	0	0	0	0	0	0	0	0	12,600	15,000	12,181

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	12,600
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
DA Program Total	12,600
CSD Program Total	0
TOTAL	12,600

FY 2001 Budget Request by Program/Country

Fiscal Year: 2001 Program/Country: G/DG
 Approp: DA/CSD
 Scenario: BASE \$000

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
	09/30/00														
932-001 Rule of Law															
Bilateral	2,002	1,425						0					1,425	1,500	1,927
Field Spt															
	2,002	1,425	0	0	0	0	0	0	0	0	0	0	1,425	1,500	1,927
932-002 Elections and Political Processes															
Bilateral	3,793	3,925											3,925	4,000	3,718
Field Spt														0	0
	3,793	3,925	0	0	0	0	0	0	0	0	0	0	3,925	4,000	3,718
932-003 Civil Society															
Bilateral	7,733	5,346											5,346	7,000	6,079
Field Spt														0	0
	7,733	5,346	0	0	0	0	0	0	0	0	0	0	5,346	7,000	6,079
932-004 Governance															
Bilateral	3,932	1,925											1,925	3,000	2,857
Field Spt														0	0
	3,932	1,925	0	0	0	0	0	0	0	0	0	0	1,925	3,000	2,857
SO 5:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:															
Bilateral		0													0
Field Spt		0													0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	17,460	12,621	0	0	0	0	0	0	0	0	0	0	12,621	15,500	14,581
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL PROGRAM	17,460	12,621	0	0	0	0	0	0	0	0	0	0	12,621	15,500	14,581

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	12,621
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
DA Program Total	12,621
CSD Program Total	0
TOTAL	12,621

**Washington Offices/Bureaus
Operating Expenses**

Office/Bureau: <u>G/DG</u>		FY 2001	FY 2002	FY 2003	FY 2003
OC	Object Class Code Title	Estimate	Target	Target	Request
11.8	Special personal services payments				
	U.S. PSCs				
	IPA/Details-In/PASAs/RSSAs Salaries				
	Subtotal OC 11.8	0.0	0.0	0.0	0.0
12.1	Personnel Benefits				
	U.S. PSCs - Benefits				
	IPA/Details-In/PASAs/RSSAs Benefits				
	Subtotal OC 12.1	0.0	0.0	0.0	0.0
21.0	Travel and transportation of persons				
	Training Travel				
	Operational Travel				
	Site Visits - Headquarters Personnel	115,500.0	130,000.0	130,000.0	130,000.0
	Site Visits - Mission Personnel				
	Conferences/Seminars/Meetings/Retreats	10,000.0	10,000.0	10,000.0	10,000.0
	Assessment Travel				
	Impact Evaluation Travel				
	Disaster Travel (to respond to specific disasters)				
	Recruitment Travel				
	Other Operational Travel				
	Subtotal OC 21.0	125,500.0	140,000.0	140,000.0	140,000.0
23.3	Communications, Utilities, and Miscellaneous Charges				
	Commercial Time Sharing				
	Other Communications, Util, and Misc. Charges				
	Subtotal OC 23.3	0.0	0.0	0.0	0.0
24.0	Printing & Reproduction				
	Subscriptions & Publications				
	Other Printing and Reproduction				
	Subtotal OC 24.0	0.0	0.0	0.0	0.0
25.1	Advisory and assistance services				
	Studies, Analyses, & Evaluations				
	Management & Professional Support Services				
	Engineering & Technical Services				
	Subtotal OC 25.1	0.0	0.0	0.0	0.0
25.2	Other services				
	Non-Federal Audits				
	Grievances/Investigations				
	Manpower Contracts				
	Staff training contracts				
	Other Miscellaneous Services				
	Subtotal OC 25.2	0.0	0.0	0.0	0.0
25.3	Purchase of goods and services from Government accounts				
	DCAA Audits				
	HHS Audits				
	All Other Federal Audits				
	Reimbursements to Other USAID Accounts				
	All Other Services from other Gov't. Agencies				
	Subtotal OC 25.3	0.0	0.0	0.0	0.0
25.7	Operation & Maintenance of Equipment & Storage				
25.8	Subsistence and support of persons (contract or Gov't.)				
26.0	Supplies and Materials				
31.0	Equipment				
	IT Software Purchases				
	IT Hardware Purchases				
	Other Equipment Purchases				
	Subtotal OC 31.0	0.0	0.0	0.0	0.0
Subtotal		125,500.0	140,000.0	140,000.0	140,000.0
Additional Object Class Codes (If Required)					
Total Other Object Class Codes		0.0	0.0	0.0	0.0
Total Budget		125,500.0	140,000.0	140,000.0	140,000.0

Washington and Overseas Workforce Tables

Org. G/DG						Total	Org.	Fin.	Admin.	Con-	All	Total	Total	
End of year On-Board						SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff
FY 2001 Estimate	SO 1	SO 2	SO 3	SO 4	Over-Arching									
OE Funded: 1/														
U.S. Direct Hire	4	4	4	5	5	22	3					2	5	27
Other U.S. Citizens						0							0	0
FSN/TCN Direct Hire						0							0	0
Other FSN/TCN						0							0	0
Subtotal	4	4	4	5	5	22	3	0	0	0	0	2	5	27
Program Funded 1/														
U.S. Citizens	3	1	5	2	0	11			3				3	14
FSNs/TCNs						0							0	0
Subtotal	3	1	5	2	0	11	0	0	3	0	0	0	3	14
Total Direct Workforce	7	5	9	7	5	33	3	0	3	0	0	2	8	41
TAACS						0							0	0
Fellows	1	1	1	2	1	6							0	6
NEPs						0							0	0
Subtotal	1	1	1	2	1	6	0	0	0	0	0	0	0	6
TOTAL WORKFORCE	8	6	10	9	6	39	3	0	3	0	0	2	8	47

1/ Excludes TAACS, Fellows, and NEPs

Washington and Overseas Workforce Tables

Org G/DG						Total	Org.	Fin.	Admin.	Con-	All		Total	Total
End of year On-Board						SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff
FY 2002 Target	SO 1	SO 2	SO 3	SO 4	Over Arching									
OE Funded: 1/														
U.S. Direct Hire	4	4	4	5	5	22	3					2	5	27
Other U.S. Citizens						0							0	0
FSN/TCN Direct Hire						0							0	0
Other FSN/TCN						0							0	0
Subtotal	4	4	4	5	5	22	3	0	0	0	0	2	5	27
Program Funded 1/														
U.S. Citizens	3	1	5	2	0	11			3				3	14
FSNs/TCNs						0							0	0
Subtotal	3	1	5	2	0	11	0	0	3	0	0	0	3	14
Total Direct Workforce	7	5	9	7	5	33	3	0	3	0	0	2	8	41
TAACS						0							0	0
Fellows	1	1	1	2	1	6							0	6
IDIs						0							0	0
Subtotal	1	1	1	2	1	6	0	0	0	0	0	0	0	6
TOTAL WORKFORCE	8	6	10	9	6	39	3	0	3	0	0	2	8	47

1/ Excludes TAACS, Fellows, and NEPs

Washington and Overseas Workforce Tables

Org G/DG						Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt.	Admin. Mgmt.	Con-tract	Legal	All Other	Total Mgmt.	Total Staff
End of year On-Board	SO 1	SO 2	SO 3	SO 4	Over Arching									
FY 2003 Target														
OE Funded: 1/														
U.S. Direct Hire	4	4	4	5	5	22	3					2	5	27
Other U.S. Citizens						0			3				3	3
FSN/TCN Direct Hire						0							0	0
Other FSN/TCN						0							0	0
Subtotal	4	4	4	5	5	22	3	0	3	0	0	2	8	30
Program Funded 1/														
U.S. Citizens	3	1	5	2	0	11							0	11
FSNs/TCNs						0							0	0
Subtotal	3	1	5	2	0	11	0	0	0	0	0	0	0	11
Total Direct Workforce	7	5	9	7	5	33	3	0	3	0	0	2	8	41
TAACS						0							0	0
Fellows	1	1	1	2	1	6							0	6
IDIs						0							0	0
Subtotal	1	1	1	2	1	6	0	0	0	0	0	0	0	6
TOTAL WORKFORCE	8	6	10	9	6	39	3	0	3	0	0	2	8	47

1/ Excludes TAACS, Fellows, and NEPs

G/DG Staff Profile

<u>Position Title</u>	<u>Name</u>	<u>Grade</u>	<u>Position ID</u>	<u>Position Description</u>
Executive				
Center Director	Vacant	AD-18	00007830	Represents the Agency on technical issues.
Deputy Center Director	James Vermillion	FS01	00007835	Responsible for overseeing the technical quality of staff and programs.
Secretary	Sheron Moore	GS09	00007840	Provides office management services.
Program Office				
Program Officer	John Wiebler	FS01	00007845	Responsible for program strategy, planning, monitoring and reporting, and budgeting.
Program Analyst	Patricia Allen	GS12	00007850	Performs analyses for program management purposes.
Strategies and Results				
Senior Advisor/Team Leader	Jerry Hyman	GS15	00007855	Senior advisor and team leader for strategies.
Democracy Specialist	Michele Schimpp	FS03	00007870	Provides technical assistance in DG program design and evaluation to LAC.
Democracy Specialist	Josh Kaufman	GS13	00007875	Provides technical assistance in DG program design and evaluation to ANE.
Democracy Specialist	Vacant	GS13	00007895	Provides technical assistance in DG program design and evaluation to E&E.
Democracy Specialist	Wendy Marshall	GS09	00007945	Provides technical assistance in DG program design and evaluation to AFR.
Democracy Fellow	Robin Silver	Fellow		Provides technical assistance and develops new approaches to mangaging for results.
Rule of Law				
Senior Advisor/Team Leader	Gail Lecce	FE OC	00007880	Senior advisor and team leader for ROL.
Democracy Specialist	Michael Miklaucic	GS14	00007885	Manages mechanisms and provides technical guidance and support.
Democracy Specialist	Aleksandra Braginski	GS13	00007910	Manages mechanisms and provides technical guidance and support.
ROL Specialist	Jan Stromsem	DOJ/SES		Provides technical guidance and support to USAID in ROL area (on detail from DOJ).
Democracy Fellow	Cynthia Ambrose	Fellow		Conducts research to develop or test new programmatic approaches.
Post-Conflict Specialist	Vacant	GS15		Coordinates rapid response initiatives in post-conflict settings.
Elections/Political Processes				
Senior Advisor/Team Leader	Susan Kosinski	FS02	00007905	Senior advisor and team leader for electoral and political processes.
Democracy Specialist	Susan Jay	GS13	00007865	Manages mechanisms and provides technical guidance and field support in elections and political processes.
Democracy Specialist	Aud-Frances McKernan	GS11	00007950	Manages mechanisms and provides technical guidance and field support in elections and political processes.
Democracy Specialist	Larry Sacks	GS09	00007935	Manages mechanisms and provides technical guidance and field support in elections and political processes.
Democracy Fellow	Gene Ward	Fellow		Conducts research to develop or test new programmatic approaches.
Civil Society				
Senior Advisor/Team Leader	Gary Hansen	GS15	00007915	Senior advisor and team leader for civil society.
Democracy Officer	David Nelson	FS01	00007900	Manages mechanisms and provides technical guidance and field support in civil society.
Democracy Specialist	Vacant	GS13		Manages mechanisms and provides technical guidance and field support in civil society.
Democracy Specialist	David Black	USDA/14		Manages mechanisms and provides technical guidance and field support in civil society.(USDA/RSSA)
Labor Advisor	Michaela Meehan	DOL/13		Responsible for technical leadership in the development of the labor program (on detail from DOL).
Democracy Fellow	Mark Koenig	Fellow		Conducts research to develop or test new programmatic approaches.
Senior Labor Advisor	Vacant	GS14		Represents the Agency and provides counsel on labor issues.
Labor Advisor	Michael Hancock	DOL/14		Responsible for technical leadership in the development of the labor program. (DOL/RSSA)
Democracy Fellow	Kimberly Ludwig	Fellow		Conducts research to develop or test new programmatic approaches.
Democracy Fellow	Sharon Morris	Fellow		Conducts research to develop or test new programmatic approaches.
Labor Specialist	Adriana Barsotti-Kaplan	DOL/12		Assists with management of Labor programs.
Governance				
Senior Advisor/Team Leader	Neil Levine	GS15	169400056	Senior advisor and team leader for governance.
Strategic Management Specialist	Pat Isman-Fn'Piere	GS14		Provides technical guidance in policy change and DG linkages across sectors; supports the governance program. (USDA/RSSA)
Democracy Specialist	Keri Eisenbeis	PSC		Manages mechanisms and provides technical guidance and support in governance with emphasis on civil-military relations.
Democracy Specialist	(Michael) Eric Kite	GS11	169400059	Manages mechanisms and provides technical guidance and support in governance with emphasis on anti-corruption.
Democracy Fellow	Gary Bland	Fellow		Conducts research to develop or test new programmatic approaches (decentralization).
Democracy Fellow	Stephen Brager	Fellow		Conducts research to develop or test new programmatic approaches (legislative strengthening).
Anti-Corruption Advisor	Vacant	GS13		Represents the Agency and provides counsel on anti-corruption issues.
Democracy Fellow	Keith Schulz	Fellow		Conducts research to develop or test new programmatic approaches (legislative strengthening).
Democracy Specialist	Vacant	GS13		Manages mechanisms and provides technical guidance and support for public administration

Center for Democracy and Governance, Global Bureau, USAID										
632-001, Rule of Law Portfolio										
April 5, 2001										
Current and Planned Activities										
CTO	Award Level	Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments	
IQCs										
IQC w/ The Iris Center (initial guarantee)										
AEP-I-00-00-00012-00	Miklaucic	25,000	25,000	0	0	25,000	03/29/00	03/28/05	new award	
IQC w/ The National Center for State Courts (initial guarantee)										
AEP-I-00-00-00011-00	Miklaucic	25,000	25,000	0	0	25,000	03/28/00	03/27/05	new award	
AEP-I-01-00-00011-00										
Rapid Response Task Order		611,093	250,000	0	361,093	250,000	09/29/00	03/27/05		
IQC w/ Management Sciences for Development (initial guarantee)										
AEP-I-00-00-00013-00	Miklaucic	25,000	25,000	0	0	25,000	03/28/00	03/27/05	new award	
Cooperative Agreements/Grants										
CA w. Freedom House, Inc.										
AEPA-00-99-00016-00	Braginski	12,000,000	3,514,166	983,409	8,485,834	2,530,757	46	03/09/99	03/04/04	on-track
G/DG core money			1,250,000	381,042		868,958	41			
(2,264,166 obligated is field support. Associate awards = 876,460.)										
CA w. International Foundation for Election Systems										
AEPA-00-99-00017-00	Braginski	4,000,000	3,470,000	1,493,678	530,000	1,976,322	23	03/24/99	03/22/04	on-track
G/DG core money			1,250,000	1,039,828		210,172	4			
(\$2,220,000 obligated is field support. Associate awards = 5.4 million.)										
Grant to International Development Law Institute										
AEPP-00-97-00031-00	Miklaucic	7,000,000	4,679,988	2,829,977	2,320,012	1,850,011	23	09/29/97	09/30/03	on-track
G/DG core money			120,000	120,000		0				
IAs										
PASA w. Department of Justice										
AEPP-00-96-00024-00	Miklaucic	3,826,845	3,258,830	560,000	568,015	2,698,830	231	09/25/96	09/30/02	need accruals
G/DG core money			1,112,500	560,000		552,500	47			
IAA w. Judicial Conference of the US										
936-5466-G-00-5765	Stromsen	345,918	345,918	301,736	0	44,182	8	09/01/95	when funds are expended	G/DG issuing travel authorizations direct to judges

Center for Democracy and Governance, Global Bureau, USAID 632-002, Elections and Political Processes Portfolio April 5, 2001 Current and Planned Activities											
			Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments	
CTO	Award Level										
IQCs											
IQC w/ Development Associates, Inc. (initial guarantee)											
AEP1-00-00-00008-00	Sacks	25,000	25,000	0	0	25,000	-	12/14/99	12/14/04	new award	
IQC w/ International Foundation for Election Systems (initial guarantee)											
AEP-I-00-00-00007-00	Sacks	25,000	25,000	0	0	25,000	-	12/14/99	12/14/04	new award	
AEP-I-01-00-00007-00											
Rapid Response Task Order		524,788	520,000	0	4,788	520,000	-	09/29/00	12/14/04	210,000 will be used for rapid response activities in Peru and Mali; need amendment to increase ceiling	
Cooperative Agreements/Grants											
CA w/ Consortium for Elections & Political Process Strengthening										Substantial pipeline drawdown expected in FY 2001	
AEPA-00-95-00038-00	Kosinski	82,230,687	67,717,693	47,180,919	14,512,994	20,536,774	26	09/30/95	12/31/01		
G/DG core money (expenditures as of 12/31/00)			16,758,398	13,952,916		2,805,482	12				
CA w/ Consortium for Elections & Political Process Strengthening											
DGC-A-00-01-00004-00	Kosinski	70,000,000	3,000,000	0	67,000,000	3,000,000		03/02/01	03/02/06	new award	

Center for Democracy and Governance, Global Bureau, USAID										
632-003, Civil Society Portfolio										
April 5, 2001										
Current and Planned Activities										
	CTO	Award Level	Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments
Labor IQCs										
Task order w/ World Learning AEPI-05-96-90013-00 Labor Strategy	Meehan	138,540	138,540	65,200	0	73,340		04/10/98	06/14/00	task order completed; final report received.
Cooperative Agreements/Grants										
CA w/ Fair Labor Association										
AEPA-00-99-00047-00	Meehan	759,000	739,000	456,236	20,000	282,764	7	08/30/99	08/30/00	Ceiling will be raised to 1,509,000; will be extended to 8/30/01.
new Global Labor CA (planned)	Hancock							10/01/01	09/30/06	RFA on hold pending decision on funding level.
Grant to American Center for International Labor Solidarity										
AEPG-00-97-00035-00	Meehan	60,010,547	45,614,974	32,496,050	14,395,573	13,118,924	15	09/29/97	09/28/01	a no-cost extension is pending; CTO would like nine months.
Grant to International Labor Rights Fund										
AEPG-00-99-00062-00	Hancock	400,000	400,000	149,780	0	250,220	20	09/29/99	12/30/01	ceiling will be raised to 552,880
IAs										
RSSA w/ Labor Department										
LAGR-DL-93-00044-00	Hansen	1,454,016	958,813	781,134	495,203	177,679	19	09/20/93	09/30/03	will fully expend this RSSA, then issue new five year, two-person RSSA
Civil Society IQCs										
IQC w/ Management Systems International (initial guarantee)										
AEP-I-00-00-00018-00	Black	25,000	25,000		0	25,000		07/11/00	07/11/05	new award
AEP-I-01-00-00018-00										
Rapid Response Task Order		547,831	325,000	0	222,831	325,000		09/05/00	07/11/03	new award

	CTO	Award Level	Total Obligations as of 3/15/01	Total Expenditures as of 3/15/01	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments
IQC w/ Creative Associates (initial guarantee)										
AEP-I-00-00-00019-00	Black	25,000	25,000		0	25,000		07/11/00	07/11/05	new award
Task order w/ Management Systems International										
AEPI-10-96-90012-00 Civic Education II	Hansen	587,697	302,526	256,116	NA	46,410		09/28/98	06/08/00	task order completed; final voucher received.
Cooperative Agreements/Grants										
CA w. Academy for Educational Development										
AEP-A-00-01-00004-00	Nelson	5,999,687	1,300,000	0	4,699,687	1,300,000		03/09/01	03/09/06	new award
CA w. Pact, Inc.										
GEG-A-00-01-00005-00	Nelson	6,000,000	1,300,000	0	4,700,000	1,300,000		03/09/01	03/09/06	new award
grant to Nation Institute										
AEPG-00-99-00015-00	Black	226,000	226,000	140,673	0	85,327	11	03/16/99	08/11/00	extending to 2/1/01
IAs										
IPA w/ Bucknell U.										
IA000980003729	Hansen	309,431	278,639	278,639	NA	0		09/23/98	08/16/00	work completed; final voucher received.

Center for Democracy and Governance, Global Bureau, USAID										
632-004, Governance Portfolio										
April 5, 2001										
Current and Planned Activities										
	CTO	Award Level	Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments
Anti-Corruption IQCs										
IQC w. Casals & Associates for anti-corruption (initial guarantee)										
AEP-I-00-00-00010-00	Kite	25,000	25,000	0	0	25,000	-	12/14/99	12/14/04	new award
IQC w. Management Systems International (initial guarantee) for anti-corruption										
AEP-I-00-00-00009-00	Kite	25,000	25,000	0	0	25,000	-	12/14/99	12/14/04	new award
AEP-I-01-00-00009-00										
Rapid Response task order		434,547	250,000	0	184,547	250,000	-	05/26/00	12/12/04	new award
task order w. IRIS-University Research Corporation for anti-corruption case studies										
PCEI-06-97-00042-00	Kite	196,878	196,878	196,878	0	0	-	10/07/98	11/15/00	task order completed and fully expended; final product received.
Cooperative Agreements/Grants										
Grant to Transparency International for anti-corruption										
AEPG-00-95-00028-00	Kite	2,782,716	2,782,716	2,011,813	0	770,903	24	06/22/95	12/31/01	1. Two year extension expected. 2. New funding needed. 3. Endowment under study.
G/DG core			2,674,716							
(About 108,000 of the 2,782,716 is buy-ins.)										
Civil Military Affairs										
Cooperative Agreements/Grants										
CA w. National Democratic Institute for civil-military affairs										
AEPA-00-98-00014-00	Eisenbeis	3,793,092	2,500,000	2,200,000	1,293,092	300,000	4	07/08/98	12/31/02	follow-on requirements under review
G/DG core			1,750,000	1,600,000		150,000	2			
(750,000 is OTI field support. Exact breakdown between core and field support pipeline is unknown.)										
Decentralization IQCs										
IQC w. Associates in Rural Development for decentralization										
AEP-I-00-00-00016-00	Fn'Pierre/Bland	25,000	25,000	0	0	25,000	-	07/05/00	07/04/05	new award
AEP-I-01-00-00016-00										
Rapid Response Task Order		413,219	215,000	0	198,219	215,000	-	9/19/00	07/04/05	

	CTO	Award Level	Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments
IQC w. Research Triangle Institute for decentralization										
AEP-I-00-00-00017-00	Fn'Pierre/Bland	25,000	25,000	0	0	25,000	-	07/05/00	07/04/05	new award
Legislative Strengthening IQCs										
IQC w. Development Associates for legislative strengthening										
AEP-I-00-00-00004-00	Fn'Pierre/Schulz	25,000	25,000	0	0	25,000	-	02/08/00	02/07/05	initial guarantee
IQC w. SUNY-Research Foundation for legislative strengthening										
AEP-I-00-00-00003-00	Fn'Pierre/Schulz	25,000	25,000	0	0	25,000	-	02/08/00	02/07/05	initial guarantee
AEP-I-01-00-00003-00										
Rapid Response Task Order		235,370	100,000	0	135,370	100,000	-	09/01/00	02/07/03	
Policy Reform IQCs										
IQC w. Development Alternatives for policy, legal and regulatory reform										
AEP-I-00-00-00006-00	Fn'Pierre	25,000	25,000	0	0	25,000	-	12/14/99	12/14/04	initial guarantee
IQC Management Systems International-IPC (initial guarantee)										
AEPI-00-95-00034-00	Fn'Pierre	10,000	10,000	2,084	0	7,916	-	09/29/95	09/29/00	on-track
AEPI-01-95-00034-00 Policy G/DG core	Fn'Pierre	3,182,960	3,182,960	3,171,977	0	10,983	-	09/29/95	06/30/99	there is an issue regarding an additional \$65,000 that MSI wants to bill; will be closed out by OP.
AEPI-25-95-00034-00 G/DG core	Fn'Pierre	1,823,238	1,497,250	1,271,250	325,988	226,000	-	09/30/98	03/28/01	on-track: work should be completed by end date.
			853,000							
(please note, the expenditure for this task order reflects expenditures up to 1/18/01.)										
IQC w. Management Systems International for legal, policy and regulatory reform										
AEP-I-00-00-00005-00	Fn'Pierre	25,000	25,000	1,801	0	23,199	-	12/10/99	12/10/04	initial guarantee
AEP-I-01-00-00005-00										
Rapid Response task order		427,851	225,000	0	202,851	225,000	-	06/07/00	12/12/04	

Center for Democracy and Governance, Global Bureau, USAID										
632-005, Cross-Cutting Services Portfolio										
April 5, 2001										
Current and Planned Activities										
	CTO	Award Level	Total Obligations as of 9/30/00	Total Expenditures as of 9/30/00	Mortgage	Pipeline \$	Pipeline Months	Begin Date	End Date	Comments
IQCs										
IQC w/ Management Systems International (initial guarantee)										
AEPI-00-99-00040-00	Kaufman	25,000	25,000	0	0	25,000		09/29/99	09/29/04	on-track
Rapid Response task order										
Program Funds	Kaufman	410,000	410,000	361,800	0	48,200	1	10/05/99	09/29/02	on-track
OE Funds			355,000	350,046	NA	4,954	0			
			55,000	11,754	NA	43,246	40			
(Please note, expenditures for this IQC reflect accrued expenditures as of 1/01)										
IQC w/ Associates in Rural Development (initial guarantee)										
AEPI-00-99-00041-00	Kaufman	25,000	25,000	0	0	25,000		09/29/99	09/29/04	
Contracts										
Contract w/ Academy for Educational Development (buy-in to R & RS program)										
AEPC-00-94-90035-00	Wiebler	NA	2,436,311	2,015,010	NA	421,301	15	09/30/94	04/30/01	need to add 800,000 to cover expenditures through 4/02
contract w/ PaL-Tech, Inc.										
AEPC-00-99-90032-00	Moore	605,629	605,629	174,880	0	430,749	30	09/22/99	12/31/02	on track
Cooperative Agreements/Grants										
CA w/ World Learning, Inc.										
AEPA-00-95-00024-00	Marshall	9,550,000	5,713,213	4,622,446	3,836,787	1,090,767	15	06/16/95	09/30/01	will be extended 5 years.
Grant to United Nations/Habitat										
AEPG-00-99-00064-00	Hyman	400,000	400,000	140,039	0	259,961	22	09/29/99	03/31/01	on track
IAs										
RSSA w. US Department of Agriculture										
AEPR-00-99-00001	Wiebler	open	803,609	442,814	NA	360,795	20	09/30/98	open	funded through CY 2000; annual expenditure level of \$230,000

USDH Staffing Requirements by Backstop, FY 2001 - FY 2004

Mission: G/DG

Occupational Backstop (BS)	Number of USDH Employees in Backstop in			
	FY 2001	FY 2002	FY 2003	FY 2004
Senior Management				
SMG - 01	2	2	2	2
Program Management				
Program Mgt - 02	1	1	1	1
Project Dvpm Officer - 94				
Support Management				
Secretary - 05	1	1	1	1
Controller - 04				
Legal - 85				
Commodity Mgt. - 92				
Contract Mgt. - 93				
Sector Management				
Agriculture - 10 & 14				
Economics - 11				
Democracy - 12	23	23	23	23
Food for Peace - 15				
Private Enterprise - 21				
Engineering - 25				
Environment - 40 & 75				
Health/Pop. - 50				
Education - 60				
Total	27	27	27	27

ANNEX A: G/DG Strategic Framework

<u>932-001: Rule of Law</u>	<u>932-002: Elections and Political Processes</u>	<u>932-003: Civil Society</u>	<u>932-004: Governance</u>
Legal systems operate more effectively to embody democratic principles and protect human rights	Political processes, including elections, are competitive and reflect the will of an informed citizenry	Informed citizens' groups effectively contribute to more responsive government	National/local government institutions more openly and effectively perform their public responsibilities
INDICATORS	INDICATORS	INDICATORS	INDICATORS
<p><u>1.1</u> Countries implementing legal systems reform programs. (<i>Legal Reform/Codification of Human Rights</i>)</p> <p><u>1.2</u> Countries implementing court administration programs. (<i>Administration of Justice</i>)</p> <p><u>1.3</u> Countries introducing mechanisms to expand access of women and poor and other marginalized populations to legal systems. (<i>Access to Justice</i>)</p>	<p><u>2.1</u> Countries with fully codified electoral laws and regulations that conform with international standards. (<i>Impartial Electoral Framework</i>)</p> <p><u>2.2</u> Countries with independent electoral commissions operating effectively. (<i>Credible Electoral Administration</i>)</p> <p><u>2.3</u> Countries reporting effective oversight of elections through domestic and/or international monitoring and independent media coverage. (<i>Effective Oversight of Electoral Processes</i>)</p> <p><u>2.4</u> Countries meeting targeted increases in citizen participation in elections through voter education and mobilization efforts. (<i>Informed and Active Citizenry</i>)</p> <p><u>2.5</u> Countries with political parties organized to represent a broad constituency through internal democratic processes. (<i>Representative and Competitive Multiparty System</i>)</p> <p><u>2.6</u> Countries meeting targeted increases in political participation by women and disadvantaged groups. (<i>Inclusion of Women and Disadvantaged Groups</i>)</p> <p><u>2.7</u> Countries in which political power is peacefully transferred following elections through established transition processes. (<i>Well-established Procedures for Transfers of Power</i>)</p>	<p><u>3.1</u> A legal framework to protect and promote civil society ensured. (<i>Enabling Environment</i>)</p> <p><u>3.2</u> Increased citizen participation in the policy process and oversight of public institutions. (<i>Advocacy</i>)</p> <p><u>3.3</u> Increased institutional and financial viability of CSOs. (<i>Sustainability</i>)</p> <p><u>3.4</u> Enhanced free flow of information. (<i>Media</i>)</p> <p><u>3.5</u> Strengthened democratic political culture. (<i>Civic Education</i>)</p>	<p><u>4.1</u> Governments articulate and sponsor anti-corruption measures. (<i>Governmental Integrity</i>)</p> <p><u>4.2</u> Local-level governments improve democratic processes. (<i>Democratic Decentralization</i>)</p> <p><u>4.3</u> Legislative bodies improve their effectiveness and accountability. (<i>Legislative Strengthening</i>)</p> <p><u>4.4</u> Countries progress toward effective civilian control over the national military. (<i>Civil –military</i>)</p> <p><u>4.5</u> Countries effectively manage policy implementation. (<i>Policy Implementation</i>)</p>

Rule of Law

Elections and Political Processes

Civil Society

Governance

INTERMEDIATE RESULTS

INTERMEDIATE RESULTS

INTERMEDIATE RESULTS

INTERMEDIATE RESULTS

1.1
Technical leadership in the subject area

1.2
Timely and relevant field support to USAID Missions

1.2
Timely and relevant field support to USAID Missions

1.2
Timely and relevant field support to USAID Missions

1.2
Timely and relevant field support to USAID Missions

1.3
Non-presence country and global activities

INDICATORS

INDICATORS

INDICATORS

INDICATORS

1.1
Technical publications and occasional papers; training activities; foreign policy and other donor influence

1.1
Technical publications and occasional papers; training activities; foreign policy and other donor influence

1.1
Technical publications and occasional papers; training activities; foreign policy and other donor influence

1.1
Technical publications and occasional papers; training activities; foreign policy and other donor influence

1.2
Buy-in levels; TDY assistance; mission consultations

1.3
Accomplishments by program reported

ANNEX B:

Results to Date of All G/DG Authorized Non-presence Country Activities

G/DG's activities in non-presence countries are conceived jointly with State and our partners. New activities are reviewed by Center staff, the Office of General Counsel, and the appropriate regional bureau. Approved activity information sheets are then submitted to PPC. In most cases, non-presence country activities provide technical assistance to nascent government institutions that have little democratic history. Many of these programs work in countries that are still troubled by political instability, and training needs are great. The Center's mechanisms are flexible and allow for re-programming of funds if a country becomes ineligible for assistance or a program expands its scope. In most cases, tangible results are achieved.

A non-presence review was held this year to examine program progress and results. At this review, it was concluded that reports from partners would be sent to embassies for review and comments as part of the program oversight. When embassies do not respond, regional coordinators will work with their State regional counterparts to assure an embassy response, so that program monitoring is more systematically addressed. Programs approved so far are described below. The review also concluded that USAID has provided a timely, relevant response to implement programs viewed by State as being high, foreign-policy priorities. It was also noted that large programs in countries with low political will tend not to produce significantly greater impact than smaller programs.

New and On-going Activities—AFR

Burkina Faso

Grantee: CEPPS

Obligated: \$150,000

Expended: \$0

Status: New. CEPPS/NDI received funds to implement a political party program from March 1 through September 30, 2001. The overarching goal of the program is to spark a dialogue between the ruling party and elements of both the "moderate" and "radical opposition" coalitions. These coalitions want a more level political playing field for the 2002 legislative elections. The program will comprise three components: an assessment mission, a study mission, and roundtable discussions following the study mission. These missions and discussions will attempt to build consensus among the parties and set an agenda concerning a range of political reform issues. The program is currently under review by the U.S. Embassy in Burkina Faso.

Central African Republic

Grantee: CEPPS

Obligated: \$200,000

Expended: \$0

Status: New. In the fall of 2000, CEPPS/NDI received ESF funds to provide legislative assistance to the National Assembly to strengthen its legislative and representational capacity. By its efforts to censure the government, the National Assembly has demonstrated that it can serve as a check on the executive. The project entails conducting training seminars and workshops on topics identified jointly by NDI and Central African deputies, as well as assisting the assembly in establishing mechanisms through which members can reach out to their constituents. The program will begin in spring 2001.

Congo-Brazzaville

Grantee: CEPPS

Obligated: \$533,680

Expended: \$393,446

Status: Continuing/Delayed due to political instability. After years of civil war, CEPPS/IFES began exploring the possibility of returning to Brazzaville in May 2000. IFES planned to use funds originally awarded for the support of the Congolese electoral process for a technical assessment and relevant follow-on activities. IFES Program Director for Africa and the Near East Tom Bayer was scheduled to do a pre-assessment mission to Brazzaville in December 2000, but IFES abandoned the mission when cancelled flights caused logistical complications. Although IFES continues to monitor political conditions, turmoil has prevented further activities.

Cote d'Ivoire

Grantee: CEPPS

Obligated: \$595,832

Expended: \$531,666

Status: Activities suspended due to absence of fair elections. After the military coup in December 1999, CEPPS prepared and distributed a final report based on its November 1999 technical assessment mission. The report highlighted the preparations that were underway in November and December 1999 for the 2000 elections and identified next steps for future assistance. In July 2000, after Cote d'Ivoire held a referendum on a new constitution, IFES and NDI resumed activities and began a civic education program. The program designed, produced, and distributed 5,000 posters to educate the electorate on the use of the single ballot. CEPPS also coordinated a mobilization campaign with six local NGOs and supported a roundtable of 40 religious leaders. Though presidential

elections in October were problematic, NDI assisted a coalition of Ivorian civic organizations to implement a nationwide election monitoring program for the December 2000 legislative elections. Additional irregularities in the legislative elections have resulted in political instability, and activities are on hold.

Djibouti

Grantee: CEPPS

Obligated: \$350,000

Expended: \$131,413

Status: Continuing/On-track. Though troubled by ethnic strife and dominated by the executive branch, Djibouti's government is, according to State, open to democratic principles and opportunities for change. In February 2000, CEPPS/IRI initiated a program to foster greater checks and balances in the political system and increase opportunities for political pluralism. A large portion of the program focuses on working with the Djiboutian Human Rights League to strengthen respect for human rights. Although civic education activities were stalled by the Djiboutian government, U.S. Embassy staff in Djibouti called the human rights program a success. IRI also collaborated with the Ministry of Justice on a series of workshops. The workshops brought together different social and political groups to offer their ideas on judicial reform. IRI is now developing two human rights training missions and a study tour to Canada, scheduled for June 2001.

Lesotho

Grantee: CEPPS

Obligated: \$200,000

Expended: \$128,751

Status: Continuing/On-track. CEPPS received FY 1999 funds to help establish a more transparent electoral system for the planned 2000 elections. When political conditions postponed elections until late 2001 at the earliest, CEPPS/NDI focused on providing technical assistance to the sixteen registered political parties. NDI began a series of workshops that helped political parties develop issue-driven platforms and develop their membership base. The workshops focused on helping the parties develop their respective infrastructures and organizational and campaign planning skills. Other themes included the importance of women's and youth leagues' roles and responsibilities within the party and election campaigns, fundraising, and media strategy. NDI also consulted with other donors to ensure coordination and distributed a political party building handbook to political parties. NDI will hold approximately six to twelve more workshops in 2001; the project is scheduled to end on June 30, 2001.

Sierra Leone

Grantee: CEPPS

Obligated: \$258,970

Expended: \$10,823

Status: Delayed due to political conditions. In December 1999, a CEPPS/IFES team began working with the newly created National Electoral Commission (NEC). IFES provided technical support to the NEC for a roundtable conference on elections held on April 18, 2000. The roundtable served as the public launching of the NEC and afforded the opportunity for the NEC to meet in a closed-door session with representatives of political parties and civil society. Though fighting between the Revolutionary United Front and government forces in May 2000 forced a suspension of activities, IFES was able to resume the project by December. IFES sponsored a study mission to Ghana's presidential and parliamentary elections for the NEC and political party and civil society representatives. The project provided additional technical assistance by supporting a strategic planning retreat for the NEC in late January 2001. The retreat provided the first opportunity for the NEC to develop short- and long-term goals for conducting successful future elections. IFES continues to support the NEC in preparing for national elections, expected in late 2001.

Grantee: IFES

Obligated: \$258,970

Expended: \$10,823

Status: Continuing/On-track. IFES/The Law Group organized a mission to consult with the local human rights community. Through the assessment and consultation process, the Law Group sought to refine the proposed workplan for technical support to the human rights community. Based on needs observed during the mission, the Law Group will work to establish a fully functional field office in Freetown by April 2001. While working toward opening the field office, the group supports the human rights work of local NGOs through a number of activities.

New and On-going Activities—ANE

Afghanistan

Grantee: United Nations Center for Human Settlements (UNCHS)

Obligated: \$400,000

Expended: \$140,039

Status: Continuing/On-track. In 1998, after several years of conflict and widespread destruction, the Taliban finally brought much of the central highlands of Afghanistan under its control. In the process, homes were looted and torched, crops destroyed, thousands killed, and human rights abused. Those who hadn't fled to Iran or Pakistan for good returned to piles of rubble where their villages once stood. Notwithstanding the devastation, UNCHS was able to establish a presence in several of the villages and assist in institutionalizing "community fora" to provide local services (especially reconstruction) and some measure of self-government. Indeed, the members of several community fora successfully defended the UN-assisted programs when Taliban threatened to destroy them. Any progress in supporting democratic self-government in the context of present-day Afghanistan would (1) diminish the reach of Taliban's authoritarian rule and (2) establish some basis for a future free and democratic Afghanistan.

Grantee: IFES

Obligated: \$220,000

Expended: \$22,050

Status: Continuing/On-track. In the fall of 2000, IFES conducted an assessment to Pakistan to consult with local women's rights groups and Afghan refugee communities. Through the assessment and consultation process, the Women's Rights Advocacy Program (WRAP) delegation sought to refine the proposed Law Group workplan and select a primary implementing partner in Pakistan. The mission also coordinated on-site administrative details associated with the opening of a small field office. As part of the assessment process, the WRAP delegation conducted an initial training program for Afghan refugee women on strategic advocacy for women's human rights. Other activities under development include the publication of a quarterly newsletter on legal issues and policies related to Afghan refugees, educational and advocacy materials for promoting women's rights awareness, and the establishment of a resource center on refugee rights for the NGO community.

Algeria

Grantee: CEPPS

Obligated: \$688,785

Expended: \$311,767

Status: Continuing/On-track. CEPPS/NDI's current program seeks to strengthen Algeria's parliament as a permanent multi-party forum where dialogue and debate on critical national issues can occur. In addition, it fulfills direct requests from elected MPs and party leaders for technical assistance and comparative government information. In September 2000, NDI developed an 18-month plan to work with parties on party communications and public accountability. NDI designed the activities in coordination with party members and created a baseline assessment of the parties' communication capacities. Training will continue throughout 2001. In addition, a study mission to the US and Canada for MPs and parliamentary officials is scheduled for March 2001.

Grantee: Freedom House

Obligated: \$400,000

Expended: \$24,703

Status: Continuing/On-track. In the spring of 2000, Freedom House (FH) and the other members of the RIGHTS consortium began a project to strengthen the rule of law and human rights protection in Algeria. The program focuses on increasing the capacity of civil society organizations to advocate for rule of law reform and improved human rights protections, as well as strengthening investigative reporting skills of journalists to report on human rights issues. The program will use study tours and visiting fellows programs to achieve its objectives. In the fall of 2000, FH completed the recruitment and selection of participants for the Visiting Fellows and Study Tour program components. Consortium staff traveled to Algeria in December to interview candidates for programs, meet with the U.S. ambassador and embassy staff, and meet with relevant government ministries, lawyers, and judges to discuss the status of justice sector reform initiatives and possible assistance by the consortium. The project also held a meeting with approximately forty representatives of NGOs and the independent media to explain the different program components and distribute applications for the study tour and media training. Various workshops and training programs will continue throughout 2001.

East Timor

Grantee: IDLI

Obligated: \$675,000

Expended: \$167,009

Status: Continuing/On-track. In May 2000, IDLI began a judicial strengthening project to aid in the restoration of law in East Timor. The project provides training to judges, prosecutors, public defenders, court administrators and defense lawyers. IDLI made its first diagnostic visit in May to review previous judicial technical assistance projects and determine existing needs. IDLI conducted four one-week training sessions throughout the summer that addressed criminal and contractual law. Based on input from representatives of the East Timorese judiciary, IDLI designed a five-month series of courses that focus on both civil and criminal law, with special sessions on human

rights and gender issues. In addition, IDLI conducted training on investigating judges' techniques in December. The project will continue throughout 2001.

Grantee: IFES

Obligated: \$300,000

Expended: \$26,577

Status: Continuing/On-track. In collaboration with the United Nations Transitional Authority in East Timor (UNTAET), IFES is working to build the capacity of the East Timorese judicial system. The project supports the recruitment and hiring of lawyers and administrative staff to support the new East Timorese justice system. In the fall of 2000, IFES sent a rule of law specialist to investigate ways to strengthen the judicial mentoring program created by UNTAET. The project also supports placement of an experienced trial lawyer and court administrator to train lawyers and help with the organization of the courts. Throughout 2001, IFES will work with UNTAET to respond to the needs of the changing judicial system.

Grantee: Freedom House

Obligated: \$830,000

Expended: \$38,745

Status: Continuing/On-track. Freedom House and its partner, the Coalition for International Justice (CIJ), launched the East Timor Human Rights Training and Support Program in September 2000. The project provides assistance in human rights promotion through the deployment of six criminal investigators to work with UNTAET's Office of Serious Crimes. The project also provides training and technical assistance to local human rights organizations. Throughout the fall of 2000, project staff selected its local partners and developed the training program. The first training was held in January, 2001. The project also began planning for the organizational development training portion of the project. Complications in formalizing the relationship between UNTAET and CIJ-recruited contractors delayed deployment of the investigators. Two investigators began work in early December 2000, and two more started in January 2001. The programs are scheduled to run throughout 2001.

Iraq

Grantee: CEPPS

Obligated: \$96,000

Expended: \$63,397

Status: Suspended. In April 2000, CEPPS/NDI was given FY 1999 ESF to assess the prospects for supporting and strengthening democratic institution building in northern Iraq. NDI gathered information on the political environment through meetings with various experts and recruited a consultant to plan and conduct an assessment mission. In September 2000, NDI staff and State officials concluded that too many security risks existed for the assessment mission to be carried out. NDI suspended all program activity and planned to evaluate later the feasibility of an assessment.

Oman

Grantee: IDLI

Obligated: \$500,000

Expended: \$228,516

Status: Continuing/On-track. Based on a need assessment conducted in January 1999, IDLI organized two ROL training programs, completed in the fall of 1999. In addition to the training, 12 Omani judges received fellowships to IDLI courses. Phase Two of the project began with a mission to Muscat from September 28 to October 8, 2000. The mission gathered information on the state of implementing the new court system and the training needs of Omani judges, prosecutors and apprentice lawyers. Working with Omani officials, IDLI then identified five workshop topics to continue strengthening the judiciary. Topics include arbitration, NGOs, prosecution, privatization, and WTO and disputes resolution. The first workshop was held in March 2001 on the WTO. Workshops will continue throughout 2001.

Grantee: CEPPS

Obligated: \$150,000

Expended: \$2,918

Status: New. Launched in December 2000, CEPPS/IRI's program is designed to strengthen Oman's legislative branch. Because of different party leadership in the two legislative houses, IRI has encountered challenges in developing a preliminary two-week training, currently scheduled for the end of April 2001.

Papua New Guinea

Grantee: CEPPS

Obligated: \$150,000

Expended: \$26,352

Status: Continuing/Delayed due to political conditions. CEPPS/IFES received funding to support government elections in Bougainville Province. Conflict among factions in Bougainville and with the national government has delayed elections indefinitely. After discussions with the Election Commission of Papua New Guinea and the U.S. Embassy there, IFES turned its attention to technical assistance that would benefit the national electoral system. IFES proposed developing a set of training materials for election workers, including a poll worker manual and a manual for vote counters, as well as training of trainer workshops. The U.S. Embassy is reviewing the training proposal.

importantly, 2) exposure of those in the Lao justice sector to the importance of the rule of law, and 3) a beginning of the slow process of stimulating demand for judicial independence and professionalization. The final phase of this project started in February 2000 with the participation of two benchbook authors in a five-week enterprise and investment lawyers course. The project ended in March 2000.

Thailand

Grantee: CEPPS

Obligated: \$200,000

Expended: \$197,537

Status: Completed. CEPPS/NDI provided training and technical assistance to Pollwatch, a Thai organization created to support free and fair elections, in preparation for spring 2000 elections. NDI advised Pollwatch on developing an election-monitoring manual and hosted a workshop in October 1999 to review the manual. In addition, NDI coordinated with the Election Commission of Thailand, Pollwatch's regional networks and the Solidarity Center to host a training workshop for monitors of the October 1999 municipal elections. When senatorial and general elections were scheduled for the spring of 2000, G/DG granted NDI an extension through June 2000 to complete a post-election conference. The conference brought together trainers and advisors who previously worked with Pollwatch to evaluate the monitoring process and discuss next steps for the regional networks.

Completed Activities—LAC

Venezuela

Grantee: CEPPS

Obligated: \$47,291

Expended: \$46,621

Status: Completed. Grantee organized a conference on political party and campaign financing.

Grantee: CEPPS

Obligated: \$250,000

Expended: \$249,648

Status: Completed. Grantee monitored local and national elections in November and December 1998.

ANNEX C: Implementing Policy Change: What USAID has Learned

Based on 10 years of field experience linked to learning, G/DG's Implementing Policy Change project has developed approaches to improve the likelihood of successful policy reform efforts. We now better understand distinguishing features of the policy reform environment:

- Policy implementation is not a linear, coherent process.
- No single agency can manage the policy implementation effort
- Policy implementation creates winners and losers
- The resources required to implement policies may not be readily available.

USAID developed a framework to help policy managers understand and navigate the complexities associated with policy implementation. The framework divides policy implementation into six roughly sequential tasks, which all need to be revisited over the life of a given reform. The tasks include: *legitimation* of the policy being implemented (Is the policy change accepted as worthwhile?); *constituency-building* (What steps are needed to identify and mobilize those that support a given policy and deflect the criticism of those that oppose it?); and *resource accumulation* (What are the financial and human resources required to help implement the desired policy change?).

From there, other tasks include working through organizational designs and structures of implementing agents, mobilizing actions, and establishing and using monitoring systems. Strategic management approaches and associated tools have been adapted and created to support accomplishment of all of the implementation tasks. Descriptions of features of the policy reform environment, the importance of giving attention to the process of reform as well as associated technical issues as well as approaches, tools and experiences supporting partner country managers to navigate policy implementation are captured in a series of publications, including an overview of lessons and a sourcebook chronicling the 10 years of project knowledge and lessons. In addition to creating knowledge about how to more successfully manage the policy implementation process, the project has created a framework for identifying political will, identified strategic options for influencing accountability, developed alternative approaches to initiate and manage public/private partnerships, and increased our understanding of operations of executive offices and policy analysis units in transitioning democracies.

IPC in Action

- In Ukraine, USAID assistance helped extend widespread concerns about the negative effects of corruption on private investment into the eventual adoption of a clear set of transparent rules and regulations for business. Meetings at the local and national levels forged a consensus on the desirability of the business community working with public officials to curb abuses. This laid the groundwork for a locally focused strategy to implement the new regulations.
- In Uganda, a USAID-supported team helped to get government policy toward the private sector accepted as a legitimate issue by organizing a series of government-business consultations, the first of which was chaired by President Yoweri Museveni. The consultations were formalized as the Uganda National Forum. Today, many observers credit the forum as a catalyst leading to the pro-private sector policy environment and increased private investment that the country currently enjoys.
- Participation is a key element in most constituency-building, as evidenced in the broad-based consultative process that USAID created to advance the implementation of regionally integrated transportation and communication policy in the Southern African Development Community (SADC). Public and private sector actors were invited into the process through a series of large, national workshops, where the issues relevant to each sector were discussed and prioritized. Regional workshops then assembled the national input, resolved points of disagreement, and

drafted policy protocols. Regional treaties incorporated these protocols, which were eventually adopted by each of the 11 SADC member countries. The result was improved standards and regulations for railway, road, ports and shipping, air transport, telecommunications, postal service, and meteorology implemented uniformly throughout the region.

- In Egypt, the National Program for Integrated Rural Development introduced policy reforms to strengthen local government. USAID-supported technical assistance helped subnational authorities to design and manage a decentralized decision-making and resource allocation system. This system promoted demand-driven local-level planning and project implementation in support of the government's decentralization policy, resulting in a better fit between local needs and use of resources.
- In Mali, with USAID analytic assistance, the Forestry Department examined the fit between its existing structures and procedures, and the implementation requirements of a revised forestry law that mandated resource management in cooperation with local communities. The analysis led to changes in the department's operations; forestry agents moved from policing toward assisting communities to achieve a sustainable balance between tree cutting and conservation. Instead of concentrating on issuing fines for illegal tree cutting, agents worked with community resource management committees to develop tree harvesting plans and local enforcement procedures.
- In West Africa, USAID provided assistance to implement regional livestock trade policy. For the countries (Burkina Faso, Cote d'Ivoire, and Mali), an informal committee structure that assembled government officials and private sector actors for dialogue, action planning, and results monitoring was established. This structure contributed to the success achieved in reducing excessive fees charged to livestock producers, eliminating needless regulations, and increasing the volume of livestock trade.
- In Mozambique, USAID helped to organize national and provincial workshops to facilitate the implementation of the country's decentralization policy. These workshops fostered debate and helped to build a consensus among government and civil society stakeholders on strategies, roles, responsibilities, and actions to make decentralization operational.
- Through USAID-provided assistance, Honduras established a Policy Analysis and Implementation Unit to assist the president's Economic Cabinet to improve policy decision-making with a strong focus on tracking implementation and results achieved. As a result, cabinet ministers managed their sectoral portfolios more effectively and fine tuned investments to respond to citizens' needs.
- In West Africa, the livestock action plan committees monitored and noted problems in compliance with the plan's steps to reduce excessive regulation. Livestock producers credited this oversight with keeping the reforms on track and achieving the intended reductions in petty corruption and commerce-inhibiting regulation.
- In the Philippines, USAID-supported process facilitators helped a joint team from the Department of Finance and the Customs Bureau to guide the Inter-agency Tax Credit and Duty Drawback Center from start-up to operations. The center achieved remarkable success in streamlining tax rebate procedures for Philippine export firms, which resulted in cutting operating costs to exporters, thereby enhancing their competitiveness, and in reducing corruption, which had plagued the tax rebate system in the past.
- In Tanzania, a tax policy reform effort combined training with process consultation. Staff of the Tanzania Revenue Authority received strategic management training that was followed up periodically by in-country visits from a tax policy expert, who helped the staff to move the reform forward by applying what they had learned. Preliminary indications are that tax collection and taxpayer compliance have increased, and fraud and corrupt practices have decreased.

- USAID's assistance to the Tanzania Revenue Authority featured training in stakeholder analysis and application of the tool to the elaboration of various revenue-generation alternatives; this was critical, for example, to devising strategies to increase taxpayer compliance.
- A stakeholder analysis in India helped USAID avoid a costly mistake. In the process of developing a women's and children's health project, the USAID Mission conducted a stakeholder analysis to determine the degree of support for, and consensus on, the project's approach to health service delivery and the allocation of implementing responsibility. The analysis uncovered significant disagreements and government unwillingness to delegate operational authority to NGOs and local communities. USAID decided that the project would not be able to achieve its objectives and cancelled it.
- In Ecuador, USAID assisted a health sector reform team to conduct a mapping exercise that contributed to strategically managing the introduction of new methods of financing health service delivery. The map helped the team to reduce the opposition of health worker labor unions to the reform.
- In El Salvador, the agency for environmental protection (Ministerio del Ambiente y Recursos Naturales) received technical assistance in political mapping to build scenarios of likely support for and opposition to environmental policy reforms in the forestry, water, and coastal resources sectors. As a result, the agency carried out a series of citizen consultations to increase understanding and support for the new environmental policies.
- In Ghana, USAID supported a public-private workshop that focused on diversifying exports. This workshop brought together prominent members of the business community, Ghana Export Promotion Council staff, and representatives of the Ministries of Finance, Trade, and Agriculture. It created a shared understanding of the policy issues and implementation constraints to sustained growth in non-traditional exports and built agreement on what actions could be taken to improve export promotion policy.
- In South Africa, USAID provided support to local associations to improve their negotiation, lobbying, and advocacy skills so that they could engage in policy dialogue with government on promoting small business in general and black small businesses in particular. One of the associations, the National Federation of African Chambers of Commerce, focused on barriers to entry. It commissioned a study that the chambers of commerce subsequently used to lobby successfully for streamlined procedures to establish small businesses.
- In Bulgaria, a USAID technical assistance team helped local officials to develop negotiation skills in the context of decentralization policy that sought to devolve increased responsibilities to local municipalities. Implementing the policy called for ongoing negotiation between central authorities and the municipalities regarding resources, responsibilities, and procedures.
- USAID pioneered approaches to improving the policy coordinating capacity of executive offices of African countries. It sponsored two regional African Executive Office Conferences, which provided fora for executive office staff (usually from the Office of the President of their country) to learn about best practices in other countries from the region and beyond. The success of these conferences led to the development of a formal information-sharing network of African Executive Office staff, with members from 10 countries.
- USAID provided technical assistance to improve policy coordination in Honduras, Jamaica, and Zambia. In Zambia, for example, developing rules for content and format of policy proposals submitted for cabinet debate greatly improved coordinated decision-making by giving ministers a common information base that highlighted trade-offs and complementarities among policy options. In Jamaica, the unit helped to identify and eliminate redundant and conflicting functions in the Ministry of Finance and the Central Bank, which resulted in more efficient coordination of fiscal policy.

- USAID supported the creation of a network of independent business associations in West Africa. From an original base of eight small, national associations, the WAEN, now a formally registered regional NGO headquartered in Ghana, comprises active national networks in 12 countries with over 300 businesspeople as members. Its mission is to improve the business climate in member countries and to promote cross-border trade and investment. Initially, the WAEN pursued cautious policy dialogue with governments that were at first suspicious of organized citizen efforts to lobby them. Over time, network members were able to demonstrate convincingly their sincerity in fostering economic growth, and the governments became more open and responsive. A partnership gradually emerged, and the WAEN participated in the reform of legal and regulatory regimes, including revised investment codes, foreign exchange acts, and business tax policies in its member countries. The WAEN has also created new financial instruments and has fostered a number of joint ventures as a result of its efforts. The regional federation of national associations model proved so successful that the business communities in both Eastern and Southern Africa requested and received USAID and World Bank assistance to organize enterprise networks in their own regions.
- USAID's assistance program to Bulgaria focuses on nurturing private sector development. It began with firm-level assistance, helping a selected set of individual firms to build their capacity and to gain access to the financial resources necessary for expansion. USAID quickly found that legal and policy constraints had to be confronted in order to create an enabling environment for privately owned business and competitive markets. USAID provided assistance to business associations in building coalitions, lobbying, and policy dialogue. Among the results achieved was a highly participatory policy consultation and legislative drafting process that led to the development and passage of a new small- and medium-enterprise law. Bulgarian government officials and civil society participants commented that it was the most democratically formulated law in the country's history, and this was the first time they had worked in open and egalitarian partnership with each other. Further, they noted that working in partnership resulted in better quality legislation, because the provisions included in the law better reflect what is needed to support the small- and medium-enterprise sector. For instance, the law reduces the number of inspections small and medium enterprises are subject to. This change decreases operating costs and limits corruption. Previously, government inspectors conducted numerous arbitrary inspections, and used the threat of assessing violations to solicit bribes.

Policy Reform: Looking Forward

As USAID continues to work with its development partners around the world, it recognizes a number of emerging challenges related to policy implementation. Some of these derive from application of the implementation techniques and tools to new development tasks. Others stem from changes in the operating environment of host-country policy implementors that suggest the need for additional refinement of the policy analysis and management toolkit. They include the following:

Transitioning from complex emergencies: Countries seeking a way forward after natural disasters or debilitating regional or civil wars confront pressing political, humanitarian, and development challenges. USAID has played an important role in disaster response and humanitarian assistance, and has noted that managing transitions shares some of the features, albeit in more dramatic and acute forms, of implementing policy reforms: for example, planning with incomplete information, working in unstable political environments, getting diverse organizations to work together, and dealing with winners and losers. Many of the tools developed for the implementation of policy could be applied to helping countries deal with the aftermath of complex emergencies and speed the transition from relief to development.

Anticipating and managing conflict: While some degree of conflict almost always accompanies the implementation of policy change, implementation is greatly hindered by excessive or disruptive conflict. It is vital to understand up front where in the course of policy implementation to expect conflict, how to recognize it, and what actions can be taken to manage it. Just as project management principles

have contributed to policy implementation, conflict management approaches that have been developed for resolving policy disputes could be adapted to other conflict-laden settings within communities and among organizations.

Dealing with globalization: Developing and transitional countries face a complex transnational network of forces collectively referred to as globalization. These include the dominance of international capital, free markets, trade and export emphases, and the telecommunications revolution. Country officials find themselves subject not simply to the pressures and expectations of their citizens, but beholden in various ways to an expanded set of international stakeholders. Coping with transnational conventions and entities, such as the World Trade Organization, the North American Free Trade Agreement, or the Climate Change Convention, closely resembles the multi-organizational, multi-constituency setting of policy implementation. This could be another potentially fruitful area of application of the policy implementation lessons.

Institutionalizing democratic governance: USAID's experience with democratization has led to a deeper understanding of the transition process. Countries follow different trajectories, backsliding and reverses can occur, and the process is much longer term than originally anticipated. It is clear that there is more to be learned about designing and managing policy change within newly democratizing settings. Areas for focus include (a) broadening the participation of organizations in the policy process beyond the executive branch, to include the legislative and judicial branches of government; (b) more effectively including previously marginalized groups in policy debates, formulation, and implementation; and/or (c) addressing the ongoing problem of corruption.

Incorporating HIV/AIDS: The spread of the HIV epidemic and associated morbidity and mortality from AIDS cannot be ignored. AIDS means that many countries are faced with falling life expectancies, growing numbers of orphans, and the loss of people in the most productive years of life. The implications of this for policy implementation and change are not understood and have not been fully explored. Indeed the epidemic is still unfolding, so we do not understand what may evolve.



Center for Democracy and Governance
Bureau for Global Programs, Field Support, and Research
U.S. Agency for International Development
Washington, D.C. 20523-3100
Tel: (202) 712-1892
Fax: (202) 216-3232