

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT IDENTIFICATION DOCUMENT
FACESHEET (PID)

1. TRANSACTION CODE
A A = Add
C = Change
D = Delete
Revision No. _____

DOCUMENT CODE
1

2. COUNTRY/ENTITY
Worldwide

3. PROJECT NUMBER
936-5458

4. BUREAU/OFFICE
R&D/EID
A. Symbol _____ B. Code **[]**

5. PROJECT TITLE (maximum 40 characters)
Transitions to Democracy (TID)

6. ESTIMATED FY OF AUTHORIZATION/OBLIGATION/COMPLETION
A. Initial FY **93**
B. Final FY **98**
C. PACD **[]**

7. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 =)

FUNDING SOURCE		LIFE OF PROJECT
A. AID R&D/EID		6,250
B. Other U.S.	1. buy-ins	11,000
	2. oyb transfers	535
C. Host Country		
D. Other Donor(s)		
TOTAL		17,785

8. PROPOSED BUDGET AID FUNDS (\$000)

A. APPRO- PRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. 1ST FY 93		E. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) PSEE	600	700		1,100		5,250	
(2) ARDN						1,000	
(3) DFA						400	
(4) SEED						135	
TOTALS						6,785	

9. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)
710 740

10. SECONDARY PURPOSE CODE

11. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code	PART	INIR	RGEN	TGN
B. Amount	3,100	2,000	750	600

12. PROJECT PURPOSE (maximum 430 characters)

To expand the knowledge and capacity of host country governments and NCOs to advocate, deepen and sustain democratic governance and to strengthen key processes and institutions that are essential for good governance and democracy.

13. RESOURCES REQUIRED FOR PROJECT DEVELOPMENT

Staff: **1 R&D/EID Direct Hire**
1 Consultant: 15 person days (experience in project design, democratic development, and indicators)

Funds **R&D/EID**

14. ORIGINATING OFFICE CLEARANCE

Signature _____
Title **Acting Director
Office of Economic and Institutional
Development**

Date Signed **MM DD YY**

15. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
MM DD YY

16. PROJECT DOCUMENT ACTION TAKEN

S = Suspended CA = Conditionally Approved
 A = Approved DD = Decision Deferred
 D = Disapproved

17. COMMENTS

18. ACTION APPROVED BY

Signature _____
Title **Richard Bissell,
AA/R&D**

19. ACTION REFERENCE

20. ACTION DATE
MM DD YY

PROJECT IDENTIFICATION DOCUMENT

TRANSITION TO DEMOCRACY
PROJECT

Project No. 936-5458

SOURCE SELECTION INFORMATION -- SEE FAR 3.104.

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Bureau for Research and Development
Office of Economic and Institutional Development
Institutional Development and Management Division

January 1993

B

LIST OF ACRONYMS

CA	Cooperative Agreement
CDIE	Center for Development Information and Evaluation
CSIS	Center for Strategic and International Studies
DAC	Development Assistance Community
EID	Economic and Institutional Development
ICITAP	Investigative Training and Assistance Program
IFES	International Foundation for Electoral Systems
IPA	Inter-Agency Personnel Action
LAC	Latin America and the Caribbean Bureau
LDC	Less Developed Country
NAS	National Academy of Sciences
NDI	National Democratic Institute
NE	Near East Bureau
NED	National Endowment for Democracy
NGO	Non Government Organization
NIS	Newly Independent States
NRI	National Republican Institute
OR	Operational Research
PD&S	Project Development and Support
PID	Project Identification Document
PP	Project Paper
PPC	Program and Policy Coordination
R&D	Research and Development
SUNY	State University of New York
TTD	Transitions to Democracy
WID	Women in Development

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TRANSITIONS TO DEMOCRACY (TTD)

I Project Summary

A. PROJECT SUMMARY

The Transition to Democracy Project (TTD) (No. 936-5458) will be a world-wide, five year project, totalling \$6.2 million in central funding. The purpose of TTD is to expand the knowledge and capacity of host country governments and NGOs to advocate, deepen and sustain democratic governance and to strengthen key processes and institutions that are essential for good governance and democracy. To accomplish this, the project will provide technical assistance for information dissemination, operational research (OR), electoral and other kinds of democratic assistance. Field activities will be coordinated and carried out with host country institutions and personnel and implemented through A.I.D. mission and regional bureau buy-in requests.

Over the 5 years of the project TTD will accomplish the following: 1) an expanded and improved knowledge and programmatic base in A.I.D. and in developing countries to support democracy and good governance; 2) timely communication of research and current activities in support of democracy/governance issues to A.I.D. officers and host country officials; 3) strengthened local capacities of host country institutions and groups to translate research analyses into programs to support democracy; and 4) increased access of host countries to specialized expertise.

To achieve the above, there will be three major activities of this new project.

First, TTD will establish a system for the collection and dissemination of information to assist in the planning, development and evaluation of democracy and governance programs. This will be done by conducting expert review of current literature and activity in democracy. The effort will be disseminated to provide USAIDs and host country governments and groups with relevant and succinct information about: what is known in given areas, its relevance to field activities, and potential project design issues. To support this effort, TTD will also establish a network to access top scholars and practitioners for workshops and seminars. These workshops and seminars will assist in defining and exploring issues in democratic development.

Second, TTD will engage in a program of operational research (OR) in key topics in the

field. The operational research will seek to improve the capacity of participating countries to analyze and formulate policies, strengthen institutions and implement reforms that will support democracy and good governance.

Third, TTD will also provide support for democratic field program activities in areas such as electoral assistance.

II. Program Factors

A. BACKGROUND

As one of A.I.D.'s principal offices for supporting social science research, R&D/EID has since its inception in the late 1970's worked in areas related to political development. From 1978 to 1985, the office had a cooperative agreement with Cornell University to conduct applied research in "participation." More recently, the EID office initiated a contract for applied research with Indiana and Syracuse Universities in "local government and decentralization." A great deal of EID's work in policy change has addressed aspects of initiating and sustaining political reforms as well as assisting and strengthening political institutions to manage economic adjustment policies. These projects provided a core of activities relevant to democracy.

Consequently, following the A.I.D. Administrator's announcement of the Democracy Initiative, EID easily shifted to the broader work of providing research and assistance in democratic development. R&D/EID initially funded the National Academy of Sciences (NAS) to carry out a series of workshops on topics in democracy. In May, the EID office, following the work by the NAS, discussions with the Regional Bureaus and review of CDIE's¹ work assessing A.I.D.'s support to democracy, developed a concept paper proposing an EID project in democracy: Transitions to Democracy (TTD). The major reasons to establish such a project were twofold: to fill several key gaps in our knowledge about facilitating democracies that are not addressed at the Regional Bureau level; and to take advantage of potential economies of scale in providing selected research and technical assistance support for Regional Bureau field programs. In May 1992, the "Tuesday Group"² reviewed the initial concept paper and indicated that EID should go forward with a PID, in consultation with them, based on the guidelines of the concept paper. The concept paper and a draft executive summary of the PID was approved again in September and October,

¹ Gary Hansen, "A.I.D. Support for Democracy: A Review of Experience," June 1991, U.S. A.I.D.

² The "Tuesday Group" is an informal A.I.D. committee composed of representatives from the regional bureaus, the Policy Directorate, and R&D. The group functions as an informal "democracy sector council" and meets on a regular basis to discuss issues of mutual concern and to share information.

1992 by the Regional Bureau Program Officers.

Following the concept paper review, EID has developed a project design for technical assistance in democracy, containing elements of operational research, information collection and dissemination, electoral support and other kinds of democratic assistance. As the project is developed and during its implementation, the EID office will continue to consult extensively with the Regional Bureaus in the design, development and management of the project.

B. RELATIONSHIP TO A.I.D. STRATEGY

Within the last few years A.I.D. has seen the political topography of the globe change dramatically. Authoritarian and communist regimes have collapsed under the weight of popular demands for participation and freedom to give way to democratically elected governments. Those non-democratic regimes that remain are finding their grip on power increasingly tenuous, and many, in the face of popular pressure, have begun to liberalize their economic and political systems.

In response to this historic tide of events, A.I.D. issued the **Democracy Initiative** as one of four new initiatives to guide A.I.D.'s programs in the 1990's. The **Democracy Initiative** committed the Agency to assisting "developing countries to realize their full national potential through the development of open democratic societies and the dynamism of free markets and individual initiative." The **Democracy Initiative** establishes democracy as an economic development issue as well as a political and humanitarian goal for the Agency. While fostering democracy has long been a U.S. foreign policy goal for humanitarian and political reasons, the **Democracy Initiative** cites the growing consensus that democracy and good governance provide an important framework for broad-based sustainable economic growth. To this end, the **Initiative** called on A.I.D. to focus its "experience, skills and resources explicitly to help promote and consolidate democracy."³

The Regional Bureaus and the Missions quickly reacted to the **Initiative**. In 1985, A.I.D. central funding under the category of human rights and democracy totalled just under \$6 million. Only five years later, total assistance for human rights and democracy accounted for over \$145 million of A.I.D.'s funding. Moreover, Bureaus have begun to integrate concern for participation and democracy into all Agency projects. The TTD project's aim is to assist A.I.D.'s Regional Bureaus and missions to respond most effectively to this **Initiative**, the subsequent A.I.D. policy paper and the changing world-wide political environment.

³ "The Democracy Initiative" December 1990, USAID

C. CONFORMITY WITH DEMOCRACY AND GOVERNANCE POLICY PAPER

Shortly after the announcement of the **Democracy Initiative**, A.I.D. developed its **Democracy and Governance Policy Paper**. The **Policy Paper's** purpose was to "provide a clear, coherent and concise statement of AID's democracy program and to articulate the basic objectives and limitations that will guide its implementation."⁴

The **Policy Paper** outlines the focus of the **Democracy Initiative**. This includes strengthening democratic representation, supporting respect for human rights, promoting lawful governance, and encouraging democratic values. In addition to direct support for democratic institutions and groups, A.I.D. Bureaus and Missions are also to integrate support for democracy into the full range of its programs and take progress toward democracy, respect for human rights and lawful governance into account in the allocation of funds.

Since the passage of Title IV of the Foreign Assistance Act of 1961, A.I.D. has worked in the area of participation, human rights and democracy. Nevertheless, the **Democracy and Governance Policy Paper** recognizes that the comprehensive mandate of the Initiative asks bureaus and missions to "develop *new responses* to the new opportunities that are open to the Agency," where there "are no fixed formulae or textbook responses that guarantee success." For this reason, the **Policy Paper** places a heavy emphasis on learning from the Agency's experience, undertaking further research into the theoretical underpinnings and practical applications of democratic development, and continuing to push forward and refine evolving areas.

The Transitions to Democracy Project (TTD) is designed to help satisfy this need. It has a research and information dissemination focus that will ensure that the Agency remains fully integrated into current research and work in democracy and governance. Through the **OR** field studies, TTD will assist host country governments, A.I.D. missions and bureaus understand and respond to key issues in democratic development.

D. WOMEN IN DEVELOPMENT (WID)

The cross-cutting issue of Women in Development (WID) has particular importance for the entire question of democracy. One aspect of this is the reality that in most of the world's societies women have never fully shared in the political process. Expanding the ability of women to insist on governments accountable to them is imperative for democracies to be just, as well as to be effective.

⁴ "Democracy and Governance; USAID Policy," November 1991, Directorate for Policy, U.S. Agency for International Development, Washington, D.C. 20523, p. 3.

Furthermore, many scholars have suggested that, if organized, women's groups in a democracy can become a powerful force for change regarding issues of property rights, poverty, health care, economic discrimination, inferior education for women, etc. TTD will integrate women's concerns into all of the research topics, and will develop an operational research theme on **Women in Democracy**. This is examined in more detail below.

Part of this attention will be in the collection of scholarly and project-based experience in strengthening the role, status and power of women in LDC's. TTD will also target women democratic leaders for workshop and seminar programs and integrate women's issues -- protection of the rights of women, participation of women leaders in democracy -- into the workshop and seminar material. Focusing on bringing women leaders and women's issues into TTD democracy workshops and seminars will increase the leadership role of individual women in the democratic society, give a greater voice to women's rights and groups and ultimately serve to strengthen the democratic culture of the country.

III. Project Description

A. PERCEIVED PROBLEM

Violent civil conflict, corruption, limited freedoms and arbitrary and unresponsive government retard economic and social development in many developing countries. For this reason, political development is central to sustained economic and social development. How public issues are debated, the institutions that form the laws, how policy is implemented, and how government officials are held accountable all form the context for a society's economic and social development.

The collapse of communist and authoritarian regimes has provided the Western countries with an historic opportunity to support economic and political development. Since 1973, more than 40 countries have made democratic transitions by replacing once autocratic regimes with elected governments. This democratic revolution has occurred in every region of the world, sweeping over Asia, Eastern Europe, Africa, Latin America, and the ex-Soviet Union. Countries such as Ecuador, Chile, Hungary, Poland, South Korea, Zambia, and Russia have all made a transition to some form of semi-democracy and are now struggling to consolidate their democratic systems. In addition, close to 30 more countries may be approaching democratic transitions;⁵ Zaire, Kenya and Thailand among others may soon follow the path of their neighbors towards democracy.

⁵ Larry Diamond, "Promoting Democracy," in *Foreign Policy* Summer, 1992, p. 26.

The process of removing an authoritarian government and replacing it with a democratically elected government, however, does not guarantee the successful consolidation of democracy. Of the 40 countries that have made the transition to democracy in the last 19 years, only Greece, Portugal and Spain can be regarded as stable and fully consolidated. The rest remain at different stages of democratic development, their future and stability far from certain. Enduring democratic systems are characterized by meaningful political participation and peaceful competition; protection of basic human rights; lawful governance; and strong democratic values. Building the institutions, culture and systems that support and sustain these characteristics takes resources, time and elite commitment.

Already we have begun to see the erosion of some of the progress towards democracy in countries such as Peru, Cameroon, Sri Lanka and Algeria. Economic crises, ethnic conflict, religious fundamentalism all threaten these nascent democratic regimes and those that soon hope to make the transition. Many of these new democracies may collapse if they are not able to find ways to cope with the economic, social and institutional challenges they are facing.

For this reason, A.I.D. is challenged to identify means to support change and promote advocacy of democratic and economic pluralism, while taking account of political sensitivities. To encourage and support the democratic reforms and movements most effectively demands systematic knowledge of the processes leading to change and the different kinds of support programs that assist democratic development, as well as vehicles to bring this knowledge to bear in project-related activities.

B. Regional Bureau Interest and Demand

Since the announcement of the **Democracy Initiative**, A.I.D. regional bureaus and missions have initiated or augmented programs in support of democratic development. Most bureau and mission activities have tended to concentrate in four areas: strengthening democratic representation; supporting respect for human rights; promoting lawful governance; and encouraging democratic values.⁶ Activities that have fallen under these categories have included support for: elections, judicial reform, NGO's and trade unions, legislatures, civic education, and political parties.⁷

Integrate in here how TID will have "collaborative interaction" w/ Reg. Bureau activities

Typically, these efforts have tended to concentrate on the institutions or characteristics of a stable democracy. There is little in the way of a commonly accepted framework or theory to guide these efforts. At this point, there is **no specific literature on assisting sustainable**

⁶ The exceptions to this are the Near East Bureau and, to an extent, the Africa Bureau. Both bureaus have integrated a political economy perspective for the development of their democracy and governance programs. The result is that the focus and design of many of their activities do not fit neatly into the categories outlined in the **Democracy and Governance Policy Paper**. This divergence within A.I.D. over the best strategic perspective for the design of democracy programs is an important issue and is addressed below under **Theories of Democracy**.

⁷ A more detailed description of Reg. Bur. activities can be found

democratic development and how to measure that effort. What exists now offers little help in determining priorities or sequences for donor interventions. *This is where the TPO project can...*

The experience and literature of the last 35 years have taught us a good deal about the subject; however, little has been done to pull together this work in one coherent whole that can provide the basis for a perspective on where and how donor money can be invested most effectively to assist democratic development. Within Agency and mission democracy assessment reports and strategies is an implicit theory of democratic development. Consultants and scholars who visit the field and recommend programs and projects to support the evolution of democracy carry with them a notion of the forces, institutions and conditions that must emerge and flourish for a successful democratic system. Nevertheless, the implicit theories that undergird their assessments have never been fully fleshed out, studied, debated, and refined by scholars and practitioners.

In a recent paper for the Development Assistance Community (DAC) on supporting democracy, Raymond Gastil discussed what he considers "the urgent need to devise more effective means to achieve sustainable democracy." Gastil concludes that an effort to improve understanding of democratic development "needs to be urgently supported if democracy development assistance is to be effective."⁷ A closely related problem, of course, is the absence of a system of evaluating a donor's overall programmatic impact on a country's democratic development. If a donor can begin to understand the dynamics, processes and linkages of democratic development and how to gauge the effectiveness of work in fostering these forces, then A.I.D. and the donor community can begin to forge the most effective strategy to support democracy.

Beyond the fundamental research on the theories of democratic development and measuring program impact, the Agency needs also to expand its working knowledge on several, specific recurring issues and obstacles. If A.I.D. democracy programming at the regional and country level is to be the most constructive, A.I.D. officers must know more than what a healthy democracy looks like; they must be aware of and understand the immediate constraints and threats to the system they are supporting. Several areas of immediate concern and interest to regional bureaus and missions include intra-state conflict, corruption, structural adjustment and its impact on democracy, and civil military relations. These are areas that frequently weaken and sometimes destroy struggling democracies, as the recent events in Poland, Peru, Nigeria and Algeria cogently demonstrate. These are areas, as a recent CDIE review of A.I.D. activity noted, **where A.I.D. has been generally inactive.** Even if A.I.D. is not to act directly in these areas it needs to be aware of how its projects and programs **indirectly affect and are affected** by these critical issues. Doing this will immensely sharpen the strategic focus of A.I.D. democracy strategy by improving the understanding of key issues and broadening the variety of tools available to assess, develop

⁷ Raymond Gastil, "DAC Member Support for Democratic Development," January 1992, (p.3).

and evaluate programs.

A partial key to understanding how best to assist democratic development is learning from field activities. This process, however, is impeded by weak lateral communication among A.I.D. regional bureaus and the donors in general. Many of A.I.D.'s democracy and governance activities would benefit from insights provided by other donor activities, present work in A.I.D. bureaus or missions and the history of A.I.D. efforts in similar areas. For example, proposed activities regarding local government in Rwanda and parliament in Zambia could benefit from A.I.D.'s extensive experience in the Philippines with local government and in supporting the legislature of South Korea and Thailand. The World Bank and DAC countries are also conducting their own research on democracy and governance. Donor contracted consultants and scholars are holding conferences, writing papers and conducting seminars on issues that are relevant to A.I.D. policy programming. Unfortunately, at this point there is no consistent, organized method to keep the Agency informed of these developments, analyze their implications for A.I.D. activity and deliver this information through technical assistance.

In a recent evaluation of A.I.D. democracy and governance programs, CDIE noted several issues that would require more attention within the Agency "to strengthen the strategic management of the Democracy Initiative." The report noted that "A.I.D. is in the early stages of learning how to develop overall strategies to promote democracy from which to define the kinds of programs and projects to be implemented in a particular country." As part of this process, the CDIE study concluded that the Agency should place great priority on documenting and learning from its "experience at a larger institutional level." The report also concluded that "A.I.D. is supporting few activities in several areas which could either significantly impede or facilitate progress towards democracy." The ignored areas included: civil/military relations, ethnic relations and "understanding of how strategies for promoting democracy might be tailored to reinforce progress in economic reform."⁸

Para. on Reg. Bur. interests. which bur. like which components

B. MISSION INTEREST AND DEMAND

The field responses to the TTD cable (see Attachments 1 and 2) soliciting mission reaction to the proposed project reflected these institutional and knowledge gaps. Of the 27 favorable responses, 10 specifically cited their interest in a system for information dissemination that could provide the missions and host governments with new research and current donor activities in democracy; four of those responses expressed interest in conducting workshops and training seminars for host country leaders and A.I.D. officers. Improving A.I.D. capacity to strategically assess democratic needs and support key institutions and groups in democratization was another important part of the responses that came from the field. Fourteen missions felt a need for a program to research and design

⁸ Gary Hansen, "A.I.D. Support for Democracy: A Review of Experience," June 1991, U.S. A.I.D., p.13.

strategies to assist democratizing countries address key constraints and opportunities for political development. Ten mission responses stated that they would need assistance to support the design of democratic strategies and indicators to measure impact. In addition, four acknowledged interest in operational research and field studies to work with host country groups and institutions in structural adjustment, four mentioned corruption as an area of concern, and two cited ethnic conflict.⁹

Personnel resources in A.I.D. have been stretched by the speed and the scope of the democratic revolution among the developing countries. It has challenged the Agency to provide a cadre of personnel able to lead the most effective U.S. government response in all field missions. This has meant not only that many A.I.D. officers need to gain greater practical experience and perspective in democracy/governance issues, but also that mechanisms must be found to relieve democracy staff of the managerial burden associated with developing and managing democracy programs. At the present time, many of the NGOs and universities that work in areas of electoral, legislative and political party assistance are used by more than one bureau. Several -- or even all -- regional bureaus may have separate contracting arrangements with the same NGO or university for the same service. Each of these contracts requires a manager, periodic reports and evaluations. A more efficient arrangement for contracting these groups could have two desired results: 1) such a system could eliminate unnecessary program management duplication; and 2) a central contracting mechanism would allow greater coordination and communication among the contractors.

C. PROJECT GOAL AND PURPOSE

put in new goal & purpose **GOAL:** To promote the development of democratic systems in the developing world and thus contribute to broad-based, sustainable economic and social development.

PURPOSE: To expand LDC, NGO and USAID knowledge and capacity to strengthen key policies, processes and institutions that are essential for good governance and democracy.

D. EXPECTED ACHIEVEMENTS AND ACCOMPLISHMENTS

make up some numbers for each of those activities (people & \$)

Over the 5 years of the project TTD will accomplish the following:

Take from JFES work plan. (Resource center) 1) create a system that gathers, synthesizes and distributes pertinent democracy and

⁹ See attachments 1 and 2

governance information and a network that links A.I.D. to top political development experts;

Take from IPR (finance workshop) 2) sponsor (5) major workshops which will serve to communicate research findings and lessons learned in developing democratic processes;

IPR (follows paper) 3) develop (5) state-of-the-art papers on key topics related to strategies for overcoming constraints to democratic development;

? 4) undertake (15) field studies on strategic topics;

5) provide field support for democracy activities in (25) countries related to areas such as electoral assistance, analysis of democratic constraints, program design or evaluation and related areas.

E. PROJECT INPUTS

As may be seen in Attachment 3 (project inputs budget for the TTD Project), virtually all project funds are used in support of technical assistance personnel. Current plans are for the project to support up to three groups with core funds: the International Foundation for Electoral Assistance (IFES), a competitively selected contractor, and a potential cooperative agreement with a highly regarded research institution. The roles of each group are explained in the sections below which describe briefly how technical assistance inputs will be used to support the project's three principal components: information dissemination and assistance; operational research; and electoral support. Attachment 4 indicates the level of support that will be budgeted for each of these components.

1) **Information Dissemination and Assistance**

Information Dissemination and Assistance activities will be carried out by a competitively selected long term Contractor which will have a core staff of three full time professionals. The Contractor will devote approximately half time to this component, and will be responsible for preparing workshops, carrying out TTD's information and dissemination activities, and managing short-term technical assistance buy-ins for field support services.

Information dissemination is expected to be an important service to democracy personnel in A.I.D. Democracy is a relatively new and rapidly expanding area for A.I.D. The new ideas, insights and research findings which TTD will present to democracy personnel can be expected to have a great deal of utility for USAIDs and Regional Bureaus, as they attempt to plan, design and evaluate activities. This demands, however, that lessons be extracted and presented effectively to practitioners. TTD will help keep A.I.D.'s democracy thinking up to date with recent developments in three ways.

First, TTD will provide a more systematic analysis than is now available of materials, papers,

and reports being generated. This would be done by periodically and carefully reviewing contributions to the field and selecting and circulating findings which add to the state-of-the-art understanding. Much of the information on democratic programs exists in inchoate form. Very little has been collected and analyzed for its implications for USAID. At present, CDIE provides a repository for experience in this area and references literature in the field. But considerable expert review and synthesis is needed to cull out critical contributions and translate this information directly into A.I.D. programmatic issues. TTD's aim would be to fill these gaps and provide USAID with relevant and succinct information about what is known in given areas, its relevance to AID field activities, and potential project design issues.

A second function of TTD which will directly support the planning of democracy strategies and programs will be to establish a network of leading scholars and experts in democracy and political development. The network will allow USAID and regional bureaus to access top scholars and practitioners for A.I.D.-sponsored workshops or seminars. The assistance will provide forums in which missions and bureaus can dialogue and interact with world-class experts which will assist missions and bureaus in defining and exploring issues in democratic development. Missions will be able to receive expert advice and input for political development strategy at key points of program and project development through a minimum of five workshops or conferences. These kinds of forums could also provide mechanisms for missions and bureaus to dialogue with host country officials - government officials, leading scholars, journalists, etc. - and receive their inputs and reactions on democratic development strategies. The forums will be organized and carried out by the Contractor, or possibly by accessing groups like the National Academy of Science (NAS) or the Institute for Policy Reform (IPR).

2) Operational Research

TTD's operational research program will be managed by the Contractor's three long-term staff which will devote about half their time to identification of priority research topics and the management/administration of TTD's operational research program.

A.I.D. personnel working on democracy and governance issues are critically aware of the need for clearer understanding of specific problem/programmatic areas, and the need to clarify these areas in more detail. TTD core resources will be used to produce five Operational Research (OR)¹⁰ state-of-the-art papers for strategically important issues that will be prepared by recognized democracy experts who are accessed through subcontracts or buy-ins to other A.I.D. projects. These will be issues of importance to democracy and governance programs worldwide. Each TTD paper will synthesize the general knowledge

¹⁰ TTD research, following the policy statement on research of the policy office, will be operational research. Its intent will be to develop and/or improve frameworks for guiding new programs or projects in democratic assistance.

2/Sr. Pol. Sci.
 DR min.
 SR.
 (re. IPR)
 Peer Rev.
 Process.
 (either IPR
 or NAS)

on a particular area, summarizing the previous approaches and lessons learned. The papers will investigate the policies, institutions and reforms that support democracy and/or governance programs. The idea will be to outline and explicate policies and institutional alternatives that would begin to address the topical problem from an A.I.D. perspective. It is expected that subsequent operational research in the field under each topic will be guided by the papers that TTD completes initially. The information gleaned from field applications of paper recommendations will form the basis for the final (revised if necessary) state-of-the-art papers on each of the five chosen issues. Illustrative topics are those identified in the next section under proposed research themes: corruption, economic reform and political development, ethnic conflict, etc. 5 papers

EID expects that regional bureaus and field missions will want to use TTD's research capability and that fifteen buy-ins or OYB transfers will be received for the development of additional research or field testing of existing concerns. Field activities will be designed to work with participating countries to analyze the topic under study and to formulate policies, strengthen institutions and implement reforms that will support democracy and good governance. A critical element in the operations research will be the establishment of a collaborative effort and dialogue with host country practitioners institutions and scholars. The final product of the operations research field work will be a report that will detail the group's finding and outline possible programmatic alternatives for host-country groups, governments and donors in this area.

3) Electoral Support

TTD will provide electoral support to A.I.D.'s regional bureaus and field missions by integrating EID's current five year cooperative agreement with IFES, the International Foundation for Electoral Systems, into the TTD project. TTD technical assistance resources will provide core budget support for IFES personnel that will help IFES maintain a range of electoral expertise that is essential if IFES is to respond quickly when buy-in requests arrive from regional bureaus or field missions for short term technical assistance.

Inclusion of IFES in TTD makes sense, because it has proved to be a most valuable resource in the last two years, providing electoral assistance to emerging democracies in 42 countries in the areas of pre-election assessment, election commodities and equipment, election observation and institutionalization of national electoral councils. R&D/EID is currently conducting a midterm evaluation to determine if IFES should continue to focus its efforts on these same areas in the future.

TTD will investigate the feasibility of establishing agreements (like the IFES cooperative agreement) with other organizations that provide technical assistance to missions and bureaus in key areas. This possibility arises because several regional bureaus are using well known NGOs and contractors to carry out democracy and governance activities in specialized areas where a particular group/firm has developed a known capacity. These bureaus suggested that for economies of scale and management, consideration of R&D

take activity (w/ existing budget allocation) and house it under a project where it fits.

Is field research part of the OR. "state of the art" paper activity? Is it included in OR budget? (our buy-in?)

? level of effort req. (#, people) methodology link to OR.

TTD is a project that spans the spectrum from Academic to Applied, all in promoting dem. IFES clearly fits. IFES has already been reviewed, authorized & funded. This would simply be an existing

agreements should be more fully reviewed. If there is regional bureau interest, at the Project Paper stage, Project budget levels will be revised to reflect realistic core and buy-in levels for each component. Illustrative areas for technical assistance services which might fall under these agreements could include legislative assistance, trade union assistance and political party assistance. Organizations which might be selected under TTD as sources of assistance in these areas could include the National Endowment for Democracy (NED), the American Institute for Free Labor Development, the International Republican Institute (IRI), the National Democratic Institute (NDI), and the Carter Center among others. Agreements with one or another of these groups might be included in TTD if such agreements are seen as useful to the regional bureaus, if funding is available through OYB transfers from regional bureaus or field missions and if such an arrangement would provide economies of scale in administering these arrangements. A final decision on which, if any, of these organizations should be selected for a separate contract/agreement under this project will be investigated further at the PP level.

PROPOSED RESEARCH THEMES

As mentioned above, establishing the most effective programs to support democracy demands a sound theoretical understanding of process to be supported **and** an understanding of the causes of particular constraints and threats to that process. TTD's aim is to fill these roles. TTD **OR** will refine the theoretical underpinning (from an A.I.D. perspective) for democratic development and elaborate those approaches -- and the role of donors -- by studying the specific threats and constraints to the system of democracy.

The topics covered under TTD **OR** will be cross-cutting concerns and of high interest to the Agency and the regional bureaus. TTD will fund one or two **OR** efforts per year, with the topics to be decided upon and shaped collaboratively with the regional bureaus. Three regional bureaus in support of a topic, or a geographic mix of mission interest (in the case of buy-ins), will provide approval for TTD to proceed with a research topic.

Listed below are five potential areas that may be addressed during the life of the project. The E.I.D. office has worked with the Tuesday Group in developing this illustrative list. Several of these topics were also included in the recent CDIE evaluation of A.I.D.'s democracy program. The EID office has also used its cooperative agreement with the National Academy of Science to hold a series of preliminary workshops on these issues. These workshops considered what A.I.D.'s role should be in addressing these issues and their appropriateness as research topics under an R&D project. There is general agreement that the following topics will be critical to democratic development and in A.I.D.'s support for democracy.

a) *Theories of Democratic Development:*

The OR would collect, integrate and analyze what is known about the development and erosion of democracy and governance in developing areas. Drawing from the literature and experience in the area, the team will seek to comparatively examine models that establish key variables and causal linkages that affect the evolution and survival of democratic governance. They will use this information to clarify institutional, social and economic dynamics to be examined in democracy assessments, as well as to clarify key linkages between democracy-governance issues and mission programmatic and project designs. Finally, this team will use this information as a basis to develop democracy indicators for use in program evaluation.

b) *Reducing and Managing Intra-State Conflict:* OR would focus on potential institutional alternatives for donors to support that would serve to reduce intra-state conflict, such as: electoral systems, systems of representation in local governments and legislatures; and constitutional arrangements for federal and state systems. Research will also include an assessment of the possible impact of a change in the system on women's participation in government, particularly in local government.

This information will provide a better understanding of the institutional possibilities for host governments and A.I.D. to manage intra-state conflict. Also, OR will examine what can be done to encourage dialogue between competing groups and the possibilities for civic education programs.

c) *Corruption:* The importance of corruption and its serious impact on democratic governance need not be reiterated here. What should be noted, however, is that there is a great deal known about it, though not yet well integrated or evaluated for A.I.D. activities or dialogue with host governments. OR would concentrate on how A.I.D. might better assess the effectiveness of political alternatives to stem corruption. It would outline the kinds of incentives, rewards and penalties that are effective in curbing corruption and the appropriate role for A.I.D. in advising a host government or implementing these programs. To do this most effectively, the research will have to integrate gender in examining what both men and women perceive to be incentives, rewards and penalties. OR will also examine the possibilities for civic education and the role for A.I.D. in this area. The results would serve as guidance for missions and bureaus.

d) *Structural Adjustment and Democracy:* This problem examines how to ensure that economic reforms critical to growth are not diluted or derailed by popular reactions as democratic reforms are put in place. Recent studies have shown that structural adjustment may not affect all groups negatively. Nevertheless, the temporary disequilibria caused by economic reform programs may weaken or upset a democratic system. Increasingly, this has led scholars to focus on two issues of how democratic governments can best implement reform programs: insulation of state decision-making structures and building the political constituencies for reform. TTD OR will focus on these two issues. Often groups that support reforms are under-represented in developing countries. Politics are often dominated by the entrenched interests such as civil servants and unions that oppose and may try to

block reform efforts. Assisting groups that support reform will help build democratic coalitions in parliaments and civil society that lobby and press for economic reforms. Research on insulation will reveal the types of state structures where insulation is appropriate or not and to what degree and how A.I.D. can affect this process. Constituency research will identify the groups that are most likely to support all or most of a package of structural reform and how these groups can be supported by A.I.D. Results of OR will provide host country institutions and A.I.D. regional bureaus and missions with guidance for policy programming in this area.

e) *Women and Democracy*: It is clear that irrespective of the temporal stage of democracy -- mature, new, in transition, in crisis -- women have not shared fully in either the rights or the responsibilities of democracy.

OR in this field will examine two related areas and the linkages between them. First, research in women and democracy will examine in several representative countries the broader institutional and legal context of women's rights and protection in emerging democratic systems. There is a legal framework that relates directly to women's rights in a society. This revolves around not only the substance of the laws but also how they are enforced and the relevance of the legal structure to cultural norms and values. The legal framework and system of enforcement in areas of inheritance, property rights, divorce, violence against women, minimum wages, and access to credit all relate to women's roles and rights in democracy. Second, women and democracy OR will examine the importance of the private-public linkage in understanding restrictions to political participation. The limitations to women's political participation may result from religion, culture, limited economic opportunity, limited education, over-work, or socialization. In many cases, although the institutional environment for participation may exist, women are not active in political life. In many of those cases women have worked out alternative methods of exerting influence in societies. These will be brought into the TTD OR effort, as well as an investigation of what constraints, in the private sphere, formal and informal, will need to be addressed to increase women's participation in democracies.

F. OUTLINE OF PROJECT AND HOW IT WILL WORK

The TTD project will function as an umbrella project which will assist USAIDs to develop, implement and evaluate programs and projects in democracy. It will provide technical assistance in three principal areas of democracy support - information dissemination and assistance, operational research, and electoral support.

The information dissemination and assistance component will be managed by a competitively selected contractor who will be responsible for gathering relevant information in democracy and governance, establishing the network of political development experts, overseeing the operational research agenda, and writing and publishing the interim and final research reports. The firm will also coordinate contracting and subcontracting arrangements

requiring use of core funds, assemble materials for workshops and seminars, identify and oversee selection of experts or researchers and manage buy-in requests for technical assistance related to project planning, design, or evaluation. All activities will be monitored by a steering committee of A.I.D. personnel (the Tuesday group).

Operational research would be carried out in two steps. First, topics for research would be identified by the steering committee; then state-of-the-art studies would be done by key researchers in the respective areas. TTD would access top scholars to conduct each of the proposed studies. The mechanism for doing this will be an issue for the Project Paper. One possibility would be to use a primary contractor and sub-contract to a variety of organizations on a short-term basis to carry out research on important democracy issues. Another might be to use TTD research funds to buy-into cooperative agreements (such as the Institute for Policy Reform) to engage highly qualified democracy researchers who would not be available through a normal sub-contracting relationship.

Once the state-of-the-art work was completed, researchers would be asked to develop research approaches for given situations in LDCs. Specific field studies will be funded through mission and bureau buy-ins. These field studies will be used to assess the situation in the country. The team will study the conditions in the country examining the factors, conditions, institutions processes, etc. highlighted in the state-of-the-art paper. It is expected that the in-depth field studies will be mission or bureau funded (through buy-ins) and carried out in a collaborative effort with host country institutions, scholars and concerned groups. The results of the field work will be to identify programmatic alternatives, project possibilities and policy options.

The implementation component will consist initially of electoral support. EID currently provides election assistance for regional bureaus and field missions through a Cooperative Agreement with IFES. This type of assistance will be continued in the TTD project. In addition, EID will investigate the possibility of including cooperative agreements or contracts with other frequently used technical assistance contractors -- similar to IFES - as part of the TTD Project's field support activities. As EID proceeds with the PP, the project designers will examine regional bureau interests and levels of funding for other contractors. At this point, following mission responses to the project cable, regional bureau and field mission interest is greatest in the areas of assistance for elections, political parties and legislative development.

IV. Factors Affecting Project Selection and Further Development

A. SOCIAL CONSIDERATIONS

TTD will be a worldwide project which will focus on assisting host country governments and institutions develop democratically and on strengthening A.I.D.'s ability to design and implement democratic governance activities. The social impact of the project can be viewed

at two levels: 1) its short term impact on developing country institutions and on enhanced capacity of host country personnel and 2) the longer-term impact on target countries' political development where TTD has been active.

TTD will have a short-term direct effect on citizens and institutions of democratizing host countries through technical assistance and workshops. TTD technical assistance will seek to sustain and broaden democracy in developing countries, by assisting and strengthening pro-democratic groups and reforms. In the operational research programs and project planning workshops, TTD will include host country nationals on the teams. Doing this will enhance the sustainability of TTD efforts by building a host country capacity to examine relevant issues in democratic development. In addition, TTD workshops and seminars for host country participants will serve to build a human resource base among LDC leaders -- administrators, women leaders, legislators, NGO leaders, journalists and educators -- knowledgeable about democratic theory and initiatives to sustain democratic governance. The value of such a cadre is not merely theoretical: the experiences of Zambia in its 1991 revolution shows how critical a residual body of people who understand and believe in democracy can lead and sustain reform, and to facilitate a dramatic and peaceful revolution. Donors, particularly the U.S. and Scandinavian countries, played a major role during the Kaunda regime in strengthening and sustaining NGO, media and union leadership which assisted the successful democratic transition of 1991-92.¹¹

In the longer term, TTD will improve the potential for the successful consolidation of democracy through improved institutions for democracy, a strong cadre of host country-personnel familiar with democracy-governance development and strengthened A.I.D. projects in general. Stable democratic regimes affect the lives of all citizens of target countries, including the poor and women for two fundamental reasons. First, democratic systems provide the best guarantee of political freedom and the protection of basic human and civil rights. Second, democracy and good governance, as they provide for predictability, accountability and stability, improve the political environment and the institutional framework for economic and social development. In this way, TTD, as it moves toward these long-term goals, will affect all of the lives of those in the target countries. **Beneficiaries** of both of these outcomes include all members of a target society, regardless of class, gender or ethnicity.

TTD will seek host country personnel **participation** in the OR and workshop components of the project, and will ensure that host country scholars assist in the development of research questions. Host country scholars will also serve on research teams that conduct analysis and report results to A.I.D., relevant local groups or government officials. Host country participation will also be solicited in the design, format and presentation of materials in workshop and seminars. TTD will make an effort to specifically target women's

¹¹ Democracy and Governance in Zambia: An Assessment and Proposed Strategy, Africa D/G Project, June 15, 1992.

groups and female scholars within the host country for technical assistance, research and workshops teams. All of these activities will allow TTD to establish links with **host country research institutions and universities**. The intent will be to develop and strengthen the capacity in developing countries to conduct training and research, similar to that of TTD, on pertinent issues in-country. In this way, TTD will also seek to create the capacity of the project components to sustain themselves after the life of the project.

One of the principal concerns facing A.I.D.'s efforts to promote democratic development has to do with cultural diversity. What factors need to be taken into account to ensure that broad participation and representation are effectively incorporated in democratic institutions? There are no easy answers. TTD's operational research component will provide the mechanism whereby a range of settings can be examined and different cultural contexts taken into consideration. Frameworks generated from TTD OR will be broad enough that varying cultural conditions will be considered and technical assistance in those areas will be adjusted accordingly. TTD will synthesize and distribute its experiences in promoting democracy and governance in culturally diverse conditions to USAID missions. These lessons learned will be one of several important outputs from the project's OR and technical assistance activities.

B. FINANCIAL AND ECONOMIC CONSIDERATIONS

Financial and economic considerations enter into the rationale for the TTD project at three levels: What relevance does democracy have to economic growth?, What are the potential returns from an R&D project?, and What mix of components would be the most effective? This section will deal with each of these separately and then, applying those reasons, discuss in broader terms the benefits that will accrue from TTD. The conclusion is that TTD is the best design on a least cost basis; this thesis will be expanded in the PP.

a) Democracy?

Increasingly, economists, political scientists and the development community are recognizing a "new consensus," that "getting the governance structure right"¹² is essential to economic development. TTD, as it successfully assists developing countries achieve stable democratic systems, will greatly improve the environment for broad-based economic growth. While democracy in and of itself does not guarantee economic growth or the success of economic reforms, it can provide the mechanisms to ensure accountable, transparent and predictable government.

¹² Gordon Rausser, "New Consensus on Economic Development," discussion given to the Social Science Network, A.I.D. June, 1992.

Economic growth and social development have always been the foremost goals of A.I.D. policy. With the announcement of the **Democracy Initiative**, and the subsequent Policy Paper, A.I.D. highlighted the link between free societies and free economies: "Democracy is complementary to and supportive of the transition to market-oriented economies and sustained, broadly-based economic development."¹³ Insofar as TTD improves the environment for the evolution of democracy and assists democratic consolidation, the project will also support longer term economic growth, and the other concomitant development programs of the Agency.

b) An R&D project?

As the PID has outlined, Regional Bureaus and missions have begun in the last several years to initiate or dramatically augment programs to support democracy. Questions still remain, theoretical and practical, in the area of democratic development. Many of these questions implicitly underlie all of what the Agency does presently in democracy and governance projects. These have been reviewed above.

Housing such areas in a central office such as R&D/EID has benefits of scale and scope. First, The TTD project is being designed with and for the regional bureaus to provide them with a vehicle for researching questions and issues which are important for our understanding and better application of democratic development. These issues are normally of interest to several bureaus and to USAID missions in different areas of the world. The most cost effective method of addressing these questions is to use a central bureau project which acts on behalf of, and as a resource for, all of the bureaus. Thus for a relatively small sum, a great deal of information and assistance is generated Agency-wide. This approach eliminates the need for duplicate research activities in different bureaus or USAID missions and is a cost effective way of getting the answers we need to improve A.I.D.'s democracy/governance programs.

Second, a central project has the capacity to pool resources among the bureaus and collect the experience of the Agency's efforts in democracy; such an arrangement promises greater efficiency for Agency-wide concerns than separate bureau projects. Learning from experience, information collection and dissemination, and exploring the theoretical underpinnings of democratic assistance are concerns which are most easily and efficiently undertaken from a central perspective. They frequently address issues where cross-regional learning and comparative analysis are essential tools to reach answers. The resulting comparative lessons learned could provide new insights otherwise lacking if individual Regional Bureau efforts in these areas were not able to draw from the institutional strength of the Agency.

¹³ Democracy Initiative, USAID, p.1

c) Mix of components?

The **OR** components would be topics that Regional Bureaus recognize as important to their programming, but are unable, given limited resources and access, to address in their own bureaus. Gaining a clearer understanding of the obstacles to democracy and theories of democratic development are topics that will enhance each Bureau's democracy/governance programs.

Information dissemination and technical assistance have been identified by several bureaus as important priorities which are needed to assist A.I.D. officers in the design and management of democracy/governance programs. Housing operational-research and certain key service-providing contractors in the R&D Bureaus will reduce the management load of the Regional Bureaus and missions.

The improved capability in A.I.D. to provide democratic assistance is a product that would last beyond the life of the project, and the benefits of such a program would be diffuse. The proposed investment promises to improve the efficiency and effectiveness of future funding and activities in democracy and governance. With the new consensus on economic development, A.I.D. is shifting its focus to supporting political development as a means to economic development (as well as an end in itself). Democracy funding for FY 1992 is projected to total \$132,791,000 (which does not include an additional \$25 million earmarked over the next three years for the democracy program in the Newly Independent States). Greater efficiency of A.I.D. democracy/governance programs and improved integration of participation and democracy in other projects are outputs that will complement all A.I.D. programs. When TTD is weighed against the increased financial and personnel focus which A.I.D. is currently placing on democracy and governance, and when one considers the potential impact which good governance and democracy might have upon A.I.D.'s other economic and social development programs, the amount proposed for TTD appears small, but cogent.

C. RELEVANT EXPERIENCE WITH SIMILAR PROJECTS

The first year of this project would be largely a start up period, building on the Regional Bureaus' and the EID office's experience in democratic development projects. Since support for democracy/governance is still an emerging field for A.I.D. bureaus and missions, there is an abundance of areas that still require research and technical assistance efforts to complement project activities. R&D/EID has selected the proposed topics in collaboration with the Regional Bureaus and will seek to build upon past research efforts in this area and to complement ongoing activities. For example, all Regional Bureaus are engaged in conducting assessments and evaluations. TTD will pool the information and knowledge generated from this effort, to enhance the Agency's methodologies to strategically assess countries' democratic needs and to evaluate A.I.D. program impact. Below are some of the

projects in R&D and the Regional Bureaus that TTD would expand upon or support in its development.

I. Research and Development Bureau

National Academy of Sciences

Shortly after the announcement of the A.I.D. Democracy Initiative, R&D/EID established a cooperative agreement (CA) with the National Academy of Sciences (NAS). This activity began in May 1991 and will end in May 1993. The purpose of the CA is to improve the Agency's understanding of the process of transition and consolidation of democracy in developing countries. To this end, the NAS and A.I.D. have jointly organized and staged a series of workshops and expert sessions to bring together top-notch scholars in the field to discuss in detail relevant issues in democratization and A.I.D. policy programming. The TTD project builds on the conclusions and discussions of these preliminary workshops.

Hoover Institution

The former PPC Bureau provided a one-time research grant to the Hoover Institution to study the relationships in 10 countries between the state and society, and the state and the economy and how those related to democracy. The study lasted two years and during this time the grant was moved to the R&D Bureau. Hoover Institution presented the results of the study at a conference, organized and overseen by EID staff, in May, 1992. Within a year, edited versions of the papers presented will be published as a book. Several of the TTD OR topics were sharpened in the discussions during the conference. This was particularly true of the discussions on economic reform and democracy, where participants discussed at great length the general relationships between economic reforms and democratic development.

II. Africa Bureau

The Africa Bureau has initiated a comprehensive program in democracy and governance. Under this program, the bureau is conducting country assessments through a contract with Associates in Rural Development. The Bureau has also begun the process of integrating host country democracy and governance performance in country allocations.

As part of its program, the Africa Bureau is engaging in research in several areas. A series of Africa specific workshops and one experts session on democratization in Africa were held through the R&D/EID NAS cooperative agreement. The Africa Bureau also conducted a study with the Center for Strategic and International Studies (CSIS) on "Politics of Economic Reform in Sub-Saharan Africa." One of the conclusions of the CSIS study was

that "the constituencies that support reform in Africa are weak and are likely to remain so for the foreseeable future." A recommendation of the study was for donor's to investigate support for pro-reform elements.¹⁴ TTD's proposed OR effort in structural adjustment looks specifically at the point raised by the CSIS.

The Africa Bureau in its technical assistance programs has worked extensively with the International Foundation of Electoral Systems (IFES), having worked with them in 25 separate countries in FY 92. The Bureau has also worked with the National Endowment for Democracy (NED) and the individual party institutes, the National Democratic Institute (NDI) and the International Republican Institute (IRI), on several occasions.

III. Asia Bureau

The Asia Bureau is currently conducting their own democracy assessments in the missions and have at this point completed ones for Thailand, Pakistan, Sri Lanka, Philippines, Nepal, and Bangladesh. The Asia Bureau has also worked with IFES, the Asia Foundation, NDI and several other NGOs to provide technical assistance in specialized areas.

IV. LAC Bureau

The LAC Bureau is currently developing a Bureau-wide project in democracy. The project will: conduct country assessments; improve access to information and literature on democracy; and provide technical assistance to LAC missions on democracy. The LAC Bureau has suggested that TTD would assist LAC's efforts to tap into current democracy literature. TTD will concentrate its activities on a broader range of democratization subjects, LAC's project will focus on regional concerns. In this sense the two would complement one another.

In its activities the LAC Bureau has also worked with a variety of NGO's and universities that provide support in specialized sectors. Such groups include: State University of New York (SUNY) Albany, IFES, the Carter Center, the American Institute for Free Labor Development, International Criminal Investigative Training and Assistance Program (ICITAP), Florida International University, and the party institutes: the NDI and IRI.

¹⁴ Center for Strategic and International Studies, **Final Report: The Politics of Economic Reform in Sub-Saharan Africa**, February 4, 1992.

V. Near East Bureau

The NE Bureau has developed a comprehensive political economy framework for its regional democracy strategy. This includes an extensive democracy assessment of Egypt and a study of the relationship between Islam and democracy. Their development of a political economy framework has raised an important debate within the Agency over the best framework for country assessments and programming. Part of the overall purpose of TTD will be to examine the relative benefits of the approaches applied by different bureaus; a political economy approach will be one of those. Political economy frameworks will also be incorporated into the research component of the project.

VI. Europe Bureau

The Europe Bureau's democracy program has only been in place for a short period of time. Because of this, and their close relationship with Congress, they are acutely interested in measuring the effectiveness of the activities they have initiated. Europe has encouraged a central program that will study methodologies for evaluations to better gauge the impact of Europe's democracy program.

Like the other bureaus listed above, the Europe Bureau has contracting arrangements with many of the same NGO's and Universities that provide specialized technical assistance in particular sectors. These include, like many of the others, the National Endowment for Democracy (NED), NDI, IRI, and IFES. Europe has completed or is currently carrying-out five election assistance activities with IFES in the region.

D. PROPOSED IMPLEMENTATION ARRANGEMENTS

Given the number of components it contains, the TTD project will need flexibility in its procurement mechanism. The contracting options will be examined at the PP stage. There will be five concerns that must be examined at that time. First, TTD will need a contract with institution[s] that offer a strong, central analytical and advisory capacity, as discussed above, and which will perform all of the functions of TTD. Second, the contractor must have the knowledge/ability to assess and include gender implications and impact of programs. Third, the contract arrangement must provide flexible access to a broad spectrum of expert personnel in the democracy/governance area. Fourth, the procurement instrument must allow for Regional Bureau, Newly Independent States (NIS) Task force and mission contributions (buy-ins and OYB transfers) for the project's technical assistance and research. Fifth, the contractual instrument selected for TTD must permit quick and easy access to the project. The EID office has already begun discussions with the Contracts Office on these questions which will be reviewed in more detail at the PP stage.

E. A.I.D. SUPPORT REQUIREMENTS

The project will be managed by an R&D/EID direct hire project officer who will be assisted by a project funded democracy specialist to assist in the management of the project. The project officers will be responsible for: a) identifying **OR** topics in collaboration with Regional Bureaus; b) monitoring the research agenda; c) distributing results of research and the information summarized under TTD; d) informing Regional Bureau democracy officers of related conferences and seminars in the Washington area; and e) organizing Regional Bureau and mission buy-ins to the project.

F. ESTIMATED COSTS AND METHODS OF FINANCING

TTD will be a \$6.4 million project, lasting 5 years, with R&D funding for each year averaging \$1,280,000. Given Regional Bureau expressed interest in project components, R&D/EID would expect the buy-in ceiling to be at a 2 to 1 buy-in to core ratio. R&D also expects that once operational research begins, missions will wish to add money for country specific research under topics of interest. The South Africa mission in its cable predicted an annual level of \$250-500,000 to support the development of technical assistance and impact indicators in South Africa. Recognizing the project's impact on women's political rights, WID has pledged \$300,000 per year, part of which includes funding for the research component of women in democracy.

R&D money will fund:

- 1) costs for the collection and synthesis of information;
- 2) initial operational research to produce initial state-of-art papers;
- 3) core costs of the contractors/cooperators; and
- 4) core costs for the translation of materials to workshop and seminar modules.

The funding for specialized country or regional research, and workshops and seminars in the field will come from mission and bureau buy-ins. (Please see attachment 4 for more detail.)

G. DESIGN STRATEGY

R&D/EID will design the TTD Project Paper. The EID office has \$25,000 of PD&S money for the development of the PP and used its final two NAS expert sessions and one workshop from the NAS cooperative agreement to help shape the **OR** topics listed above. The purpose of the NAS sessions was to bring together scholars to highlight the research areas and tentatively identify the questions that a research agenda in this area should answer vis-a-vis donor programming. This exercise will be written into the Project Paper and will

provide the launching point for operational research under TTD. Doing this will ensure that R&D/EID money invested in operational research under TTD will yield the most effective analyses for A.I.D. policy.

The \$25,000 of PD&S money will fund two outside consultants to help R&D/EID conceptualize and write the PP. The consultants will work with R&D/EID in: a) exploring contract and institutional arrangements for project activities; b) examining financial and budgeting issues; c) conceptualizing and writing the various analyses -- economic, social, technical and financial -- in the PP; d) and developing an evaluation methodology for the project. The consultants will also begin to outline a strategy for TTD project **impact indicators**.

H. RECOMMENDED ENVIRONMENTAL THRESHOLD DECISION

The TTD Project, 936-5458, is designed to support democratic regimes and movements in developing countries. As this project is focused entirely on political development and does not involve activities that threaten the environment of any countries, it qualifies for a categorical exclusion under provisions of HB3, 2D, Section 2.6.2(c) (2), (i),(ii),(iii). See attachment 5.

COUNTRY	YES	NO	COMMENTS
AFRICA			
1. BENIN		X	
2. BOTSWANA		X	
3. BURKINA FASO	X		Mission wishes to buy-in for activities related to democratic decentralization.
4. GUINEA	X		Mission favors Agency approval of proposed democracy project, but Mission is unable to plan buy-ins at this time.
5. GUINEA BISSAU	X		Mission will have potential need for R&D/EID's proposed democracy project, probably for evaluation & troubleshooting purposes. Mission is also supportive of the information acquisition, synthesis & dissemination component of TTD. Use of TTD will be partially contingent on what the 116(e) working group is willing to accept.
6. MADAGASCAR	X		Mission welcomes proposed new TTD project from field perspective as an additional tool at Mission's disposal. Although Mission cannot at this time provide concrete interest in buy-ins, they would be interested in receiving information on cross-cutting themes related to democracy such as corruption and in workshops and seminars for AID personnel.
7. MALI			Mission is reviewing this "very innovative new Democracy project" TTD and will provide comments and expected buy-in levels by October 30, 1992.

COUNTRY	YES	NO	COMMENTS
AFRICA			
8. NIGER	X		Mission and USIS are keenly interested in TTD project. In particular, USAID interested in: 1) examination of methodologies to support democratization; 2) research and t.a. in corruption, ethnic conflict and structural adjustment.
9. RWANDA	X		USAID/Rwanda supports the R&D/EID initiative to set up a transition to democracy project. TTD activities fit with the Mission D&G objectives, however mission is in the project implementation and planning stage and is not ready to buy into the TTD project. The first possible time for a buy-in will be in FY 94.
10. SENEGAL			
11. SOUTH AFRICA	X		Mission supports the design of a R&D/EID Democracy project. The mission would be interested in a buy-in in FY 93 in \$50-100,000 range. Longer-term, mission can envisage a possible annual level of \$250-500,000 of buy-ins. Mission believes project will be valuable, specifically for: 1) selected technical assistance; 2) evaluation and impact indicators; 3) training for AID officers and S. Africans.

COUNTRY	YES	NO	COMMENTS
AFRICA			
12. TANZANIA		X	This project would have been useful to the Mission about 1 year ago and we assume that {TTD} would be useful to Missions that are planning new initiatives in the area of D&G. While the Mission may use the project services, they don't predict they will need a new project.
13. ZAMBIA	X		Mission endorses proposed project development. The TTD project resources of information dissemination and technical assistance will be useful to Mission. Technical assistance in areas of enhancing legislature performance and establishment of an independent press could be particularly useful, and Mission buy-in levels will essentially depend upon project capabilities in this regard.

COUNTRY	YES	NO	COMMENTS
ASIA			
1. INDONESIA	X		Mission is very supportive of concept of TTD, especially with regard to potential cost effectiveness and duplication of democracy assistance t.a. Centrally organized and managed information dissemination, workshops and seminars are appropriate for USAID staff development. Mission would be particularly interested in Regional seminars/workshops for government officials, U.S. PVOs and indigenous P.V.O.'s and interested donors.
2. BANGLADESH	X		USAID Bangladesh would be interested in TTD. The mission supports TTD's plan to develop capacity in such areas as election monitoring, party organization and campaigning.
3. PAKISTAN	X		Mission fully endorses proposed democracy project. The central support project being proposed should help even more in assuring adequate support to the field in this important field. Buy-in level predictions depend on new legislation. They will inform accordingly if prospects should change.
4. PHILIPPINES	X		Mission finds the TTD project an interesting concept. However, because of prevailing funding constraints, Mission has to limit new project starts such as stand-alone democracy projects. Should funding constraints ease, Mission will be better able to engage with AID/W in implementation of the proposed project.

COUNTRY	YES	NO	COMMENTS
EUROPE			
1. POLAND	X		Post is generally supportive of the proposed project. Although it has no concrete plans for buy-ins the components of the project that the post is interested in are: 1) access to information on current literature and donor activity in democracy; 2) research on building popular constitutencies for reform.
2. ROMANIA	X		Mission believes that the TTD project could have useful implications for their continued activities in the democracy area. At present, main areas of interest are: providing t.a. for legislative and judicial development; information dissemination; developing strategic assessments; and conducting research to complement democracy activities.

COUNTRY	YES	NO	COMMENTS
LAC			
1. BELIZE		X	
2. COLOMBIA	X		While Mission agrees that proposal has overall merit on a regional basis, they believe that they do not fit their NSD-18 Andean counter drug strategy or address current Colombian priorities.
3. DOMINICAN REPUBLIC	X		Mission welcomes TTD project. The project looks like a relevant & useful contribution to the democratic initiatives of the Regional Bureaus. Mission, however, does not foresee any buy-ins.
4. EL SALVADOR	X		Mission supports project and says it is conceivable that at some future date Mission & DI ofc. will want to tap services. In particular, the Mission is interested in: t.a. for project and subproject design activities, information dissemination to the field, central contracting mechanism for implementation of short term t.a.
5. GUATEMALA	X		Mission may use TTD project for a midterm evaluation scheduled September 93.
6. HONDURAS		X	
7. MEXICO		X	
8. PANAMA		X	Possibly other regions will find this effort more beneficial in assisting the development of recent democratic institutions.
9. PERU	X		Mission anticipates buying into subject project for t.a. when the design of its democratic initiatives project starts in late FY93. Will need t.a. in design of democracy framework and identification of end of project indicators.

COUNTRY	YES	NO	COMMENTS
NEAR EAST			
1. EGYPT	X		Mission believes central project with buy-in capabilities can perform a useful function. Mission might use project to review their strategy in early spring. In particular, the mission finds useful: 1) the development of a roster of qualified consultants and organizations to assist missions; 2) providing world-wide information to regional efforts on democratization, particularly on activities applied in other regions; 3) assistance on indicators; 4) a central mechanism to access t.a.; 5) research on issues such as theories of democratization and structural adjustment and democracy.
2. JORDAN		X	
3. MOROCCO			Mission requests Bill Cole to review project and advise of the benefits in pursuing the development of the project.
4. OMAN		X	
5. TUNISIA	X		Mission considers project a useful complement to NE Bureau's DSP project. Mission could benefit from a comprehensive strategy for D&G in Tunisia and suggest NE buy-in to TTD.

COUNTRY	YES	NO	COMMENTS
NIS			
1. BYELARUS	X		Post finds interesting t.a. specializing in fields like electoral systems and trade union development; and b) research in issues like those mentioned in cable. The post defers to the bureau on buy-in predictions.
2. RUSSIA	X		Post is generally supportive of the TTD project but has no criteria plan for buy-ins at this time. Components post considers most useful are: information acquisition and research that will address issues of sequencing support for democracy and research on building popular constituencies for reform.
3. TAJIKISTAN	X		Post supports the idea of the TTD project and notes that operational support for studying ethnic conflict and corruption would be very useful. The post admits that it is not familiar with the buy-in concept, but believes that money should go to bring host country exports to U.S. for workshops and seminars.
4. TURKMEN.	X		Post believes that TTD may prove useful over the long term. They do not provide buy-in levels because for NIS they believe this is settled by the Task Force in Washington.
5. UZBEKISTAN	X		Post expresses interest in principle in the TTD Project. Post feels that the t.a. component of the project, particularly in legislature and trade union fields will be of use.

TABLE 1.2

Cable Responses of African Missions to TTD World-Wide Cable

Areas of Interest

<u>African Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Prog. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Benin	N					
2) Botswana	N					
3) Burkina Faso	Y		X		X	
4) Guinea	Y					
5) Guinea Bissau	Y	X	X		X	
6) Madagascar	Y		X	X		
7) Mali	Y					
8) Niger	Y		X		X	
9) Rwanda	Y					
10) South Africa	Y		X	X	X	X 1/
11) Tanzania	N					
12) Zambia	Y	X				X 2/

1/ Rights enforcement, AOJ, elections, training of legislators, civic education.

2/ Legislatures, free press.

Areas of Interest

<u>Asian Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Proj. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Bangladesh	Y		X			X 1/
2) Indonesia	Y	X		X		X
3) Pakistan	Y					
4) Philippines	Y					

1/ Elections, Political, parties.

2/

Areas of Interest

<u>European Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Proj. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Poland	Y	X	X		X	
2) Romania	Y	X	X			X 1/

1/ Legislature, judiciary.

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Areas of Interest

<u>Latin American Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Proj. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Belize	N					
2) Bolivia	Y					
3) Colombia	Y					
4) Dominican Rep.	Y					
5) El Salvador	Y	X	X		X	X 1/
6) Guatemala	Y		X		X	
7) Honduras	N					
8) Mexico	N					
9) Peru	Y		X		X	

1/ Political parties.

1/

Areas of Interest

<u>New East Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Proj. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Egypt	Y	X	X		X	X 1/
2) Jordan	N					
3) Morocco	N					
4) Oman	N					
5) Tunisia	Y		X		X	

1/ American Bar Association, League of Women Voters, Library of Congress, National Endowment for Democracy.

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Areas of Interest

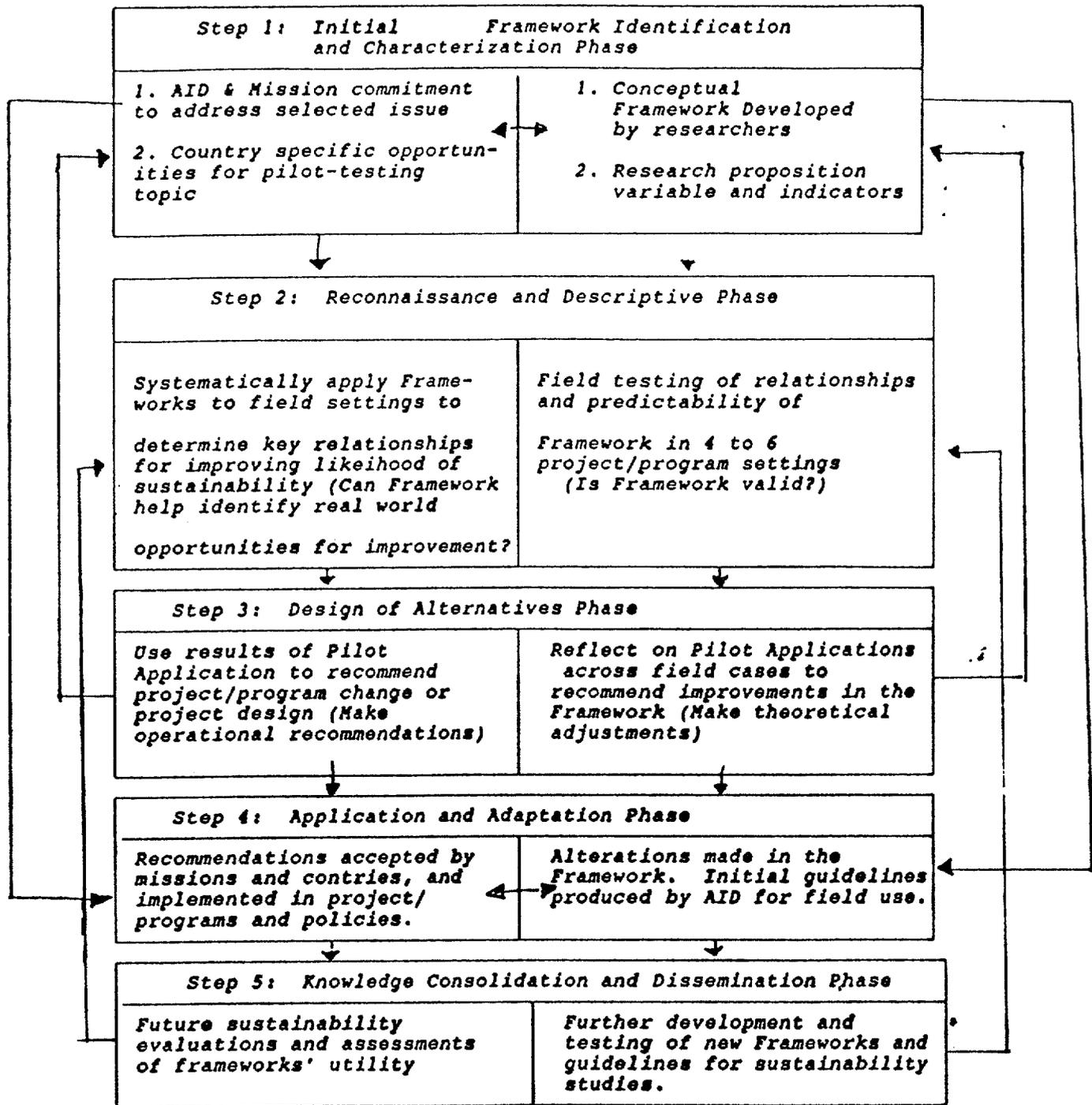
<u>NIS Countries</u>	<u>Interest</u>	<u>Dissemination</u>	<u>Research</u>	<u>Workshop</u>	<u>T.A. for Proj. Design and Indicators</u>	<u>Centralized T.A. (leg. asst. unions, etc)</u>
1) Byelarus	Y		X			X/1
2) Russia	Y	X	X		X	
3) Tadjikstan	Y		X		X	
4) Turkenistan	Y					
5) Ukraine	Y					X 2/
6) Uzbekistan	Y					X 3/

-
- 1/ Elections, Legislature, Political parties.
2/ Elections, trade unions
3/ Legislature, trade unions.

Overview of Methodology
for Conducting Pilot-Applications of the TTD

ACTION DIMENSION

RESEARCH DIMENSION



ATTACHMENT 3

PROJECT: 936-5458

ACRONYM: TTD

PROJECT NAME: TRANSITIONS TO DEMOCRACY

FUNDING SOURCE: CORE (R & D)

PROJECT INPUTS

<u>ELEMENT TYPE</u>	<u>YEAR 1</u>	<u>YEAR 2</u>	<u>YEAR 3</u>	<u>YEAR 4</u>	<u>YEAR 5</u>	<u>TOTAL</u>
DOMESTIC PERSONNEL	160	160	160	160	135	775
OVERSEAS PERSONNEL	0	0	0	0	0	0
CONSULTANTS	139	110	110	110	85	554
TRAVEL	22	47	47	47	47	210
PER-DIEM	22	26	26	26	26	126
EQUIPMENT & COMMODITIES	0	0	0	0	0	0
CENTRAL T.A. (IFES)	500	500	500	500	500	2500
EVALUATION	0	0	100	0	100	200
INDIRECT COSTS (70%)*	240	240	240	240	240	1200
3.0% CONTINGENCY	32	32	35	32	34	165
5.0% INFLATION	0	56	125	176	252	609
TOTAL	1115	1171	1343	1291	1419	6339

VALUES ARE IN ROUNDED THOUSANDS

ROUNDED TOTAL: \$6.500 MILLION

ACTUAL TOTAL: \$6.339 MILLION

*Indirect costs and contingency are not figured on central TA numbers.

Attachment 4

PRELIMINARY ILLUSTRATIVE BUDGET - BY COMPONENTS

		<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>TOTAL</u>
INFO/ DISSEM. ASST.	core:	228	228	228	228	178	1090
	buy-in:	208	312	520	625	416	<u>2081</u>
							3171
OPERAT. RES.	core	355	355	355	355	355	1755
	buy-in	255	713	798	1086	713	<u>3565</u>
							5320
ELECT. SUPPORT	core	500	500	500	500	500	2500
	buy-in	1200	1100	900	800	700	<u>4700</u>
							7200
EVAL/ AUDIT	core:	0	0	100	0	100	200
	buy-in:	0	0	0	0	0	<u>0</u>
							200
SUB- <u>TOTAL</u>	core:	1083	1083	1183	1083	1133	5615
	buy-in:	1663	2125	2218	2511	1829	<u>10346</u>
							15961
CONTIN. (3%)	core:	32	32	35	32	34	165
	buy-in:	50	64	66	75	55	<u>310</u>
							475
INFLAT. (5%)	core:	0	56	125	176	252	609
	buy-in:	0	109	234	408	406	<u>1157</u>
							1766
TOTAL	core:	1115	1171	1343	1291	1419	6339
	buy-in:	1713	2298	2518	2994	2290	<u>11813</u>
core & buy-in:		2828	3469	3861	4285	3709	<u>18152</u>

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PRELIMINARY ILLUSTRATIVE BUDGET - BY COMPONENTS

	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>TOTAL</u>
INFO/ core:	174	174	174	174	174	870
DISSEM. buyin:	0	0	0	0	0	<u>0</u>
						870
OPERAT. core:	355	355	355	355	355	1775
REA. buyin:	0	288	288	576	288	<u>1440</u>
						3215
TECH core:	0	0	0	0	0	0
ASSIST buyin:	255	425	510	510	425	<u>2125</u>
						2125
WORK- core:	54	54	54	54	54	270
SHOPS buyin:	208	312	520	625	416	<u>1457</u>
						1727
CENTRAL core:	500	500	500	500	500	2500
TA(IFES) buyin:	1200	1100	900	800	700	<u>4700</u>
						7200
EVAL/ core:	0	0	100	0	100	200
AUDIT buyin:	0	0	0	0	0	<u>0</u>
						200
<hr/> SUB- core:	1083	1083	1183	1083	1083	5515
TOTAL buyin:	1663	2125	2218	2511	1829	<u>10346</u>
						15866
<hr/> CONTING. core:	17	17	17	17	17	85
(3%) buyin:	50	64	66	75	55	<u>310</u>
						395
INFLAT. core:	0	55	110	165	220	550
(5%.) buyin:	0	212	332	502	457	<u>1503</u>
						2136
<hr/> TOTAL core:	1100	1155	1310	1265	1320	6250
buyin:	1713	2401	2616	3088	2341	<u>11535</u>
C&B:	2813	3556	3926	4353	3661	<u>17785</u>

**Environmental Determination
Based on Categorical Exclusion**

Project Title and Number: (No. 936-5458)
Originating Office: R&D/EID
Date: December 3, 1992
Country: Worldwide

Project Purpose: The Purpose of the Transitions to Democracy project (TTD) is to expand the knowledge and capacity of host country governments and NGOs to advocate, deepen and sustain democratic governance and to strengthen key processes and institutions that are essential for good governance and democracy.

Project Description: The project will establish a system for the collection and dissemination of information. It will distribute interim reports and results of TTD operational research and provide host country governments and A.I.D. missions and regional bureaus access to material and data relevant to A.I.D. democracy and governance programs which otherwise is difficult to obtain. This will include workshops and seminars on state-of-the-art knowledge in key research and project design issues. TTD will also engage in a program of operations research to identify key policy and institutional issues in democratic development and ways to most effectively provide democratic development assistance to host country institutions or groups. Finally, TTD will provide technical assistance for support in implementing the methodologies examined and generated by TTD operational research; seminars and workshops; and assisting democratizing countries conduct free, fair elections, reform and improve legislative and judicial sectors, and develop democratic political parties.

Categorical Exclusion: Pursuant to A.I.D. authority to approve environmental determinations of categorical exclusions, I hereby determine that this project qualifies for a categorical exclusion under the provisions of HB3, 2D, Section 216.2 (c) (2) (i)(ii)(iii). These three sub-sections cover technical assistance programs, controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored, and analyses, studies, academic or research workshops and meetings, except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc).

Rationale: The proposed action will not have a significant effect on the human, physical and biological environment over and above that described. I hereby determine that this project qualifies for a categorical exclusion as stated above for which an Initial Environmental Assessment and Environmental Impact Statement is not required.

Examination of the Nature, Scope and Magnitude of the Environmental Impact

A. Description of the Program:

The project will establish a system for the collection and dissemination of information. It will distribute interim reports and results of TTD operational research and provide host country governments and A.I.D. missions and regional bureaus access to material and data relevant to A.I.D. democracy and governance programs which otherwise is difficult to obtain. This will include workshops and seminars on state-of-the-art knowledge in key research and project design issues. TTD will also engage in a program of operations research to identify key policy and institutional issues in democratic development and ways to most effectively provide democratic development assistance to host country institutions or groups.

Finally, TTD will provide technical assistance for support in implementing the methodologies examined and generated by TTD operational research; seminars and workshops; and assisting democratizing countries conduct free, fair elections, reform and improve legislative and judicial sectors, and develop democratic political parties.

B. Recommended Environmental Action:

Since the project is primarily a research and technical assistance activities, it qualifies for a categorical exclusion from A.I.D.'s Initial Environmental Examination, Environmental Assessment and Environmental Impact Summary requirements. This is in accordance with A.I.D. Environmental Procedures CFR Part 216, Sections 216.2 (c), which excludes activities that do not have an effect on the natural or physical environment. Specifically, this activity is categorically excluded under Section 216.2 (c) (2) (i)(ii)(iii), which states "technical assistance programs... controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored... and analyses, studies, academic or research workshops and meetings, except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc)."

Prepared by:

Travis Horel, R&D/EID

Originating Office Determination:

Categorical Exclusion

Approved:



T. David Johnston
Director, Office of Economic
and Institutional
Development (Acting)

Distribution:
R&D/EID, Project Files
R&D/PO, Environmental Review File

Page three
Environmental Determination
TTD (936-5458)
Doc ID: U:\sthrpub\docs\env-excl.wvr

APPENDIX 2D

Environmental Procedures

These Procedures have been revised based on experience with previous ones agreed to in settlement of a law suit brought against the Agency in 1975. The Procedures are Federal Regulations and therefore, it is, imperative that they be followed in the development of Agency programs.

In preparing these Regulations, some interpretations and definitions have been drawn from Executive Order No 12114 of January 4, 1979, on the application of the national Environmental Policy Act (NEPA) to extraterritorial situations. Some elements of the revised regulations on NEPA issued by the President's Council on Environmental Quality have also been adopted. Examples are: the definition of significant impact, the concept of scoping of issues to be examined in a formal analysis, and the elimination of certain AID activities from the requirement for environmental review.

In addition, these procedures: 1) provide advance notice that certain types of projects will automatically require detailed environmental analysis thus eliminating one step in the former process and permitting early planning for this activity; 2) permit the use of specially prepared project design considerations or guidance to be substituted for environmental analysis in selected situations; 3) advocate the use of indigenous specialists to examine pre-defined issues during the project design stage; 4) clarify the role of the Bureau's Environmental Officer in the review and approval process and 5) permit in certain circumstances, projects to go forward prior to completion of environmental analysis.

Note that only minimal clarification changes have been made in those sections dealing with the evaluation and selection of pesticides to be supported by AID in projects or of a non-project assistance activity.

**INTERNATIONAL DEVELOPMENT
COOPERATION AGENCY**
Agency for International Development

22 CFR Part 216

Environmental Procedures

§ 216.1 Introduction.

(a) *Purpose.* In accordance with Sections 116(b) and 621 of the Foreign Assistance Act of 1961, as amended, (the FAA) the following general procedures shall be used by A.I.D. to ensure that environmental factors and values are integrated into the A.I.D. decision making process. These procedures also assign responsibility within the Agency for assessing the environmental effects of A.I.D.'s actions. These procedures are consistent with Executive Order 12114, issued January 4, 1979, entitled Environmental Effects Abroad of Major Federal Actions, and the purposes of the National Environmental Policy Act of 1970, as amended (42 U.S.C. 4371 et seq.) (NEPA). They are intended to implement the requirements of NEPA as they effect the A.I.D. program.

(b) *Environmental Policy.* In the conduct of its mandate to help upgrade the quality of life of the poor in developing countries, A.I.D. conducts a broad range of activities. These activities address such basic problems as hunger, malnutrition, overpopulation, disease, disaster, deterioration of the environment and the natural resource base, illiteracy as well as the lack of adequate housing and transportation. Pursuant to the FAA, A.I.D. provides development assistance in the form of technical advisory services, research, training, construction and commodity support. In addition, A.I.D. conducts programs under the Agricultural Trade Development and Assistance Act of 1954 (Pub. L. 480) that are designed to combat hunger, malnutrition and to facilitate economic development. Assistance programs are carried out under the foreign policy guidance of the Secretary of State and in cooperation with the governments of sovereign states. Within this framework, it is A.I.D. policy to:

(1) Ensure that the environmental consequences of A.I.D.-financed activities are identified and considered

by A.I.D. and the host country prior to a final decision to proceed and that appropriate environmental safeguards are adopted;

(2) Assist developing countries to strengthen their capabilities to appreciate and effectively evaluate the potential environmental effects of proposed development strategies and projects, and to select, implement and manage effective environmental programs;

(3) Identify impacts resulting from A.I.D.'s actions upon the environment; including those aspects of the biosphere which are the common and cultural heritage of all mankind; and

(4) Define environmental limiting factors that constrain development and identify and carry out activities that assist in restoring the renewable resource base on which sustained development depends.

(c) *Definitions.*—(1) *CEQ Regulations.* Regulations promulgated by the President's Council on Environmental Quality (CEQ) (Federal Register, Volume 43, Number 230, November 29, 1978) under the authority of NEPA and Executive Order 11514, entitled Protection and Enhancement of Environmental Quality (March 5, 1970) as amended by Executive Order 11901 (May 24, 1977).

(2) *Initial Environmental Examination.* An Initial Environmental Examination is the first review of the reasonably foreseeable effects of a proposed action on the environment. Its function is to provide a brief statement of the factual basis for a Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement will be required.

(3) *Threshold Decision.* A formal Agency decision which determines, based on an Initial Environmental Examination, whether a proposed Agency action is a major action significantly affecting the environment.

(4) *Environmental Assessment.* A detailed study of the reasonably foreseeable significant effects, both beneficial and adverse, of a proposed action on the environment of a foreign country or countries.

(5) *Environmental Impact Statement.* A detailed study of the reasonably foreseeable environmental impacts, both positive and negative, of a proposed

A.I.D. action and its reasonable alternatives on the United States, the global environment or areas outside the jurisdiction of any nation as described in § 216.7 of these procedures. It is a specific document having a definite format and content, as provided in NEPA and the CEQ Regulations. The required form and content of an Environmental Impact Statement is further described in § 216.7 infra.

(6) *Project Identification Document (PID)*. An internal A.I.D. document which initially identifies and describes a proposed project.

(7) *Program Assistance Initial Proposal (PAIP)*. An internal A.I.D. document used to initiate and identify proposed non-project assistance, including commodity import programs. It is analogous to the PID.

(8) *Project Paper (PP)*. An internal A.I.D. document which provides a definitive description and appraisal of the project and particularly the plan or implementation.

(9) *Program Assistance Approval Document (PAAD)*. An internal A.I.D. document approving non-project assistance. It is analogous to the PP.

(10) *Environment*. The term environment, as used in these procedures with respect to effects occurring outside the United States, means the natural and physical environment. With respect to effects occurring within the United States see § 216.7(b).

(11) *Significant Effect*. With respect to effects on the environment outside the United States, a proposed action has a significant effect on the environment if it does significant harm to the environment.

(12) *Minor Donor*. For purposes of these procedures, A.I.D. is a minor donor to a multidonor project when A.I.D. does not control the planning or design of the multidonor project and either (i) A.I.D.'s total contribution to the project is both less than \$1,000,000 and less than 25 percent of the estimated project cost, or (ii) A.I.D.'s total contribution is more than \$1,000,000 but less than 25 percent of the estimated project cost and the environmental procedures of the donor in control of the planning of design of the project are followed, but only if the A.I.D. Environmental Coordinator determines that such procedures are adequate.

§ 216.2 *Applicability of procedures.*

(a) *Scope*. Except as provided in § 216.2(b), these procedures apply to all new projects, programs or activities authorized or approved by A.I.D. and to substantive amendments or extensions of ongoing projects, programs, or activities.

(b) *Exemptions*. (1) Projects, programs or activities involving the following are exempt from these procedures:

- (i) International disaster assistance;
- (ii) Other emergency circumstances; and

(iii) Circumstances involving exceptional foreign policy sensitivities.

(2) A formal written determination, including a statement of the justification therefore, is required for each project, program or activity for which an exemption is made under paragraphs (b)(1)(i) and (iii) of this section, but is not required for projects, programs or activities under paragraph (b)(1)(i) of this section. The determination shall be made either by the Assistant Administrator having responsibility for the program, project or activity, or by the Administrator, where authority to approve financing has been reserved by the Administrator. The determination shall be made after consultation with CEQ regarding the environmental consequences of the proposed program, project or activity.

(c) *Categorical Exemptions*. (1) The following criteria have been applied in determining the classes of actions included in § 216.2(c)(2) for which an Initial Environmental Examination, Environmental Assessment and Environmental Impact Statement generally are not required:

(i) The action does not have an effect on the natural or physical environment

(ii) A.I.D. does not have knowledge of or control over, and the objective of A.I.D. in furnishing assistance does not require, either prior to approval of financing or prior to implementation of specific activities, knowledge of or control over, the details of the specific activities that have an effect on the physical and natural environment for which financing is provided by A.I.D.;

(iii) Research activities which may have an effect on the physical and natural environment but will not have a significant effect as a result of limited scope, carefully controlled nature and effective monitoring.

(2) The following classes of actions are not subject to the procedures set forth in § 216.3, except to the extent provided herein:

(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);

(ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored;

(iii) Analyses, studies, academic or research workshops and meetings;

(iv) Projects in which A.I.D. is a minor donor to a multidonor project and there is no potential significant effects upon the environment of the United States, areas outside any nation's jurisdiction or endangered or threatened species or their critical habitat;

(v) Document and information transfers;

(vi) Contributions to international, regional or national organizations by the United States which are not for the purpose of carrying out a specifically identifiable project or projects;

(vii) Institution building grants to research and educational institutions in the United States such as those provided for under Section 122(d) and Title XII of Chapter 2 of Part I of the FAA (22 USCA §§ 2151 p. (b) 2220a. (1979));

(viii) Programs involving nutrition, health care or population and family planning services except to the extent designed to include activities directly affecting the environment (such as construction of facilities, water supply systems, waste water treatment, etc.);

(ix) Assistance provided under a Commodity Import Program when, prior to approval, A.I.D. does not have knowledge of the specific commodities to be financed and when the objective in furnishing such assistance requires neither knowledge, at the time the assistance is authorized, nor control, during implementation, of the commodities or their use in the host country.

(x) Support for intermediate credit institutions when the objective is to assist in the capitalization of the institution or part thereof and when such support does not involve reservation of the right to review and approve individual loans made by the institution;

(xi) Programs of maternal or child feeding conducted under Title II of Pub. L. 490;

(xii) Food for development programs conducted by food recipient countries under Title III of Pub. L. 490, when achieving A.I.D.'s objectives in such programs does not require knowledge of or control over the details of the specific activities conducted by the foreign country under such program;

(xiii) Matching, general support and institutional support grants provided to private voluntary organizations (PVOs) to assist in financing programs where A.I.D.'s objective in providing such financing does not require knowledge of or control over the details of the specific activities conducted by the PVO;

(xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.); and

(xv) Activities which involve the application of design criteria or standards developed and approved by A.I.D.

(3) The originator of a project, program or activity shall determine the extent to which it is within the classes of actions described in paragraph (c)(2) of this section. This determination shall be made in writing and be submitted with the PID, PAIP or comparable document. This determination, which must include a brief statement supporting application of the exclusion shall be reviewed by the Bureau Environmental Officer in the same manner as a Threshold Decision under § 216.3(a)(2) of these procedures. Notwithstanding paragraph (c)(2) of this section, the procedures set forth in § 216.3 shall apply to any project, program or activity included in the classes of actions listed in paragraph (c)(2) of this section, or any aspect or component thereof, if at any time in the design, review or approval of the activity it is determined that the project, program or activity, or aspect or component thereof, is subject to the control of A.I.D. and may have a significant effect on the environment.

(d) *Classes of Actions Normally Having a Significant Effect on the Environment* (1) The following classes of actions have been determined generally to have a significant effect on the environment and an Environmental Assessment or Environmental Impact Statement, as appropriate, will be required:

- (i) Programs of river basin development;
- (ii) Irrigation or water management projects, including dams and impoundments;
- (iii) Agricultural land leveling;
- (iv) Drainage projects;
- (v) Large scale agricultural mechanization;
- (vi) New lands development;
- (vii) Resettlement projects;
- (viii) Penetration road building or road improvement projects;
- (ix) Powerplants;
- (x) Industrial plants;
- (xi) Potable water and sewerage projects other than those that are small-scale.

(2) An Initial Environmental Examination normally will not be necessary for activities within the classes described in § 216.2(d), except when the originator of the project believes that the project will not have a significant effect on the environment. In such cases, the activity may be subjected to the procedures set forth in § 216.3.

(e) *Pesticides*. The exemptions of § 216.2(b)(1) and the categorical exclusions of § 216.2(c)(2) are not applicable to assistance for the procurement or use of pesticides.

§ 216.3 Procedures.

(a) *General Procedures—(1) Preparation of the Initial Environmental Examination*. Except as otherwise provided, an Initial Environmental Examination is not required for activities identified in § 216.2(b)(1), (c)(2), and (d). For all other A.I.D. activities described in § 216.2(a) an Initial Environmental Examination will be prepared by the originator of an action. Except as indicated in this section, it should be prepared with the PID or PAIP. For projects including the procurement or use of pesticides, the procedures set forth in § 216.3(b) will be followed, in addition to the procedures in this paragraph. Activities which

cannot be identified in sufficient detail to permit the completion of an Initial Environmental Examination with the PID or PAIP, shall be described by including with the PID or PAIP: (i) an explanation indicating why the Initial Environmental Examination cannot be completed; (ii) an estimate of the amount of time required to complete the Initial Environmental Examination; and (iii) a recommendation that a Threshold Decision be deferred until the Initial Environmental Examination is completed. The responsible Assistant Administrator will set on the request for deferral concurrently with action on the PID or PAIP and will designate a time for completion of the Initial Environmental Examination. In all instances, except as provided in § 216.3(a)(7), this completion date will be in sufficient time to allow for the completion of an Environmental Assessment or Environmental Impact Statement, if required, before a final decision is made to provide A.I.D. funding for the action.

(2) *Threshold decision*. (i) The Initial Environmental Examination will include a Threshold Decision made by the officer in the originating office who signs the PID or PAIP. If the Initial Environmental Examination is completed prior to or at the same time as the PID or PAIP, the Threshold Decision will be reviewed by the Bureau Environmental Officer concurrently with approval of the PID or PAIP. The Bureau Environmental Officer will either concur in the Threshold Decision or request reconsideration by the officer who made the Threshold Decision, stating the reasons for the request. Differences of opinion between these officers shall be submitted for resolution to the Assistant Administrator at the same time that the PID is submitted for approval.

(ii) An Initial Environmental Examination, completed subsequent to approval of the PID or PAIP, will be forwarded immediately together with the Threshold Determination to the Bureau Environmental Officer for action as described above.

(iii) A Positive Threshold Decision shall result from a finding that the proposed action will have a significant effect on the environment. An Environmental Impact Statement shall be prepared if required pursuant to

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§ 216.7. If an impact statement is not required, an Environmental Assessment will be prepared in accordance with § 216.6. The cognizant Bureau or Office will record a Negative Determination if the proposed action will not have a significant effect on the environment.

(3) *Negative Declaration.* The Assistant Administrator, or the Administrator in actions for which the approval of the Administrator is required for the authorization of financing, may make a Negative Declaration, in writing, that the Agency will not develop an Environmental Assessment or an Environmental Impact Statement regarding an action found to have a significant effect on the environment when (i) a substantial number of Environmental Assessments or Environmental Impact Statements relating to similar activities have been prepared in the past, if relevant to the proposed action, (ii) the Agency has previously prepared a programmatic Statement or Assessment covering the activity in question which has been considered in the development of such activity, or (iii) the Agency has developed design criteria for such an action which, if applied in the design of the action, will avoid a significant effect on the environment.

(4) *Scope of Environmental Assessment or Impact Statement—(1) Procedure and Content.* After a Positive Threshold Decision has been made, or a determination is made under the pesticide procedures set forth in § 216.3(b) that an Environmental Assessment or Environmental Impact Statement is required, the originator of the action shall commence the process of identifying the significant issues relating to the proposed action and of determining the scope of the issues to be addressed in the Environmental Assessment or Environmental Impact Statement. The originator of an action within the classes of actions described in § 216.2(d) shall commence this scoping process as soon as practicable. Persons having expertise relevant to the environmental aspects of the proposed action shall also participate in this scoping process. (Participants may include but are not limited to representatives of host governments, public and private institutions, the A.I.D. Mission staff and contractors.) This process shall result in a written

statement which shall include the following matters:

(a) A determination of the scope and significance of issues to be analyzed in the Environmental Assessment or Impact Statement, including direct and indirect effects of the project on the environment.

(b) Identification and elimination from detailed study of the issues that are not significant or have been covered by earlier environmental review, or approved design considerations, narrowing the discussion of these issues to a brief presentation of why they will not have a significant effect on the environment.

(c) A description of (1) the timing of the preparation of environmental analyses, including phasing if appropriate, (2) variations required in the format of the Environmental Assessment, and (3) the tentative planning and decision making schedule; and

(d) A description of how the analysis will be conducted and the disciplines that will participate in the analysis.

(ii) These written statements shall be reviewed and approved by the Bureau Environmental Officer.

(iii) *Circulation of Scoping Statement.* To assist in the preparation of an Environmental Assessment, the Bureau Environmental Officer may circulate copies of the written statement, together with a request for written comments, within thirty days, to selected federal agencies if that Officer believes comments by such federal agencies will be useful in the preparation of an Environmental Assessment. Comments received from reviewing federal agencies will be considered in the preparation of the Environmental Assessment and in the formulation of the design and implementation of the project, and will, together with the scoping statement, will be included in the project file.

(iv) *Change in Threshold Decision.* If it becomes evident that the action will not have a significant effect on the environment (i.e., will not cause significant harm to the environment), the Positive Threshold Decision may be withdrawn with the concurrence of the Bureau Environmental Officer. In the case of an action included in § 216.2(d)(2), the request for withdrawal shall be made to the Bureau Environmental Officer.

(5) *Preparation of Environmental Assessments and Environmental Impact Statement.* If the PID or PAIP is approved, and the Threshold Decision is positive, or the action is included in § 218.2(d), the originator of the action will be responsible for the preparation of an Environmental Assessment or Environmental Impact Statement as required. Draft Environmental Impact Statements will be circulated for review and comment as part of the review of Project Papers and as outlined further in § 218.7 of those procedures. Except as provided in § 218.3(a)(7), final approval of the PP or PAAD and the method of implementation will include consideration of the Environmental Assessment of final Environmental Impact Statement.

(6) *Processing and Review Within A.I.D.* (i) Initial Environmental Examinations, Environmental Assessments and final Environmental Impact Statements will be processed pursuant to standard A.I.D. procedures for project approval documents. Except as provided in § 218.3(a)(7), Environmental Assessments and final Environmental Impact Statements will be reviewed as an integral part of the Project Paper or equivalent document. In addition to these procedures, Environmental Assessments will be reviewed and cleared by the Bureau Environmental Officer. They may also be reviewed by the Agency's Environmental Coordinator who will monitor the Environmental Assessment process.

(ii) When project approval authority is delegated to field posts, Environmental Assessments shall be reviewed and cleared by the Bureau Environmental Officer prior to the approval of such actions.

(iii) Draft and final Environmental Impact Statements will be reviewed and cleared by the Environmental Coordinator and the Office of the General Counsel.

(7) *Environmental Review After Authorization of Financing.* (i) Environmental review may be performed after authorization of a project, program or activity only with respect to subprojects or significant aspects of the project, program or activity that are unidentified at the time of authorization. Environmental review shall be completed prior to authorization

for all subprojects and aspects of a project, program or activity that are identified.

(ii) Environmental review should occur at the earliest time in design or implementation at which a meaningful review can be undertaken, but in no event later than when previously unidentified subprojects or aspects of projects, programs or activities are identified and planned. To the extent possible, adequate information to undertake deferred environmental review should be obtained before funds are obligated for unidentified subprojects or aspects of projects, programs or activities. (Funds may be obligated for the other aspects for which environmental review has been completed.) To avoid an irreversible commitment of resources prior to the conclusion of environmental review, the obligation of funds can be made incrementally as subprojects or aspects of projects, programs or activities are identified; or if necessary while planning continues, including environmental review, the agreement or other document obligating funds may contain appropriate covenants or conditions precedent to disbursement for unidentified subprojects or aspects of projects, programs or activities.

(iii) When environmental review must be deferred beyond the time some of the funds are to be disbursed (e.g. long lead times for the delivery of goods or services), the project agreement or other document obligating funds shall contain a covenant or covenants requiring environmental review, including an Environmental Assessment or Environmental Impact Statement, when appropriate, to be completed and taken into account prior to implementation of those subprojects or aspects of the project, program or activity for which environmental review is deferred. Such covenants shall ensure that implementation plans will be modified in accordance with environmental review if the parties decide that modifications are necessary.

(iv) When environmental review will not be completed for an entire project, program or activity prior to authorization, the Initial Environmental Examination and Threshold Decision required under § 218.3(a)(1) and (2) shall identify those aspects of the project, program or activity for which

environmental review will be completed prior to the time financing is authorized. It shall also include those subprojects or aspects for which environmental review will be deferred, stating the reasons for deferral and the time when environmental review will be completed. Further, it shall state how an irreversible commitment of funds will be avoided until environmental review is completed. The A.I.D. officer responsible for making environmental decisions for such projects, programs or activities shall also be identified (the same officer who has decision making authority for the other aspects of implementation). This deferral shall be reviewed and approved by the officer making the Threshold Decision and the officer who authorizes the project, program or activity. Such approval may be made only after consultation with the Office of General Counsel for the purpose of establishing the manner in which conditions precedent to disbursement or covenants in project and other agreements will avoid an irreversible commitment of resources before environmental review is completed.

(8) *Monitoring.* To the extent feasible and relevant, projects and programs for which Environmental Impact Statements or Environmental Assessments have been prepared should be designed to include measurement of any changes in environmental quality, positive or negative, during their implementation. This will require recording of baseline data at the start. To the extent that available data permit, originating offices of A.I.D. will formulate systems in collaboration with recipient nations, to monitor such impacts during the life of A.I.D.'s involvement. Monitoring implementation of projects, programs and activities shall take into account environmental impacts to the same extent as other aspects of such projects, programs and activities. If during implementation of any project, program or activity, whether or not an Environmental Assessment or Environmental Impact Statement was originally required, it appears to the Mission Director, or officer responsible for the project, program or activity, that it is having or will have a significant effect on the environment that was not previously studied in an Environmental

Assessment or Environmental Impact Statement, the procedures contained in this part shall be followed including, as appropriate, a Threshold Decision, Scoping and an Environmental Assessment or Environmental Impact Statement.

(9) *Revisions.* If, after a Threshold Decision is made resulting in a Negative Determination, a project is revised or new information becomes available which indicates that a proposed action might be "major" and its effects "significant", the Negative Determination will be reviewed and revised by the cognizant Bureau and an Environmental Assessment or Environmental Impact Statement will be prepared, if appropriate. Environmental Assessments and Environmental Impact Statements will be amended and processed appropriately if there are major changes in the project or program, or if significant new information becomes available which relates to the impact of the project, program or activity on the environment that was not considered at the time the Environmental Assessment or Environmental Impact Statement was approved. When on-going programs are revised to incorporate a change in scope or nature, a determination will be made as to whether such change may have an environmental impact not previously assessed. If so, the procedures outlined in this part will be followed.

(10) *Other Approval Documents.* These procedures refer to certain A.I.D. documents such as PIDs, PAIPs, PPs and PAADs as the A.I.D. internal instruments for approval of projects, programs or activities. From time to time, certain special procedures, such as those in § 216.4, may not require the use of the aforementioned documents. In these situations, these environmental procedures shall apply to those special approval procedures, unless otherwise exempt, at approval times and levels comparable to projects, programs and activities in which the aforementioned documents are used.

(b) *Pesticide Procedures—(1) Project Assistance.* Except as provided in § 216.3(b)(2), all proposed projects involving assistance for the procurement or use, or both, of pesticides shall be subject to the procedures prescribed in

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§ 216.3(b)(1) (i) through (v) below. These procedures shall also apply, to the extent permitted by agreements entered into by A.I.D. before the effective date of these pesticide procedures, to such projects that have been authorized but for which pesticides have not been procured as of the effective date of these pesticide procedures.

(i) When a project includes assistance for procurement or use, or both, of pesticides registered for the same or similar uses by USEPA without restriction, the Initial Environmental Examination for the project shall include a separate section evaluating the economic, social and environmental risks and benefits of the planned pesticide use to determine whether the use may result in significant environmental impact. Factors to be considered in such an evaluation shall include, but not be limited to the following:

(a) The USEPA registration status of the requested pesticide;

(b) The basis for selection of the requested pesticide;

(c) The extent to which the proposed pesticide use is part of an integrated pest management program;

(d) The proposed method or methods of application, including availability of appropriate application and safety equipment;

(e) Any acute and long-term toxicological hazards, either human or environmental, associated with the proposed use and measures available to minimize such hazards;

(f) The effectiveness of the requested pesticide for the proposed use;

(g) Compatibility of the proposed pesticide with target and nontarget ecosystems;

(A) The conditions under which the pesticide is to be used, including climate, flora, fauna, geography, hydrology, and soils;

(i) The availability and effectiveness of other pesticides or nonchemical control methods;

(j) The requesting country's ability to regulate or control the distribution, storage, use and disposal of the requested pesticide;

(k) The provisions made for training of users and applicators; and

(l) The provisions made for monitoring the use and effectiveness of the pesticide.

In those cases where the evaluation of the proposed pesticide use in the Initial Environmental Examination indicates that the use will significantly affect the human environment, the Threshold Decision will include a recommendation for the preparation of an Environmental Assessment or Environmental Impact Statement, as appropriate. In the event a decision is made to approve the planned pesticide use, the Project Paper shall include to the extent practicable, provisions designed to mitigate potential adverse ef-

fects of the pesticide. When the pesticide evaluation section of the Initial Environmental Examination does not indicate a potentially unreasonable risk arising from the pesticide use, an Environmental Assessment or Environmental Impact Statement shall nevertheless be prepared if the environmental effects of the project otherwise require further assessment.

(ii) When a project includes assistance for the procurement or use, or both, of any pesticide registered for the same or similar uses in the United States but the proposed use is restricted by the USEPA on the basis of user hazard, the procedures set forth in § 216.3(b)(1)(i) above will be followed. In addition, the Initial Environmental Examination will include an evaluation of the user hazards associated with the proposed USEPA restricted uses to ensure that the implementation plan which is contained in the Project Paper incorporates provisions for making the recipient government aware of these risks and providing, if necessary, such technical assistance as may be required to mitigate these risks. If the proposed pesticide use is also restricted on a basis other than user hazard, the procedures in § 216.3(b)(1)(iii) shall be followed in lieu of the procedures in this section.

(iii) If the project includes assistance for the procurement or use, or both of:

(a) Any pesticide other than one registered for the same or similar uses by USEPA without restriction or for restricted use on the basis of user hazard; or

(b) Any pesticide for which a notice of rebuttable presumption against registration, notice of intent to cancel, or notice of intent to suspend has been issued by USEPA.

The Threshold Decision will provide for the preparation of an Environmental Assessment or Environmental Impact Statement, as appropriate (§ 216.8(a)). The EA or EIS shall include, but not be limited to, an analysis of the factors identified in § 216.3(b)(1)(i) above.

(iv) Notwithstanding the provisions of §§ 216.3(b)(1) (i) through (iii) above, if the project includes assistance for the procurement or use, or both, of a pesticide against which USEPA has initiated a regulatory action for cause, or for which it has issued a notice of rebuttable presumption against reregistration, the nature of the action or notice, including the relevant techni-

cal and scientific factors will be discussed with the requesting government and considered in the IEE and, if prepared, in the EA or EIS. If USEPA initiates any of the regulatory actions above against a pesticide subsequent to its evaluation in an IEE, EA or EIS, the nature of the action will be discussed with the recipient government and considered in an amended IEE or amended EA or EIS, as appropriate.

(v) If the project includes assistance for the procurement or use, or both of pesticides but the specific pesticides to be procured or used cannot be identified at the time the IEE is prepared, the procedures outlined in § 216.3(b) (i) through (iv) will be followed when the specific pesticides are identified and before procurement or use is authorized. Where identification of the pesticides to be procured or used does not occur until after Project Paper approval, neither the procurement nor the use of the pesticides shall be undertaken unless approved, in writing, by the Assistant Administrator (or in the case of projects authorized at the Mission level, the Mission Director) who approved the Project Paper.

(2) *Exceptions to Pesticide Procedures.* The procedures set forth in § 216.3(b)(1) above shall not apply to the following projects including assistance for the procurement or use, or both, of pesticides.

(i) Projects under emergency conditions.

Emergency conditions shall be deemed to exist when it is determined by the Administrator, A.I.D., in writing that:

(a) A pest outbreak has occurred or is imminent; and

(b) Significant health problems (either human or animal) or significant economic problems will occur without the prompt use of the proposed pesticide; and

(c) Insufficient time is available before the pesticide must be used to evaluate the proposed use in accordance with the provisions of this regulation.

(ii) Projects where A.I.D. is a minor donor, as defined in § 216.1(c)(12) above, to a multi-donor project.

(iii) Projects including assistance for procurement or use, or both, of pesticides for research or limited field evaluation purposes by or under the supervision of project personnel. In such instances, however, A.I.D. will ensure that the manufacturers of the pesticides provide toxicological and environmental data necessary to safeguard

the health of research personnel and the quality of the local environment in which the pesticides will be used. Furthermore, treated crops will not be used for human or animal consumption unless appropriate tolerances have been established by EPA or recommended by FAO/WHO, and the rates and frequency of application, together with the prescribed preharvest intervals, do not result in residues exceeding such tolerances. This prohibition does not apply to the feeding of such crops to animals for research purposes.

(3) *Non-Project Assistance.* In a very few limited number of circumstances A.I.D. may provide non-project assistance for the procurement and use of pesticides. Assistance in such cases shall be provided if the A.I.D. Administrator determines in writing that (i) emergency conditions, as defined in § 216.3(b)(2)(i) above exists; or (ii) that compelling circumstances exist such that failure to provide the proposed assistance would seriously impede the attainment of U.S. foreign policy objectives or the objectives of the foreign assistance program. In the latter case, a decision to provide the assistance will be based to the maximum extent practicable, upon a consideration of the factors set forth in § 216.3(b)(1)(i) and, to the extent available, the history of efficacy and safety covering the past use of the pesticide in the recipient country.

§ 216.4 *Private applicants.*

Programs, projects or activities for which financing from A.I.D. is sought by private applicants, such as PVOs and educational and research institutions, are subject to these procedures. Except as provided in §§ 216.2 (b), (c) or (d), preliminary proposals for financing submitted by private applicants shall be accompanied by an Initial Environmental Examination or adequate information to permit preparation of an Initial Environmental Examination. The Threshold Decision shall be made by the Mission Director for the country to which the proposal relates, if the preliminary proposal is submitted to the A.I.D. Mission, or shall be made by the officer in A.I.D. who approves the preliminary proposal. In either case, the concurrence of the Bureau Environmental Officer is required in the same manner as in § 216.3(a)(2), except for PVO projects approved in A.I.D. Missions with total life of project costs

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less than \$500,000. Thereafter, the same procedures set forth in § 216.3 including as appropriate scoping and Environmental Assessments or Environmental Impact Statements, shall be applicable to programs, projects or activities submitted by private applicants. The final proposal submitted for financing shall be treated, for purposes of these procedures, as a Project Paper. The Bureau Environmental Officer shall advise private applicants of studies or other information foreseeably required for action by A.I.D.

§ 216.5 Endangered species.

It is A.I.D. policy to conduct its assistance programs in a manner that is sensitive to the protection of endangered or threatened species and their critical habitats. The Initial Environmental Examination for each project, program or activity having an effect on the environment shall specifically determine whether the project, program or activity will have an effect on an endangered or threatened species, or critical habitat. If the proposed project, program or activity will have the effect of jeopardizing an endangered or threatened species or of adversely modifying its critical habitat, the Threshold Decision shall be a Positive Determination and an Environmental Assessment or Environmental Impact Statement completed as appropriate, which shall discuss alternatives or modifications to avoid or mitigate such impact on the species or its habitat.

§ 216.6 Environmental assessments.

(a) *General Purpose.* The purpose of the Environmental Assessment is to provide Agency and host country decision makers with a full discussion of significant environmental effects of a proposed action. It includes alternatives which would avoid or minimize adverse effects or enhance the quality of the environment so that the expected benefits of development objectives can be weighed against any adverse impacts upon the human environment or any irreversible or irretrievable commitment of resources.

(b) *Collaboration with Affected Nation on Preparation.* Collaboration in obtaining data, conducting analyses and considering alternatives will help build an awareness of development

associated environmental problems in less developed countries as well as assist in building an indigenous institutional capability to deal nationally with such problems. Missions, Bureaus and Offices will collaborate with affected countries to the maximum extent possible, in the development of any Environmental Assessments and consideration of environmental consequences as set forth therein.

(c) *Content and Form.* The Environmental Assessment shall be based upon the scoping statement and shall address the following elements, as appropriate:

(1) *Summary.* The summary shall stress the major conclusions, areas of controversy, if any, and the issues to be resolved.

(2) *Purpose.* The Environmental Assessment shall briefly specify the underlying purpose and need to which the Agency is responding in proposing the alternatives including the proposed action.

(3) *Alternatives including the Proposed Action.* This section should present the environmental impacts of the proposal and its alternatives in comparative form, thereby sharpening the issues and providing a clear basis for choice among options by the decision maker. This section should explore and evaluate reasonable alternatives and briefly discuss the reasons for eliminating those alternatives which were not included in the detailed study; devote substantial treatment to each alternative considered in detail including the proposed action so that reviewers may evaluate their comparative merits; include the alternative of no action; identify the Agency's preferred alternative or alternatives, if one or more exists; include appropriate mitigation measures not already included in the proposed action or alternatives.

(4) *Affected Environment.* The Environmental Assessment shall succinctly describe the environment of the area(s) to be affected or created by the alternatives under consideration. The descriptions shall be no longer than is necessary to understand the effects of the alternatives. Data and analyses in the Environmental Assessment shall be commensurate with the significance of the impact with less important material

summarized, consolidated or simply referenced.

(5) *Environmental Consequences.* This section forms the analytic basis for the comparisons under paragraph (c)(3) of this section. It will include the environmental impacts of the alternatives including the proposed action; any adverse effects that cannot be avoided should the proposed action be implemented; the relationship between short-term uses of the environment and the maintenance and enhancement of long-term productivity; and any irreversible or irretrievable commitments of resources which would be involved in the proposal should it be implemented. It should not duplicate discussions in paragraph (c)(3) of this section. This section of the Environmental Assessment should include discussions of direct effects and their significance; indirect effects and their significance; possible conflicts between the proposed action and land use plans, policies and controls for the areas concerned; energy requirements and conservation potential of various alternatives and mitigation measures; natural or depletable resource requirements and conservation potential of various requirements and mitigation measures; urban quality; historic and cultural resources and the design of the built environment, including the reuse and conservation potential of various alternatives and mitigation measures; and means to mitigate adverse environmental impacts.

(6) *List of Preparers.* The Environmental Assessment shall list the names and qualifications (expertise, experience, professional discipline) of the persons primarily responsible for preparing the Environmental Assessment or significant background papers.

(7) *Appendix.* An Appendix may be prepared.

(d) *Program Assessment.* Program Assessments may be appropriate in order to assess the environmental effects of a number of individual actions and their cumulative environmental impact in a given country or geographic area, or the environmental impacts that are generic or common to a class of agency actions, or other activities which are not country-specific. In these cases, a single, programmatic assessment will be prepared in A.I.D./Washington and circulated to appropriate overseas Missions, host governments, and to

interested parties within the United States. To the extent practicable, the form and content of the programmatic Environmental Assessment will be the same as for project Assessments. Subsequent Environmental Assessments on major individual actions will only be necessary where such follow-on or subsequent activities may have significant environmental impacts on specific countries where such impacts have not been adequately evaluated in the programmatic Environmental Assessment. Other programmatic evaluations of classes of actions may be conducted in an effort to establish additional categorical exclusions or design standards or criteria for such classes that will eliminate or minimize adverse effects of such actions, enhance the environmental effect of such action or reduce the amount of paperwork or time involved in these procedures. Programmatic evaluations conducted for the purpose of establishing additional categorical exclusions under § 216.2(c) or design considerations that will eliminate significant effects for classes of actions shall be made available for public comment before the categorical exclusions or design standards or criteria are adopted by A.I.D. Notice of the availability of such document shall be published in the Federal Register. Additional categorical exclusions shall be adopted by A.I.D. upon the approval of the Administrator, and design consideration in accordance with usual agency procedures.

(e) *Consultation and Review.* (1) When Environmental Assessments are prepared on activities carried out within or focused on specific developing countries, consultation will be held between A.I.D. staff and the host government both in the early stages of preparation and on the results and significance of the completed Assessment before the project is authorized.

(2) Missions will encourage the host government to make the Environmental Assessment available to the general public of the recipient country. If Environmental Assessments are prepared on activities which are not country-specific, the Assessment will be circulated by the Environmental Coordinator to A.I.D.'s Overseas Missions and interested governments for information, guidance and comment and will be made available in the U.S. to

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interested parties.

(f) *Effect in Other Countries.* In a situation where an analysis indicates that potential effects may extend beyond the national boundaries of a recipient country and adjacent foreign nations may be affected, A.I.D. will urge the recipient country to consult with such countries in advance of project approval and to negotiate mutually acceptable accommodations.

(g) *Classified Material.* Environmental Assessments will not normally include classified or administratively controlled material. However, there may be situations where environmental aspects cannot be adequately discussed without the inclusion of such material. The handling and disclosure of classified or administratively controlled material shall be governed by 22 CFR Part 9. Those portions of an Environmental Assessment which are not classified or administratively controlled will be made available to persons outside the Agency as provided for in 22 CFR Part 212.

§ 216.7 Environmental impact statements.

(a) *Applicability.* An Environmental Impact Statement shall be prepared when agency actions significantly affect

(1) The global environment or areas outside the jurisdiction of any nation (e.g., the oceans);

(2) The environment of the United States; or

(3) Other aspects of the environment at the discretion of the Administrator.

(b) *Effects on the United States: Content and Form.* An Environmental Impact Statement relating to paragraph (a)(2) of this section shall comply with the CEQ Regulations. With respect to effects on the United States, the terms environment and significant effect wherever used in these procedures have the same meaning as in the CEQ Regulations rather than as defined in § 216.1(c) (12) and (13) of these procedures.

(c) *Other Effects: Content and Form.* An Environmental Impact Statement relating to paragraphs (a)(1) and (a)(3) of this section will generally follow the CEQ Regulations, but will take into account the special considerations and concerns of A.I.D. Circulation of such Environmental Impact Statements in draft form will precede approval of a Project Paper or equivalent and comments from such circulation will be

considered before final project authorization as outlined in § 216.3 of these procedures. The draft Environmental Impact Statement will also be circulated by the Missions to affected foreign governments for information and comment. Draft Environmental Impact Statements generally will be made available for comment to Federal agencies with jurisdiction by law or special expertise with respect to any environmental impact involved, and to public and private organizations and individuals for not less than forty-five (45) days. Notice of availability of the draft Environmental Impact Statements will be published in the Federal Register. Cognizant Bureaus and Offices will submit these drafts for circulation through the Environmental Coordinator who will have the responsibility for coordinating all such communications with persons outside A.I.D. Any comments received by the Environmental Coordinator will be forwarded to the originating Bureau or Office for consideration in final policy decisions and the preparation of a final Environmental Impact Statement. All such comments will be attached to the final Statement, and those relevant comments not adequately discussed in the draft Environmental Impact Statement will be appropriately dealt with in the final Environmental Impact Statement. Copies of the final Environmental Impact Statement, with comments attached, will be sent by the Environmental Coordinator to CEQ and to all other Federal, state, and local agencies and private organizations that made substantive comments on the draft, including affected foreign governments. Where emergency circumstances or considerations of foreign policy make it necessary to take an action without observing the provisions of § 1506.10 of the CEQ Regulations, or when there are overriding considerations of expense to the United States or foreign governments, the originating Office will advise the Environmental Coordinator who will consult with Department of State and CEQ concerning appropriate modification of review procedures.

§ 216.8 Public hearings.

(a) In most instances AID will be able to gain the benefit of public par-

icipation in the impact statement process through circulation of draft statements and notice of public availability in CEQ publications. However, in some cases the Administrator may wish to hold public hearings on draft Environmental Impact Statements. In deciding whether or not a public hearing is appropriate, Bureaus in conjunction with the Environmental Coordinator should consider:

(1) The magnitude of the proposal in terms of economic costs, the geographic area involved, and the uniqueness or size of commitment of the resources involved;

(2) The degree of interest in the proposal as evidenced by requests from the public and from Federal, state and local authorities, and private organizations and individuals, that a hearing be held;

(3) The complexity of the issue and likelihood that information will be presented at the hearing which will be of assistance to the Agency; and

(4) The extent to which public involvement already has been achieved through other means, such as earlier public hearings, meetings with citizen representatives, and/or written comments on the proposed action.

(b) If public hearings are held, draft Environmental Impact Statements to be discussed should be made available to the public at least fifteen (15) days prior to the time of the public hearings, and a notice will be placed in the **FEDERAL REGISTER** giving the subject, time and place of the proposed hearings.

§ 218.9 Bilateral and multilateral studies and concise reviews of environmental issues.

Notwithstanding anything to the contrary in these procedures, the Administrator may approve the use of either of the following documents as a substitute for an Environmental Assessment (but not a substitute for an Environmental Impact Statement) required under these procedures:

(a) Bilateral or multilateral environmental studies, relevant or related to the proposed action, prepared by the United States and one or more foreign countries or by an international body or organization in which the United States is a member or participant; or

(b) Concise reviews of the environmental issues involved including summary environmental analyses or other appropriate documents.

§ 218.10 Records and reports.

Each Agency Bureau will maintain a current list of activities for which Environmental Assessments and Environmental Impact Statements are being prepared and for which Negative Determinations and Declarations have been made. Copies of final Initial Environmental Examinations, scoping statements, Assessments and Impact Statements will be available to interested Federal agencies upon request. The cognizant Bureau will maintain a permanent file (which may be part of its normal project files) of Environmental Impact Statements, Environmental Assessments, final Initial Environmental Examinations, scoping statements, Determinations and Declarations which will be available to the public under the Freedom of Information Act. Interested persons can obtain information or status reports regarding Environmental Assessments and Environmental Impact Statements through the A.I.D. Environmental Coordinator.

(22 U.S.C. 2151; 42 U.S.C. 4332)

Dated October 9, 1980.

Joseph C. Wheeler,
Acting Administrator.

Attachment 6

NARRATIVE SUMMARY	OBJECTIVE VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><u>Goal:</u></p> <p>To promote the development of democratic systems in the developing world, thus contributing to broad-based sustainable economic and social dev't.</p>	<p><u>Measures of Goal Achievement:</u></p> <p>Increased participation of all citizens in the formation and implementation of public policy;</p> <p>Stable and peaceful political competition;</p> <p>Greater protection for the integrity of the person and for the exercise of basic political rights;</p> <p>Accountable judicial and executive systems;</p> <p>Increased democratic values, including tolerance of diverse options, civic participation and respect for minorities.</p>	<p>Annual Freedom House reports and other indices that gauge countries' democratic dev't.</p>	<p>The political, legal and institutional environment in participating countries can be successfully and substantially modified.</p> <p>The internal political environment is conducive to peaceful political development</p>

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><u>Purpose:</u></p> <p>To expand the capacity of host country gov'ts and NGOs to advocate, deepen and sustain democratic governance and to strengthen key processes and institutions essential for democratic governance.</p>	<p><u>End of Project Status:</u></p> <p>Establishment of a system to gather, synthesize and distribute democracy information and a network to link A.I.D. & political development experts.</p> <p>5 workshops held to communicate research findings with respect to democratic processes</p> <p>5 state-of-the-art papers prepared on topics related to overcoming democratic constraints</p> <p>15 field studies prepared on key democratic topics</p> <p>Field support provided to 25 countries in areas such as election assistance, project design, evaluations, etc.</p>	<p>Interviews with AID officers and host country officials;</p> <p>Site visits;</p> <p>Project research papers;</p> <p>Midterm and final evaluations.</p>	<p>Regional Bureaus and Missions remain actively interested in the Democracy Initiative and read information and research generated by TTD;</p> <p>Missions and Regional Bureaus convey TTD information and research to host country officials and leaders;</p> <p>Missions and Regional Bureaus participate actively in TTD technical assistance, workshops and research efforts.</p>

NARRATIVE SUMMARY	OBJECTIVE VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><u>Outputs:</u></p> <p>Creation of a system that gathers, synthesizes and distributes democracy and governance information.</p> <p>Network establish that links AID to top political development experts.</p> <p>Workshops and training seminars on themes in democratic development.</p> <p>Established and tested strategies that examine key variables and causal linkages that effect the evaluation and survival of democratic governance</p>	<p>Relevant resource summaries and reports, synthesizes current research and donor activities.</p> <p>Network of democracy and governance specialists used by Missions and Bureaus;</p> <p>5 workshops held in Missions and Regional Bureaus;</p> <p>Timely and effective communication of project generated findings to AID policy-makers and host country officials.</p>	<p>Annual workplans</p> <p>Project Records</p> <p>Project papers and publications</p> <p>Peer review reports</p> <p>Reports on policy dialogue, seminars and workshops</p> <p>Field Mission questionnaires and reports</p> <p>Site visits</p> <p>Project evaluations</p>	<p>USAID recognizes the need for information regarding democracy and governance issues and policy implications.</p> <p>Missions and Bureaus are willing to participate in TTD research activities, technical assistance and workshops. AID officials are receptive to the use of well-grounded research in establishing or modifying policies and programs in democracy and governance.</p>

NARRATIVE SUMMARY	OBJECTIVE VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Outputs (continued):</p> <p>Long term field studies in 15 countries that assist host government and missions address critical issues.</p> <p>Strengthened central capacity for providing T.A. in areas such as electoral, legislative and political party assistance.</p>	<p>For each topic, one or more interim and final reports, including policy and project options are prepared; reports are circulated within AID; information exchanged and demonstrated through technical assistance and workshops and finished papers are published.</p> <p>TTD demonstrates research generated frameworks in 15 countries.</p> <p>Quick and easy access of bureaus and mission to technical assistance in areas such as electoral assistance for mission projects.</p>		

NARRATIVE SUMMARY	OBJECTIVE VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p style="text-align: center;"><u>Inputs:</u></p> <p>1) Information dissemination</p> <p>2) Operational Research</p> <p>3) Technical Assistance</p> <p>4) Workshop</p> <p>5) Central TA</p> <p>6) Eval./Audit</p> <p>7) Contingency</p> <p>8) Inflation</p> <p style="text-align: right;">TOTAL:</p>	<p><u>Implementation Target:</u></p> <p>Core: 870 Buy-in: 0 Total: 870</p> <p>Core: 1775 Buy-In: 1440 Total: 3215</p> <p>Core: 0 Buy-In: 2125 Total: 2125</p> <p>Core: 270 Buy-In: 1457 Total: 1727</p> <p>Core: 2500 Buy-In: 4700 Total: 7200</p> <p>Core: 200 Buy-In: 0 Total: 100</p> <p>Core: 85 Buy-In: 310 Total: 395</p> <p>Core: 550 Buy-In: 1503 Total: 2136</p> <p style="text-align: right;">CORE: 6250 BUY-IN: 11535</p>	<p>Project documents</p> <p>Vouchers</p> <p>Audits</p> <p>Contractor Reports</p>	<p>USAID's and Regional Bureaus buy-in at the levels indicated in cable responses.</p>

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