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**REGIONAL LEGISLATIVE  
DEVELOPMENT PROJECT:**

**MIDTERM EVALUATION**

**FINAL**

*Prepared for:*

**THE UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
Bureau for Latin America and the Caribbean  
Office of Democratic Initiatives  
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## **EXECUTIVE SUMMARY**

### **PROJECT DESCRIPTION AND OBJECTIVE**

The Consortium for Legislative Development, comprised of The Center for Democracy (CFD); Florida International University (FIU); and the University at Albany, State University of New York (SUNY/A) is implementing a 3-year, \$7.25 million Regional Legislative Development Project (LAC-0770-A-00-0034-00) to support legislative strengthening in Latin America and the Caribbean. Of that amount, \$4.25 million was reserved for USAID mission buy-ins. Although the Consortium was formalized as an institution by principals from each institution including: Dr. Allen Weinstein (CFD); Dr. Allan Rosenbaum (FIU); and Dr. Abdo Baaklini (SUNY/A), a Cooperative Agreement was signed between AID and the CFD.

The Consortium's Regional Legislative Development Project promotes AID's objectives of strengthening legislatures as critical elements of democracies in Latin America and the Caribbean. Functioning legislatures are necessary to represent the interests of constituencies, to balance the power of the executive and the judiciary, and to oversee expanding and modernizing bureaucracies. This is especially important in Latin America where the executive, whether civilian or military, has traditionally dominated and legislatures have been weak. By focusing on the legislature in a democracy, AID's Democratic Initiatives program has encouraged the governments in the region to consider how a functioning legislature may enhance the democratic process.

The objectives of the Regional Legislative Development Project are:

- To identify and meet immediate and short term needs identified by legislators and their staffs and to develop short term training programs in legislative operations;
- To organize and facilitate bilateral and regional exchange activities among members and staffs of other democratically conceived legislatures; and
- To encourage the development of Latin American and Caribbean legislative institutions with a permanent institutional capacity to continuously address their own institutional needs, such as staff training, information systems and public policy analysis.

By design, the work of the Regional Project was expected to generate bilateral or buy-in agreements to further support legislative development. The project has five interrelated components:

1. Collaboration with Latin American and Caribbean legislators and staffs to diagnose training, technical assistance and equipment needs of each legislature (needs assessments);
2. Regional seminars that address legislative operations and common public policy issues;
3. Technical assistance to be provided at the request of individual legislatures;
4. Design and installation of legislative and management information systems; and
5. Professional staff development through degree, non-degree and internship programs, such as graduate training at SUNY/A or internships at state legislatures.

Buy-in or bilateral programs have been undertaken in Costa Rica, Nicaragua, Panama and Guatemala. A buy-in agreement was developed for Haiti but was interrupted because of the suspension of U.S. government-to-government assistance due to a coup d'etat there in September 1991. Needs assessments were conducted in each of those countries as well as Bolivia and Paraguay. Short term technical projects were also conducted in the Dominican Republic, Paraguay, Guatemala and Belize. A longer term support program involves graduate education at the University at Albany (SUNY/A).

## **EVALUATION SCOPE OF WORK**

On September 30, 1992, LAC/DI entered into a contractual agreement with Creative Associates International, Inc., (CAII) for the delivery of a program evaluation of the activities of the Consortium. The objective of the evaluation was to focus on the Consortium's performance in the core regional component of its Cooperative Agreement with AID. The evaluators were asked to review the basic project design elements and supporting documentation of the Consortium and to interview the principals and program managers of the Consortium, the AID personnel involved in the project, the host country participants and any other individuals whose interests would be relevant to a full understanding of the value and impact of the project. The evaluators were instructed not to assess the implementation of the buy-ins or bilateral agreements that may have resulted from the original regional activities. The evaluation team included: Dr. Jennie K. Lincoln, a professor at the School of International Affairs at the Georgia Institute of Technology; Ms. Charito Kruvant, President of Creative Associates International, Inc. (CAII), and CAII Consultants, Ms. Francine Marshall and Mr. Duke Banks. All of the team members have had extensive experience in Latin America and are fluent in Spanish. Ms. Marshall is proficient in Creole, as well.

To evaluate the Consortium's project, the evaluation team used a qualitative evaluation method. This method goes beyond the steps of description, measurement and judgment and adds an interactive approach that permits the group being evaluated to participate through consultation during the evaluation process. Questions and issues that arise in the evaluation process may

be revisited by those being evaluated for clarification. The objective of this method is to offer those being evaluated the opportunity to learn from their successes and mistakes in a less-threatening manner. This approach is particularly useful when a project has encountered difficulties that may or may not have been overcome. The draft evaluation report was circulated to principal stakeholders for their review with a request for input to correct errors of fact. Responses to the draft evaluation submitted to the team indicated an understanding of the conclusions of the evaluators, but also included objections to some of the criticisms of the Consortium's efforts. Final interpretations lie with the evaluation team.

This evaluation was not the first conducted to review the work of the Consortium. In July 1992, Management Systems International (MSI) was contracted to undertake an evaluation of the management structures and procedures of the Consortium for Legislative Development. Collegiality and decision-making by consensus had deteriorated and the MSI evaluation was intended, in part, to evaluate the possibility of correcting management problems. Intra-consortium difficulties, as well as difficulties between the Consortium and various AID offices, including AID/Washington and the USAID missions in Latin American and the Caribbean, however, were not resolved. The managerial changes implemented unilaterally by the CFD in response to the MSI evaluation brought into full force the subcontractual agreements with FIU and SUNY/A.

## **FINDINGS**

After extensive field research and documentation review, it is the conclusion of the evaluators that while the original project design was valid, the implementation of that project was weak. The Consortium's project encompassed components that are critical for institution building of legislatures in countries that are striving to sustain democratic governments. However, the implementation of this project fell short of its own potential due to intra-Consortium management difficulties that were compounded by communication problems with AID and the lack of an overall strategic plan to guide and integrate the component parts of the project.

Feedback to the evaluators throughout this process from Consortium principals, program managers and AID suggests that many wish to blame specific individuals or groups for the Consortium's difficulties. The evaluators concluded that all parties share responsibility for those difficulties and all may learn from the lessons of this experience. Because of the nature of a Cooperative Agreement, AID was to be actively involved in the implementation of this project. Consortium members indicated that the extent to which AID, whether AID/Washington or the USAID missions in the region, were involved varied, and the working relationships were juggled on a country-by-country basis.

The evaluators found diametrically opposite viewpoints between members of the Consortium and AID concerning criticism of the Consortium's capabilities and activities. While AID and mission representatives complained frequently to the evaluators about the Consortium's performance, the Consortium produced cables and letters of praise from the missions for

individual activities. AID/W maintains that critical assessments were given to the Consortium and should have provided direction for program modifications. The Consortium members do not concur that sufficient criticism was evidenced to suggest mid-course corrections. The following discussion reviews principal findings concerning the components of the Regional Legislative Development Project and its support for ATELCA.

According to the Cooperative Agreement, the Consortium was responsible for ten needs assessments. The highest levels of effort toward needs assessments were focused on Costa Rica, Nicaragua and Panama and each resulted in a subsequent buy-in or bilateral agreement. However, the other five that were reported by the Consortium: Guatemala, Haiti, Dominican Republic, Bolivia and Paraguay varied from a technical assistance visit (Haiti and Dominican Republic) to a cursory visit to inquire about possible assistance (Bolivia and Paraguay). None of these five approximated a needs assessment that would provide a baseline of information and priorities from which more extensive projects could be developed. The Consortium response to this criticism suggested that AID/W and the missions held significant influence in the assessment methodology and that AID/W had requested that the Consortium not conduct in-depth needs assessments due to political sensitivities and time pressures.

The Consortium also agreed to conduct regional seminars to create opportunities for meaningful exchange and informal regional dialogue and to create opportunities for technical assistance through practical training [emphasis added] on specific technical topics and legislative development themes. The Consortium was to undertake three regional seminars, four subregional seminars and three orientation programs. Design, planning, implementation and follow-up varied widely among those seminars undertaken under the leadership of different members of the Consortium. Several were criticized by AID and by participants for the lack of preparation, organization and language capability of the presenters. Most successful were the orientation seminars and a grant-writing seminar that had been requested by ATELCA.

The design of management information systems and technical assistance was also included in the Consortium's project. While members of the Consortium conducted some assessment of management information systems and/or legislative information systems where needs assessments were more thoroughly conducted, design of such systems did not occur under the Regional Legislative Development Project. Short term technical assistance was provided in Paraguay, Guatemala, the Dominican Republic, Belize and Haiti. The Consortium was able to field technical expertise on short notice in several cases that provided a service to the requesting legislatures. Most successful were efforts where Spanish-speaking information specialists were dispatched and well received.

Graduate education in legislative development was offered in the regional core project through the graduate program at the University at Albany of the State University of New York (SUNY/A) under the auspices of the Center for Legislative Development. LAC Project Scholars were selected to participate in the two year Master's program (MPA in Legislative Administration) or in a certificate program. While SUNY/A outlined specific qualifications for candidates, procedures for recruiting, screening and processing candidates for these scholarships

were not systematically developed. SUNY/A is refining those procedures. Students currently participating in the program consider the graduate training to be valuable.

The Consortium supported ATELCA activities under this Cooperative Agreement beginning with the Third General Assembly in El Salvador in November 1990. ATELCA, The Association of Central American Legislative Technicians (*Asociación de Técnicos Legislativos Centroamericanos*) was founded in 1989 to provide a regional professional organization for legislative staff. Prior to ATELCA no organization of this kind had existed in Central America. The perception of the legislative personnel indicates that the very existence of ATELCA has increased the stature of legislative staff throughout the region. Informal linkages among staff in the region have been strengthened through ATELCA contacts. At present, ATELCA as an organization suffers from a lack of infrastructure, disagreement on criteria for membership and from its financial dependency on AID and the Center for Democracy. Legislative staff and the legislatures they serve have not yet become committed enough to sustain ATELCA absent external funding.

## **LESSONS LEARNED AND RECOMMENDATIONS**

### **FOR THE CONSORTIUM FOR LEGISLATIVE DEVELOPMENT**

- **Needs Assessments should be engineered such that the host country participants have a vested interest not only in the assessment, but also in the implementation of its recommendations. Sustainability is a key factor that should be kept as a priority at all times.**
- **Seminars and training activities should be designed and implemented as integral parts of an overall strategic plan, rather than discreet, tangentially related events. Pre-event preparation, logistical arrangements, event management, consultations on topics, evaluations and follow-up are key ingredients for significant impact of a seminar or training event.**
- **Technical assistance efforts should correspond to the local environment and include recommendations based upon local needs as opposed to predetermined models. Again, sustainability must be a key focus.**
- **Graduate education should be one component of educational training, but not the only one. The provider of graduate education must develop recruitment, screening, selection and orientation processes to support the participants. In addition to training in the U.S., options for education, training and internships in the more advanced countries in the region should be explored, as well as shorter term in-country training programs.**

## **FOR AID**

- **The strengthening of legislatures is fundamental to support for democracy in Latin America.** Progress may not occur immediately and can not be measured with traditional indicators. Therefore, it is important that AID **not** reject the goals and objectives of strengthening legislatures because of the performance of the Consortium for Legislative Development. Improving the image, capacity and efficiency of the legislatures requires a long term commitment.
- **Projects must contain a measure of flexibility to accommodate the changing needs and priorities of the legislators.** Legislatures are fluid organizations with frequent changes in leadership, sometimes, yearly. Needs for training and support vary depending upon political, social and economic conditions.
- **Support for a Regional Approach** - Components of a regional project could include:
  1. technical assistance, training seminars and workshops for legislators and staff to enhance their legislative, administrative and oversight capacities;
  2. support for both longer term and shorter term education, training and internships for legislative staff; and
  3. projects designed to support legislators, staff and related non-governmental organizations.
- **AID should fund regional projects through an implementor with the following characteristics:**
  1. sufficient organizational, technical and programmatic capabilities to meet the objectives of both the missions and the beneficiaries; and
  2. familiarity with AID requirements and regulations.

## **RECOMMENDATIONS FOR IMMEDIATE ACTION**

- **In order to assist in the planning of the above-mentioned program, AID should develop an inventory and directory of organizations, institutions and key resources in legislative strengthening.** The directory should include a summary of the expertise and skills of those organizations in order to identify the strengths and weaknesses of the potential contractors for the regional legislative strengthening project. It would also help "backstop" the USAID missions with information on legislative development resources. This would address the request of the missions for support in accessing information, expertise and technical skills in the legislative development field.

- **AID/Washington should consider the continuation of a small amount of institutional and programmatic support to ATELCA (either to the organization directly or through an advisor) under conditions that require measurable progress toward self-sustainability. That assistance must be clearly defined in terms of goals, objectives and expected outputs. In addition, if an advisor is to be involved, the role of the intermediary must be clearly defined in a way that contributes to ATELCA institutionalization and ultimate self-sufficiency. An immediate step could be to develop a two to three year action plan that includes a clear definition of the goals of the organization, clarification of membership criteria, the opening of an ATELCA office in the region, training priorities, a plan to strengthen communication within the organization as well as between the legislative staff members of ATELCA and their host legislatures, regularized dissemination of information about ATELCA's activities and other publications and a plan to secure funds to ensure its perpetuation beyond AID support.**

## **CHAPTER I - INTRODUCTION**

### **A. PROJECT DESCRIPTION AND OBJECTIVES**

A major goal of the U.S. Agency for International Development (AID) Bureau for Latin America and the Caribbean (LAC) is to support the evolution of stable, participatory democratic societies. AID seeks to accomplish this goal by strengthening competent civilian government institutions that will merit public confidence, diminish the concentration of political power and foster public participation.

In support of that effort, The Consortium for Legislative Development is implementing a 3-year, \$7.25 million Regional Legislative Development Project (LAC-0770-A-00-0034-00) for Latin America and the Caribbean. Of that amount, \$4.25 million was reserved for USAID mission buy-ins. The Consortium for Legislative Development (CLD) was formed in 1989 by three institutions: The Center for Democracy (CFD); Florida International University (FIU); and the University at Albany, State University of New York (SUNY/A). The principals from each institution include: Dr. Allen Weinstein (CFD); Dr. Allan Rosenbaum (FIU); and Dr. Abdo Baaklini (SUNY/A). Program Managers include: Mr. Caleb McCarry (CFD); Mr. Gerald Reed (FIU); and Dr. Charles Dawson (SUNY/A). (For a description of each organization, see Appendix II). This project evolved from the idea that collaboration among the Consortium members would contribute experience and expertise on legislative development problems from three institutions with complementary assets. LAC/DI (Bureau for Latin America and the Caribbean/Office of Democratic Initiatives) personnel urged the groups to collaborate in this effort. The three groups then formed the Consortium, which in turn submitted an unsolicited proposal to AID for the project.

It was the judgment of AID that the Consortium could bring to bear the combined expertise of these institutions to meet the challenges of legislative development in Latin America. The CFD was known for its networking skills, its ability to convene groups to discuss fundamental issues of democratization, and its previous democratic development experience in Latin America. SUNY/A provided a unique opportunity to study legislative development at the graduate level, the legislative frame of reference for the Consortium, and decades of legislative development experience in the developing world. FIU was known for its strong connection to Latin America, which could support the Latin American context of the project. The formation of this Consortium appeared to combine the complementary strengths of three institutions to support legislative development in Latin America.

Renewed support for the strengthening of Latin American legislatures begun by AID in the 1970s was expanded beginning in 1985 when the Center for Democracy, together with Boston University and the U.S. House Subcommittee on Western Hemisphere Affairs, organized the first "Western Hemisphere Legislative Leaders Forum." That forum brought some 50 legislators from 20 Latin American and Caribbean democracies to Washington, D.C. for a three-day conference. The delegates, joined by a bipartisan group from the U.S. Congress, discussed such

issues as armed regional conflicts, transnational economic questions, including the servicing of external debt, narcotics interdiction and strengthening democracy in the hemisphere.

Subsequent to that Forum, AID supported the CFD's unsolicited proposal for a regional program (LAC-0003-G-SS-6069-000) to organize and carry out the Central America Legislative Leaders Training Seminar (CALTS). Phase I was funded beginning in August 1986 and brought twenty Central American legislators (four each from Belize, Costa Rica, El Salvador, Guatemala and Honduras) representing government and opposition parties, to the United States to observe the legislative process and examine legislative support mechanisms at both the state and national levels.

Plans for Phase II, which originally called for visits to the European Parliament, the Council of Europe and the Spanish Parliament, were modified when the Council of Europe, through the Center for Democracy, invited the twenty Central American legislators to participate in the Council's Second Conference on Parliamentary Democracy in Strasbourg, France in September 1987.

The favorable reactions of Guatemalan legislators who participated in the regional activities led USAID/Guatemala to enter into a three-year Cooperative Agreement with the Center for Democracy (Strengthening Democracy Project, No. 520-0386) in May 1987. The agreement, which was initiated with regional funds from LAC/DI, was intended to strengthen the institutional capacity of the Guatemalan National Congress. The Project provided for training and technical support for the 100 member body and administrative staff. Regional funds were again added to the project in Guatemala in 1988 to enable the CFD to provide assistance to the Guatemalan Congress in hosting the 79th Conference of the Inter-Parliamentary Union. This was an additional activity unanticipated in the original project.

The Consortium's Regional Legislative Development Project grew out of those efforts and supports AID's objectives to strengthen legislatures in Latin America and the Caribbean. Functioning legislatures are necessary to represent the interests of constituencies, to balance the power of the executive and the judiciary and to oversee expanding and modernizing bureaucracies. This is especially important in Latin America where the executive, whether civilian or military, has traditionally dominated and legislatures have been weak. By focusing on the legislature in a democracy, LAC's Democratic Initiatives program has encouraged the governments in the region to consider how a functioning legislature may enhance the democratic process.

The objectives of the Regional Legislative Development Project are:

- To identify and meet immediate and short term needs identified by legislators and their staffs and to develop short term training programs in legislative operations;
- To organize and facilitate bilateral and regional exchange activities among members and staffs of other democratically conceived legislatures; and

- To encourage the development of Latin American and Caribbean legislative institutions with a permanent institutional capacity to continuously address their own institutional needs, such as staff training, information systems and public policy analysis.

The project has five interrelated components:

1. Collaboration with Latin American and Caribbean legislators and staffs to diagnose training, technical assistance and equipment needs of each legislature (needs assessments);
2. Regional seminars that address legislative operations and common public policy issues;
3. Technical assistance to be provided at the request of individual legislatures;
4. Design and installation of legislative and management information systems; and
5. Professional staff development through degree, non-degree and internship programs, such as graduate training at SUNY/A or internships at state legislatures.

The Consortium has sought to strengthen the legislatures through the development of regional activities in collaboration with the leaders, members and staff of the legislatures involved. In addition, it has consulted with LAC/DI and USAID missions in the development of both regional and bilateral programs. Buy-in or bilateral programs have been undertaken in Costa Rica, Nicaragua, Panama and Guatemala. A buy-in agreement was developed for Haiti but was interrupted because of the suspension of U.S. government-to-government assistance due to a coup d'etat there in September 1991. Short term technical projects were also conducted in the Dominican Republic, Paraguay, Guatemala and Belize. A longer term support program involves graduate education at the University at Albany (SUNY/A). Four graduate students will spend two years studying to obtain a Master in Public Administration with a Concentration in Legislative Administration. One graduate student is currently enrolled in the one-year certificate program.

## **B. EVALUATION SCOPE OF WORK**

On September 30, 1992, LAC/DI entered into a contractual agreement with Creative Associates International, Inc., (CAII) for the delivery of a program evaluation of the activities of the Consortium. The objective of the evaluation was to focus on the Consortium's performance in the core regional component of its Cooperative Agreement with AID. The evaluators were instructed not to assess the implementation of the buy-ins or bilateral agreements that may have resulted from the original regional activities.

CAII assembled a team with a breadth of experience to meet the needs of the evaluation assignment. Dr. Jennie K. Lincoln, team leader, is a professor at the School of International Affairs at the Georgia Institute of Technology where she specializes in Latin American politics and U.S. foreign policy; Ms. Charito Kruvant is an educator who has extensive experience with AID funded development projects and is President of CAII. Ms. Francine Marshall is a former staffperson with the Subcommittee on Western Hemisphere Affairs of the U.S. House of Representative's Committee on Foreign Affairs where she also prepared briefings for USIA's International Visitors Programs on Legislative Development; and Duke Banks is a public administration expert who specializes in organizational development and has experience in the implementation of Management Information Systems (MIS) in developing nations. All of the team members have had extensive experience in Latin America and are fluent in Spanish. Ms. Marshall is proficient in Creole, as well.

The evaluators were asked to review the basic project design elements and supporting documentation of the Consortium and to interview the principals and program managers of the Consortium, the AID personnel involved in the project, the host country participants and any other individuals whose interests would be relevant to a full understanding of the value and the impact of the project. (For excerpts from the evaluation scope of work, see Appendix I).

## **C. EVALUATION METHODOLOGY**

### **1. Qualitative Evaluation Method.**

To evaluate the Consortium's project, the evaluation team adopted a qualitative evaluation method. This method employs description, measurement and judgment and uses an interactive approach that permits the group being evaluated to participate through consultation during the evaluation process. This method assumes that, in addition to gathering information about what happened, how, when and why, it is important to involve the principal actors related to the project, the stakeholders, in constructing the evaluation itself. Questions and issues that arise in the evaluation process may be revisited by those being evaluated for clarification.

This method provides information to the stakeholders so that they may reassess and redefine both projects to be undertaken and the strategies that may be more successful to achieve desired objectives. The evaluators seek information from many sources to construct the evaluation. Evaluators may present competing perspectives to the stakeholders so that they may respond to perspectives with which they may not agree. In theory, this method of evaluation focuses on constructive learning and enables all stakeholders to benefit from their successes and mistakes in order to improve their planning and executing for future projects. The draft evaluation report is circulated to principal stakeholders for their review with a request for input to correct errors of fact.

## **2. Data Collection.**

In preparation for the evaluation, the team met with Sharon Isralow of LAC/DI to discuss the scope of work and to consult about site visits to several Latin American countries where the Consortium has carried out its program. In an effort to be as extensive and inclusive as possible, the evaluators collected and reviewed two types of data -- primary and secondary. Primary data included interviews in the field and by telephone with: the principals, program managers and staff members at the CFD, SUNY/A and FIU; AID/Washington; AID personnel and other U.S. Embassy officials in the Latin American countries, beneficiaries of the project, potential beneficiaries of the project and other interested parties in the Latin American countries. (See Appendix IV for a complete list of interviews conducted). Field visits to Latin America and the Caribbean included: Haiti, Guatemala, Nicaragua, Costa Rica and Panama.

Secondary data included documents collected from the CFD, SUNY/A, FIU and individuals in the field. At the outset, the team requested extensive documentation from AID and the Consortium. Assembling the documentation for this review was difficult. The evaluators spent a great deal of time waiting for documentation, some of which arrived just before this evaluation was written. Documentation submitted to the evaluation team included: the project proposal and subsequent subcontracts under Cooperative Agreement No. LAC-0770-A-00-0034-00; needs assessments for eight countries; quarterly project reports and some internal communications; activity-related documents including letters of invitation, agendas and other materials from the various seminars and ATELCA meetings; reports on technical assistance delivered; and curriculum materials for the Master of Public Administration (MPA) with a Concentration in Legislative Administration of the University at Albany, State University of New York.

Given the interactive nature of the qualitative evaluation method, the Consortium members were encouraged to provide as much information to the evaluators as possible. Members of the Consortium subscribed to the methodology and kept the channel of information open to the evaluators. This was necessary because of the lack of a systematic archive of materials to document the project's activities. All three members of the Consortium were extremely cooperative with the evaluation team and gave the evaluators as much time and access as requested. All three groups made it clear to the evaluators that they were anxious to learn from this process and to move forward.

The draft evaluation was circulated to the members of the Consortium with a request for review for factual accuracy. The principals forwarded comments and corrections that reflected each organization's perspective. The evaluators have attempted to incorporate factual changes in this version to correspond to corrections noted by the members of the Consortium. Where appropriate some competing perspectives have also been noted. Anecdotal examples are included only if representative of the consensus of views expressed to the evaluators and are not the report of isolated incidents. The final interpretations lie with the evaluation team and are based on the synthesis of the competing perspectives, extensive field interviews and documentation provided by the Consortium.

### **3. Consortium's Development of Evaluation Criteria.**

On April 30, 1992, the Consortium principals as well as Jim Kent (SUNY/A) and McCarry (CFD) met with AID officials to develop evaluation criteria. The criteria developed included objectives, indicators and outputs for five categories concerning strengthening legislatures in Latin America and the Caribbean: "1) the role of the Consortium for Legislative Development; 2) promoting a regional emphasis; 3) developing internal capabilities; 4) strengthening the legislature's role in government; and 5) the legislature and society."

The evaluation team concluded that much of the criteria established, and certainly the indicators identified, were not relevant to this project. First, while the objectives identified were sufficiently broad to encompass the five project components, they were not designed specifically to assess those components. Second, the indicators were formulated too late in the process almost one year -- to collect the necessary data. Third, many of the indicators were vague or unmeasurable. Fourth, there was minimal applicability to the reality of Latin America within which the Consortium was operating. Fifth, the evaluators found no evidence that the Consortium utilized the criteria for subsequent regional planning or regional self-evaluation purposes.

### **4. Outline of Evaluation Team's Framework.**

Since the evaluation team was tasked with program evaluation (as opposed to a management evaluation or a financial audit), the team reviewed the program areas of the project: needs assessment, training, seminar design and implementation, management information systems design and graduate education. Chapters III-VII discuss the evaluation framework in greater detail for the following components.

#### ***a. Needs Assessments***

A needs assessment analyzes the conditions or status of a group or organization focusing on its goals, objectives, capabilities, constraints, priorities for action and absorptive capability. A needs assessment should present a clearly articulated plan with well-defined priorities. The evaluation team reviewed the needs assessments produced by the Consortium for Costa Rica, Nicaragua, Panama, Guatemala, Haiti, the Dominican Republic, Paraguay and Bolivia.

#### ***b. Training***

The Consortium considers many of its activities to be "training." The evaluators included an assessment of these activities using specific criteria to evaluate training. The evaluators reviewed the materials that the Consortium identified as pertaining to their training activities and interviewed participants in the those activities. The evaluators based the criteria used on AID's standards for evaluating training activities with a particular focus on participant training.

***c. Seminar Design and Implementation***

In the Project Proposal, which became part of AID's Project Paper, the Consortium envisioned developing seminars to address policy and technical issues related to the institutionalization of the legislatures in the region. Although not specified in the descriptive sections of the Project Proposal, the Life of Project (LOP) Output Projection indicates that the Consortium planned three regional seminars, four subregional seminars and three orientation seminars. Basic criteria for seminar design and implementation were used to assess the relevance of the seminars in fulfilling the programmatic requirements of the Cooperative Agreement.

***d. Management Information Systems (MIS) Design***

There are three major components of an MIS for legislatures: 1) a legislative component to facilitate and maintain records of legislative activity; 2) a management component that includes personnel, financial and information records; and 3) an oversight component that links the legislature and the executive with fiscal and policy concerns. An MIS should build on identified organizational strengths and correct organizational weaknesses. In addition, an MIS can not be installed in a vacuum. MIS design must take into consideration mitigating factors of the environment in which it is to be installed, the institutional commitment to its ongoing sustainability and the financial obligations for recurring expenditures. With these principles in mind, the evaluation team reviewed MIS designs included in the needs assessments mentioned above.

***e. Graduate Education***

The University at Albany, State University of New York (SUNY/A) offers degree, certificate and non-degree programs in legislative administration that are administered by the Center for Legislative Development under the direction of Baaklini. Through the efforts of the Consortium, participants were recruited, screened and selected to enter the university program that offers a Master of Public Administration Degree with a Concentration in Legislative Administration. The evaluators reviewed curriculum materials and conducted interviews with participants and faculty during a site visit to the university. AID's participant training criteria was used to evaluate this component.

**D. REVIEW/UPDATE OF CONSORTIUM MANAGEMENT SINCE MSI EVALUATION**

The Consortium encountered its first difficulty before the Cooperative Agreement was signed, i.e., a change in the players from Florida International University. Internal university differences within the administration of FIU led the original participants in the formation of the Consortium to withdraw. At the last minute, the School of Public Affairs under Dean Rosenbaum stepped forward to secure FIU's participation in the Consortium.

This changed both the configuration of the Consortium and also the tasks that each member had originally envisioned undertaking. The original idea was that each member would have clearly defined tasks appropriate to the member's skills. Under Rosenbaum, FIU's perspective was that each Consortium member should be involved in as many tasks as possible. Although the three principals established a triumvirate relationship that would require consensual decision-making, the Cooperative Agreement with AID was in fact with the Center for Democracy who held subcontractual agreements with FIU and SUNY/A. The confusion that resulted from the shift in perspective about who was to do what led to internal difficulties in the Consortium that complicated the execution of plans and the implementation of programs. The Consortium members often found themselves in competition and conflict instead of collaboration.

In July 1992, Management Systems International (MSI) was contracted to undertake an evaluation of the management structures and procedures of the Consortium for Legislative Development.<sup>1</sup> At that time, it may be said that the Consortium as an organization was struggling, and the MSI evaluation was intended, in part, to evaluate the possibility of correcting management problems. The conclusions of that evaluation were based on interviews with the Consortium principals, program managers and various AID personnel working with the Consortium.

In short, MSI concluded that the Consortium had serious management problems and recommended a serious overhaul of the Consortium's management and a leadership retreat to facilitate the resolution of differences within the group. The Consortium never came to an agreement about holding the recommended retreat. Both FIU and SUNY/A told the evaluators that they had been willing to participate, but the CFD did not arrange the retreat. CFD principal Weinstein confirmed that the retreat was not a high priority for his organization.

Changes were made in the procedures that asserted the Center for Democracy's role as a first among never-really-equals. New accounting procedures were implemented by the CFD without discussion with the other members, as were new communications directives that required the other two principals to report directly to the CFD. The managerial changes implemented by the CFD in response to the MSI evaluation emphasized the subcontractual agreements with FIU and SUNY/A.

The CFD, as the recipient of the Cooperative Agreement with AID, determined that they would be the only ones to be in direct communication with AID. Faulty communications among the Consortium, AID/W and the USAID missions in Latin America about Consortium activities persisted and were repeatedly indicated to the evaluators in interviews in the field. The culmination of disagreement and disgruntlement within the Consortium came to the front when the CFD determined the third-year budget for the three members of the Consortium with little intra-Consortium consultation.

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<sup>1</sup>See *Draft Final Report: The Consortium for Legislative Development Regional Legislative Development Project (598-0770)* (Washington, D.C.: Management Systems International, 1992).

Thus, the interpretations of the MSI evaluation by the members of the Consortium, their subsequent inability to agree to convene for a retreat or quarterly meetings, as well as the move to a contractor-subcontractor relationship between the CFD, SUNY/A and FIU, ultimately led to the collapse of the Consortium as it had been originally conceived. By the time of the program evaluation, each member of the Consortium was involved with its own parts of the regional project and with bilateral agreements or buy-ins, but there was minimal communication among the Consortium principals or between the Consortium and AID about regional activities other than the possibility of continued support for ATELCA, the Association of Central American Legislative Technicians (See Chapter VII). In addition, on March 11, 1993, FIU formally indicated its intent to withdraw from the Consortium, effective mid-April 1993.

## **E. OVERVIEW OF THE EVALUATION REPORT**

This evaluation report is divided into eight chapters with additional appendices. Following this introduction, Chapter II, Project Design Validity, discusses the significance of the original project design. The validity of the original project design is acknowledged in three areas: 1) democratic initiatives to strengthen legislatures; 2) the concept of a regional approach; and 3) the concept of a "consortium" as an implementor in development projects.

Chapters III through VII present background, findings and recommendations concerning the principal components of the Regional Legislative Development Project. Chapter III profiles the Needs Assessments that were conducted in Costa Rica, Nicaragua, Panama, Guatemala, Haiti, the Dominican Republic, Bolivia and Paraguay. Chapter IV reviews the regional, subregional and orientation seminars conducted by the Consortium. Chapter V assesses the technical assistance and the design and installation of legislative and management information systems included in the Consortium's project. Chapter VI examines the graduate training of participants from Latin America in the programs at the University at Albany, State University of New York, that include the Master in Public Administration with a Concentration in Legislative Administration. Chapter VII discusses the activities of ATELCA, an organization for Central American legislative staff founded to promote cultural and professional exchanges and to provide human resources development to improve the administrative functioning of the legislatures.

Chapter VIII offers the recommendations for future legislative strengthening activities in Latin America based on the lessons learned from the Regional Legislative Development Project. It should be noted that this evaluation was originally intended to be a midterm evaluation executed half way through the Consortium's original three-year Cooperative Agreement. However, the evaluation was not initiated by AID/W until the beginning of the third year and is concluding as the Consortium is midway into the third year of its program. Therefore, while this report evaluates the Consortium's progress toward implementation of the Cooperative Agreement, it also suggests recommendations for future projects that may be undertaken to strengthen legislatures in Latin America.

After extensive investigation, it is the conclusion of the evaluators that while the original project design was valid, the implementation of that project was weak. It is important for AID not to reject the goals and objectives of strengthening legislatures because of the performance of the Consortium for Legislative Development. Rather, it is the objective of this evaluation team to point out what was valid and to suggest where future energies and resources may be directed.

## **CHAPTER II - PROJECT DESIGN VALIDITY AND IMPLEMENTATION**

Based on extensive field investigation, a review of documentation collected and an analysis of the interviews conducted, the evaluators concluded that the design of this project was valid. This validity may be acknowledged in three areas: the strengthening of democracy through support to the legislatures; the concept of a regional approach; and the use of a "consortium" to assist in accomplishing legislative strengthening. However, the Consortium's inability to adequately implement the project undermined its design validity.

### **A. DEMOCRATIC INITIATIVES: STRENGTHENING LEGISLATURES**

Projects to strengthen legislatures build institutions that reinforce the nature of democratic government. The traditional dominance in Latin American society of the executive, whether civilian or military, has impeded the development of democratic representation by the people in the legislature. At the same time, legislatures in Latin America have not functioned in a representative fashion, often acting as a rubber-stamp for the executive.

Properly designed and implemented projects may contribute to developing viable legislative structures that strengthen the ability of the elected members to function as a truly representative assembly. Focusing on the institutional development of the legislature enhances its ability to draft, debate and approve legislation. Training legislative staff to assist legislators and preparing legislators to serve as representatives can counterbalance the traditionally strong executive in Latin America. This counterbalance is one of the fundamental requisites of a democracy.

AID's support for legislative development in Latin America has focused attention on the importance of legislatures in a democratic society. This support contributes to the ability of these legislatures to break out of the traditional mold of a weak legislature dominated by a strong executive. It also allows for the development of a "balance of power" between the executive, judicial and legislative branches.

### **B. THE CONCEPT OF A REGIONAL APPROACH**

A regional approach to strengthening legislatures in Latin America was valid for two reasons. First, it provided AID with a vehicle that could help missions respond quickly to country needs for implementing short term assistance that could lead to additional buy-ins or bilateral agreements on a country-by-country basis. Second, a regional approach provided opportunities for members and staffs of legislatures to be exposed to the concepts fundamental to the role of a legislature in a democratic society.

Fortifying these principles on a collective basis provides mutual reinforcement in the region and reduces the isolation felt by those who are attempting to achieve reforms or are interested in trying to reform their own legislatures.

### **C. A 'CONSORTIUM' CONCEPT IN DEMOCRATIC INITIATIVES**

A viable consortium provides a collection of assets that reinforce one another and provide a broader range of services than the members of one group could provide individually. The concept of implementing this project through a consortium appeared to meld three complementary areas of expertise and envisioned the possibility of an entity that would be greater than the sum of its parts.

### **D. PROJECT IMPLEMENTATION**

The rationale for the project and the potential contribution of a consortium with multiple assets provided an attractive mechanism to support legislatures in Latin America through the project's proposed component parts: needs assessments, technical training, regional seminars, design and installation of legislative and information management systems and professional staff development through higher education. However, the Consortium for Legislative Development did not move successfully from the project design phase to the project implementation phase, which undermined the validity of the project design.

Several factors hindered the implementation of this project. First there are inherent difficulties of dealing with evolving democratic legislatures including political sensitivities and constantly changing leadership and priorities. Second, political instability continues in many of these countries, several of which have just recently emerged from civil war and others continue to have armed struggles within their borders. Third, the Consortium was constantly juggling the sometimes competing interests and demands of AID/W, the USAID missions and the legislatures. However, a key element that would have served to mitigate those factors was an overall strategic plan to implement and coordinate the component parts of the project. Also missing were strategies to implement and evaluate the component parts themselves. This lack of planning resulted in moment-to-moment management that required balancing time and available resources.

The Consortium's approach was to respond to requests for assistance from the region, i.e., from the legislatures and/or the USAID missions. However, without a strategic plan the Consortium had to undertake multiple tasks at the same time for which it was not adequately prepared. In meeting short deadlines imposed by urgent requests for assistance, whether it be to conduct a needs assessment or to hold a technical training seminar, the Consortium did not anticipate the planning needs for these activities. The Consortium often did not provide appropriate resources, especially language-capable consultants and trainers.

Evaluation criteria were not developed until the conclusion of the second year of the project. Benchmarks and feedback mechanisms that should have been put into place at the beginning were absent until it was too late in the process for them to be useful. At the same time, members of the Consortium said that AID did not inform them of criticism of their methodologies or activities. LAC/DI informed the evaluators that criticism indeed had been forwarded to the Consortium. On one hand, the Consortium presented the evaluators with cables from the missions that lauded individuals, events or activities. On the other hand, missions repeatedly expressed criticism of Consortium activities to the evaluators that did not seem to have been passed on to the CLD.

Beneficiaries interviewed suggested that they were not integrally involved in the design and planning of project activities. By not adequately involving the beneficiaries institutional development was hindered. This condition was evidenced in more than one country, but one example illustrates the problem. When informed that AID funding for the project was about to expire, an active member of the Panamanian modernization commission predicted that the commission would dissolve. This example represents the Consortium's weakness in building sustainability, even with the cornerstone of its legislative development model: the legislative development commission. Other examples of the shortage of lasting tangible resources, skills, (i.e., training and written resources) and follow-up will be cited in the following chapters.

## CHAPTER III - NEEDS ASSESSMENTS

### A. BACKGROUND

One of the principal activities of the Regional Legislative Development Project was to conduct country-specific needs assessments to provide a base-line of information about the legislatures in the region and to determine priorities for assistance. The Consortium proposed to work with the host country legislature and the country's USAID mission to develop a comprehensive plan with specific program objectives for strengthening the legislature.

According to the Project Paper, the Consortium planned to involve not only the expertise of its three members, but also local and foreign legislative practitioners who would be brought in as consultants. In 5-7 day visits the assessment team would address the following issues:

- The role of the legislature in the country's democratic development;
- The interest of legislators in strengthening their institution and the specific ideas that the legislators proposed;
- The legislature's current technical capacity and the likely problems and benefits resulting from efforts to expand the institution's capacity; and
- The legislature's relationship to other governmental and non-governmental institutions and the likely impact of enhanced legislative capacity.

Based on their findings in these site visits, the team from the Consortium would draft an action plan that prioritized the needs of the legislature as outlined in conversations with the legislators, staff and USAID missions.

Before discussing the activities of the Consortium, it may be useful to define the criteria used by the team in evaluating a "needs assessment." These criteria are based on models found in evaluation research and were modified for this specific project. A needs assessment is a discrepancy analysis that provides baseline documentation of actual conditions for the projection of activities that would lead to desired changes in those conditions. Before a needs assessment is undertaken, several issues must be resolved among the stakeholders, i.e., the legislators, AID and its implementing agent. First, for whom is the needs assessment to be undertaken? Second, who will conduct the needs assessment? Third, how will the needs assessment be conducted? Related to all of the above, how will discrepancies in perspectives among the stakeholders be resolved?

Methodologically a needs assessment of an institution includes: 1) an analysis of the context within which it operates; 2) a profile of the institutional capability in terms of structures, assets and human resources; 3) a description of the functional roles of the players;

and 4) a consensus identification of the institution's strengths and weaknesses, its goals and objectives and a strategic plan that identifies the priorities desired to accomplish the goals and objectives. The intended beneficiaries, in this case the legislatures, should have significant input as to who conducts the assessment and how it is conducted. In addition, a needs assessment must include a feedback mechanism to ensure that changing conditions may be accommodated during a process of change. This is especially important when dealing with fluid organizations such as legislatures.

The Regional Legislative Development Project also included a Management Information System (MIS) design in the needs assessments. Some members of the Consortium refer to this as the Legislative Information System (LIS) with the management component encompassing one aspect of the system. For the ease of this evaluation and because the Cooperative Agreement refers to the systems as Management Information Systems, the evaluators have chosen to use that term throughout the evaluation. In order to evaluate the MIS component of the Consortium's needs assessments, it is necessary to have an understanding of an appropriate MIS framework.

There are three major components of an MIS for legislatures. These include: the legislative component, the management/administrative component and the oversight component.

The legislative component, as defined by the Consortium, usually includes:

- A system to facilitate bill drafting;
- A system for determining a bill's status and reference;
- A system to facilitate public policy analysis;
- A system to facilitate oversight and program evaluation;
- A system to facilitate statutory retrieval information;
- A system to facilitate the management of a library, documentation and legislative reference; and
- A system for recording, registering and facilitating the transcription of legislative activities.

The management component, as identified by the Consortium, usually includes the following:

- A personnel system;
- A financial management system;
- A records management and documentation system; and
- An information and public relations system.

While these two components form a baseline MIS, there is an evolving third component that requires interacting with other branches of government, primarily the executive branch and related ministries. This third component concerns fiscal, budget and economic applications, and

could be considered the oversight component.<sup>2</sup> While related to the public policy and bill drafting activities mentioned in the legislative component, these can be considered a separate component because of the need to establish database linkages with other MIS, primarily in the Executive Branch. For purposes of this evaluation, this third oversight component is identified separately. The detail that follows is based on information provided by the National Conference of State Legislatures (NCSL) and was modified for the uniqueness of a national legislature. This explains the detail on intergovernmental transfers, public debt and the impact on international donor funding and conditionality. The oversight component usually includes the following:

- A system for revenue forecasting;
- A system for revenue analysis;
- A system for budget comparison (includes prior year information and inter-institutional budget comparison);
- A system to determine the budgetary effects of legislation;
- A system to generate fiscal and economic impact notes;
- A system to determine the impact of salary and fringe benefit changes to public sector employees;
- A system to track intergovernmental transfers, such as to autonomous institutions, provincial and municipal governments;
- A system to track public debt; and
- A system to track international donor funding, including the impact of conditionality requirements.

Usually the implementation of components one and two can be installed as a stand alone MIS. The oversight component is much more complex, since it involves extensive interfacing and linkages with the executive branch that may not be possible in some political environments.

To a certain extent, most legislatures use several of the above mentioned systems for components one and two, even though they may be manual. Few legislatures appear to have an oversight component in operation at this time; yet, this will be more commonplace in the future as the legislature's oversight role is better articulated and better understood as a critical part of the democratic process.

## **B. FINDINGS**

The Cooperative Agreement that governed the Consortium's activities called for assessments/analyses of training, technical assistance and equipment needs of ten legislatures. Those assessments were interpreted to be needs assessments by both the Consortium and by AID.

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<sup>2</sup> The Consortium operates under the premise that there are two components of an MIS system for legislatures: the legislative component and the administrative component. However, the National Conference of State Legislatures (NCSL) identifies three components of an MIS. The third component is related to fiscal, budget and economic applications that could be called the oversight component.

According to documentation submitted to the evaluators by the Consortium, eight of the projected ten needs assessments were delivered: Costa Rica, Nicaragua, Panama, Guatemala, Haiti, the Dominican Republic, Paraguay and Bolivia. The following discussion identifies the findings and conclusions of the evaluators about those needs assessments.

## **1. General Findings.**

**The documents produced as needs assessments should not have been identified as such.** Upon review of the draft of this evaluation, the Consortium agreed that these documents were not conducted as the more rigorous needs assessments outlined in their project paper suggested. The evaluators recognize that there were mixed signals from both AID/W and the missions concerning the extent to which needs assessments could be developed due to political sensitivities and short time period requirements. The evaluators understand that these issues had to be taken into account and that it is unlikely that legislatures would have allowed them to conduct in depth needs assessments immediately. However, the Consortium should have recognized this and considered these documents as initial contact activities until confidence could be built and more complete needs assessments could be conducted. The proper definition and design of these initial approaches should have been discussed with AID/W and an amendment to the Cooperative Agreement should have reflected those changes.

**There is widespread support for the component parts included in the needs assessments.** The evaluation team found that the recommendations included in the needs assessments for: establishing permanent modernization committees to institutionalize the modernization process; conducting seminars and workshops to improve the skills of the legislators and staff; developing linkages between the non-governmental agencies and the legislatures; and long term study were appropriate and were well-received. The problem lies with the methodology used to develop and implement those component parts.

**Often recommendations for activities were not country specific.** The majority of the assessments were based upon the model provided by the Costa Rica Needs Assessment. While it would be expected that some needs would be similar, the fact that Bolivian and Paraguayan assessments are almost exactly the same -- down to the identical budgets -- indicates that little analysis of the specific needs of those legislatures was conducted.

**The Consortium and AID could have involved the leadership of the legislatures in a more direct manner in the writing of the needs assessments.** More extensive involvement of host country nationals would have assisted the Consortium to better understand the needs of the legislatures and assisted the legislatures in prioritizing their needs. The inclusion of a representative of the legislature on the assessment team could have helped to bridge initial suspicion and create more of a vested interest on the part of the legislature in the needs assessments and in the implementation of the recommendations. In addition, there was not sufficient consultation with a broad cross-section of those working in, or associated with, the legislatures. Also, more time was needed in the field to conduct a thorough investigation into the existing legislative structures and to assist legislators and staff in prioritizing specific activities.

**Technical and country-specific expertise were underutilized.** Comments from AID/W and the missions indicated that it seemed as if each of the members of the Consortium were concerned that they participate in each of the needs assessments. This meant that although the Project Paper indicated that the Consortium had planned to do so, practicing legislative experts were frequently not included in the teams. In addition, persons with country specific knowledge that would have helped to place the needs of the countries into perspective were seldom included. This idea originated with the Consortium and would have added additional perspectives to the assessments if it had been carried out.

**Consortium members' priorities for long term education/training programs were promoted without providing alternatives.** Because SUNY/A and FIU offer Masters in Public Administration, and SUNY/A offers a concentration in Legislative Administration, when suggestions for long term training arose, those institutions were recommended without assessing whether training alternatives in the hemisphere, or elsewhere, might be more appropriate for the needs of that specific legislature.

**Recommendations for Management Information Systems did not take into account issues of sustainability.** The availability of local vendor/distributor networks for on-going training and maintenance was not addressed. Likewise, technological obsolescence and the need to replace equipment in approximately five years were not discussed.

**The quality of work on the eight needs assessments varied greatly, ranging from a moderate level of detail (Costa Rica and Panama) to a marginal effort that included only three pages of background information on the legislature (Bolivia).** The teams that conducted the needs assessment were unevenly prepared for the tasks. When asked about pre-field visit preparation one program manager responded, "AID didn't give us anything" (i.e., background preparation). Poor preparation by the teams was noted by the USAID missions where the needs assessments were conducted. Both USAID mission personnel and interviewees in the legislatures expressed concern at the Consortium's lack of Spanish language capability and inadequate interpretation services. Those on the team who spoke Spanish were often pressed into duty as interpreters, which caused an interruption in processing information that would be necessary for the assessment team.

**The delivery of only eight of the ten planned needs assessments was explained by the Consortium in different ways by different stakeholders.** It was the perspective of the Center for Democracy, and confirmed by AID/W, that no further requests for needs assessments from USAID missions in the region would be forthcoming. Both FIU and SUNY/A indicated that they thought that there might be other requests that had not yet been articulated. It was the case, in fact, that while the evaluation team was in Albany, SUNY/A was exploring this possibility with a legislature in the region (Argentina) that had not yet participated in the Consortium's activities. Indications from AID/W were that there was no more need, or funding, for future needs assessments. While it may be inferred from this message from AID/W that the Consortium would not be expected to complete the additional needs assessments, the fact that SUNY/A was exploring the possibility of an additional one is evidence of the lack of communication between and among the three Consortium members and AID/W. In addition,

to the knowledge of the evaluators there has been no formal amendment to the Cooperative Agreement to de-scope the two remaining needs assessments.

The following section summarizes the methodological and qualitative characteristics of the needs assessments produced by the Consortium. The order in which they are reviewed corresponds to both time frame and level of effort. No rank ordering by the evaluators is to be implied. In some cases, references are made by the evaluators to activities that will take place under the buy-in agreements because the buy-ins were a direct outgrowth from the needs assessments. However, subsequent discussion of the implementation of activities under the buy-ins does not fall within the scope of this evaluation and, therefore, is not covered.

## **2. Country Findings.**

### ***a. Costa Rica***

Work on the initial Needs Assessment draft for Costa Rica began in 1990. The President of the Legislative Assembly, Licdo. Juan Jose Trejos, named a special development task force that represented the country's principal political parties to work with the Consortium to develop the Needs Assessment. The principals and program managers from all three Consortium members participated. In addition, John Phelps, Chief Clerk of the Florida State House of Representatives, Brian Weberg and Arturo Perez of the National Conference of State Legislatures also participated in a site visit during the field research for the Needs Assessment. No list of interviews, however, is included in the Needs Assessment nor in the reports about the Consortium's activities.

The Needs Assessment provided a basic description of the organization, structure and operation of the legislature and characterized tangible and intangible institutional strengths. Intangible strengths included the nature of the Costa Rican political system as well as the support within the legislature for modernization. Tangible strengths included a relatively highly-developed level of human resource structure in the members and staff (Note: Costa Rica has one of the highest literacy rates in the hemisphere); a physical plant that despite being crowded does exist; a computerization process that had begun; and other technical services that were already institutionalized.

The Costa Rica Needs Assessment was developed into a Master Plan for the Development and Modernization of the Legislative Assembly of the Republic of Costa Rica. Not only did it serve as a Master Plan for Costa Rica, it also was used as a model by the Consortium for the needs assessments in other countries.

The Costa Rica Master Plan included the following elements/recommendations:

- Establishing a permanent Commission for the Modernization of the Legislative Assembly;
- Establishing a planning and modernization unit to facilitate the gathering and

synthesizing of information on the future needs of the assembly and to provide technical assistance and computer technology;

- Planning organizational and human resource development focusing on budgetary, oversight, public policy activities, constituent services and other legislative techniques and technologies;
- Developing linkages between the university and the legislature through legislative internships for students from the University of Costa Rica and other academic institutions as well as through the development of joint research projects; and
- Participation of members and staff in professional associations and organizations such as ATELCA.

None of the above recommendations carried detailed explanations for implementation. For example, "training" was repeatedly identified as being important, but how or where the training would take place was left unsaid. Similarly, there was no elaboration of "training the trainers," a fundamental concept in sustainable development. (See Chapter IV for additional discussion of training.)

Management Information Systems. During 1991, five major reports were generated concerning the modernization of the Costa Rica Legislative Assembly that would have an impact on the design of any MIS. Three of these were generated by the Consortium [Initial Needs Assessment (titled, Diagnostic Study...) 1-25-91, the Master Plan 4-15-91, and the Costa Rican Legislature-Strengthening Project (finalized on 1-29-92)]. Other critical studies that would have an impact on MIS design included the Swedish Study on MIS 1-28-91, plus the report of the KPMG Peat Marwick office in Costa Rica: Organizational Evaluation of the Legislative Assembly 3-20-91. The Peat Marwick report highlighted the lack of effective personnel utilization in the Assembly, while the Swedish report highlighted how the MIS interacts with other external systems, especially the budget system and the civil service system.

The Consortium's Needs Assessment did not take into consideration the other studies, or incorporate their findings into its own recommendations to any great extent. The computer equipment that the legislature had was itemized, but no information was provided about how the equipment was being used, or how the equipment could be incorporated into an expanded MIS.

Notwithstanding the lack of analytical rigor in the Needs Assessment, this diagnostic study forms the basis of the Master Plan developed in April 1991. The Master Plan incorporates the recommendations of the initial Diagnostic Study, but also includes other items not initially identified in the Diagnostic Study, such as a \$6 million dollar office building for the legislature. Total cost of the Master Plan is estimated at \$13.3 million dollars.

The Costa Rica Master Plan is more detailed about the information management needs, but lacks analysis of the existing institutional capabilities. While it identifies nominal institutional strengths and weaknesses as indicated above, it does not identify or analyze functional strengths

and weaknesses, nor does it indicate how the MIS can build on the strengths to reduce or eliminate organizational weaknesses.

The Master Plan acknowledges the findings of the Swedish MIS study, which profiled how the MIS interacts with other external systems, especially the budget system and the civil service system. However, there is only passing reference to the Peat Marwick study issued about three weeks before the submission of the Master Plan, which detailed the problem of personnel utilization at the Assembly.

Recognition of the Swedish MIS study is reflected by the Consortium's omission of recommendations for any MIS-related equipment in the Master Plan. Instead, upgrading the physical infrastructure and electrical wiring for the MIS that was being financed by the Inter-American Development Bank (IDB) was contemplated. However, the issues of institutional commitment and sustainability are not adequately addressed. For example, there is no discussion of how the IDB-financed MIS (recommended by the Swedish study) will be sustained in the long run. Nevertheless, based on this needs assessment, USAID/Costa Rica signed a bilateral agreement with the Center for Democracy.

*b. Nicaragua*

Members of the Consortium drafted a Needs Assessment for Nicaragua that was submitted to USAID/Nicaragua on December 14, 1990. While the authors are not identified on the document, the quarterly reports indicate participation by the CFD and SUNY/A with SUNY/A taking the lead on the final drafting. The Consortium included Donald J. Schneider, Wisconsin Senate Chief Clerk, as an expert consultant, on the October 1990 visit of the needs assessment team.

The Nicaragua Needs Assessment is not as detailed as the Costa Rica one and includes factual errors (e.g., 'two' political parties, when 23 participated in the 1990 election; 100 legislators, when there are 92, etc.). Although a member of the Consortium indicated that these errors had been corrected, the evaluators did not receive any other copy of the Needs Assessment other than the December 14, 1990 draft.

The Needs Assessment provides descriptive information concerning the legislature within the unique setting of having just emerged from a decade of control by a radical government. The assessment puts into perspective the political composition and characteristics of the Assembly in Section II, and how these factors had an impact on the structure of government and the role played by the National Assembly. Section III describes the organizational/administrative structure of the Assembly.

A key observation is that the total staff of 220 employees can be divided into three general categories: core institutional staff, partisan staff and general services staff. The development of a separate partisan staff was formalized by the *Frente Sandinista de Liberación Nacional*, (FSLN) in the period between the February 25, 1990 election and the April 25, 1990

inauguration of the *Unión Nacional Opositora* (UNO) administration of President Violeta Chamorro.

Notwithstanding the detailed description of the staffing and its functions, there is no critical organizational evaluation of how the legislature functions so that needs might be prioritized, much less how an appropriate MIS might be designed. While there is general reference to how the hiring of partisan staff by the FSLN has caused other political parties to hire partisan staff, there is no evaluation of the impact on the functioning of the legislature.

The Needs Assessment identified weaknesses and strengths of the legislature. A significant weakness noted was the very small budget allocated to the legislature (less than 1 percent of the total national budget). Intangible institutional strengths identified included a "consensus" and "commitment" to strengthen the legislature. Similarly, tangible strengths were identified as the Chamber itself; additional office space (despite no air conditioning in a poorly-ventilated office tower); a law library; and a well-organized legislative administration, "even if only skeletal."

Except for recommendations for the development of a multipartisan development committee, short term (seminars) and long term training (at SUNY/A), the majority of the recommendations focused upon technical assistance for the National Assembly. There was no rank-order prioritizing of needs or recommendations. When the President of the Assembly was asked by the evaluators if the Needs Assessment accurately reflected the priorities and needs of the Assembly his response was, "[w]hat does it matter? [w]e need everything."

His comment should not be taken lightly. When the needs are so great, it is even more important to establish priorities in a Needs Assessment that reflect significant input from the intended beneficiaries but that are also realistic within the potential workplan of a project. In response to these comments in the draft of the evaluation, SUNY/A concurred with the need to prioritize activities given limited resources, but said it viewed the Consortium's role as identifying the possibilities and letting the various clients (AID/Washington, USAID/Nicaragua and the legislature) make the final decisions. Consortium members from SUNY/A said they had informally conveyed their judgments about priorities to USAID/Nicaragua and the National Assembly.

It should also be noted that although no one from FIU participated in the needs assessment visits to Nicaragua, Dr. Allan Rosenbaum and Gerald Reed informed the evaluators that they submitted an extensive critique of the document to the CFD and SUNY/A in November 1990. This critique was not provided to the evaluators until after FIU's review of the draft evaluation. However, it was interesting to note that many of the criticisms of the Nicaragua Needs Assessments offered by the evaluators had been noted in the November 1990 communication from FIU and do not appear to have been taken into consideration in the development of Consortium activities for Nicaragua.

Management Information Systems (MIS). Generally, the Needs Assessment makes MIS recommendations primarily for the first two components of an MIS system for legislatures:

legislative and management. With the exception of the development of a Budgetary Information System, there are no other elements that apply to the oversight component.

Recommendations concerning the MIS needs of the Legislative Assembly include: acquisitions for the law library, the development of a Code of Laws, installation and use of an Electronic Voting System, development of a Bill Status System and development of a Budgetary Information System to assist with the oversight role.

Commodity assistance recommendations (including the MIS) were made without any analysis of sustainability and the capability of the legislature to provide even a modicum of in-kind contributions for recurring expenditures. While some training is contemplated, there was no human resource analysis concerning whether or not there was institutional capability to operate a sophisticated MIS.

The Needs Assessment is also weak in not putting into perspective the role of the legislative branch with regard to other branches of government. This results in a lack of clarity on how the legislature should develop (or at least plan on future development) of the critical oversight component of an MIS.

Nevertheless, the buy-in that was generated by USAID/Nicaragua includes an MIS section based on the recommendations of the Needs Assessment. Specifically, it includes the following recommendations.

- **Statutory Retrieval System.**  
Take over and continue a United Nations Development Program (UNDP) six month cooperative agreement that would expire in September 1991. [Note: In response to the draft of this evaluation, SUNY/A indicated that initial conception of the statutory retrieval system/bill status system had originated with the Consortium and was identified in the 1990 draft. Therefore, SUNY/A's position was that the buy-in would continue work that was originally suggested by the Consortium.
- **Bill Status System.**  
Develop for the Legal Counsel's Office.
- **Legislative publications and reference manuals.**  
Develop and print three publications for distribution.
- **Assembly Debate Record - *Diario de Debates*.**  
Assist with systematization of timely transcription and distribution of this record.
- **Library Support.**  
Procure microfilming equipment to record and preserve legislative records.

- **Operational Equipment.**

Procure under commodity assistance program to enable the legislature to implement the above recommendations. The items include: equipment for making, storing and viewing microfilm; electronic voting/attendance system and improved plenary audio and recording equipment; photo off-set printing, photocopy reproduction and desktop publishing equipment; and a Management Information System/Local Area Network (LAN) computer system.

While generally the buy-in follows the recommendations of the Needs Assessment concerning the desired acquisition of equipment, there was no analysis of how these acquisitions might make the legislature function more effectively.

*c. Panama*

The Needs Assessment for Panama was submitted to USAID/Panama by members of the Consortium in April 1991 following three site visits. The first site visit took place December 11-14, 1990, and included Dr. Allen Weinstein (CFD), Dr. Allan Rosenbaum and Gerald Reed (FIU), and Dr. Charles Dawson (SUNY/A); the second took place February 19-23, 1991, and included Caleb McCarry (CFD), Reed (FIU) and Dawson (SUNY/A); the third took place March 20-24, 1991, and included Dr. Abdo Baaklini (SUNY/A), McCarry (CFD) and Reed (FIU). The teams interviewed the leadership of the assembly, additional legislators and staff. Reed coordinated the preparation of the Needs Assessment and, according to the introduction to the document, was responsible for drafting substantial sections of it. A Spanish translation was also provided to the evaluators.

The Panama Needs Assessment provides a brief overview of the legislative process and describes the organization and staff structure of the Legislative Assembly. The Needs Assessment identified the intangible strengths of the legislature as including: a receptivity to outside assistance, staff motivation and staff competence; and the tangible strengths as including: a good physical condition of the Assembly building, district offices, monthly staff allowance for legislators, an Assembly Legal Counsel Office, a draft legislative procedural manual, administrative leadership and the possible indexing and cross-referencing of existing Panamanian law underway at the University of Panama.

The Needs Assessment also reviewed institutional weaknesses of the legislature that include: conditions within Panamanian society that impede legislative development; the low level of preparation of Panamanians to serve as parliamentarians; a low level of effectiveness of the Legislature as a governing body due in part to formal and informal restrictions on its decision-making capabilities; a poor image as a democratic institution within Panama; limited visibility as a parliamentary organization outside Panama; and other organizational weaknesses that include management, human resource and information management problems.

The plan of action recommended by the Needs Assessment includes three categories of assistance: training, technical assistance and commodity assistance. Short term training recommendations were more specific in this Needs Assessment including basic computer skills,

documentation and library skills, basic statistics and English, but did not identify the priorities indicated by the Panamanians. Long term training at SUNY/A was recommended as was ongoing training through ATELCA.

This Needs Assessment then generated the Program Description for the buy-in. Briefly, the buy-in would provide technical assistance for the:

- Development and implementation of an automated Management Information System;
- Provision for participation by legislators and/or staff in regional and international conferences held by related professional organizations; and
- Provision of technical assistance and training for legislators and staff aimed at improving their professional capabilities and practices.

Management Information Systems (MIS). The initial Needs Assessment made recommendations concerning a Management Information System. This recommendation generated an equipment/procurement component of \$250,000, of which \$200,000 would be financed by a buy-in and \$50,000 would be financed by the regional project.

From an MIS perspective, the Needs Assessment does place in perspective the importance of the legislative and budget process, even though the description of these systems is not detailed. There is no functional description or evaluation of existing procedures or how those procedures can be incorporated into an MIS. The only reference is that the Legislature does not have an integrated information management system, with the exception of the *Departamento de Actas*, which has a small LAN that was recently installed.

The recommendations of the Needs Assessment in the area of MIS include legislative and management components (the first two components of an MIS). For the legislative component (it is referred to as the Parliamentary Information System), the following elements are recommended:

- Legal Retrieval System;
- Bill Status & Bill Drafting System;
- Thesaurus;
- Electronic Attendance and Voting System;
- Legislative Debates;
- Budget Information System;
- Structure of Government System;
- Major Court Decisions;
- Bibliography;
- Issue Brief; and
- Subscription to existing data bases.

For the management component, the detail is very generalized, indicating the need for a personnel component, an inventory component, a purchasing component, a budget and accounting component, as well as other components.

While included in the legislative component, there are some elements that are part of the oversight component of a Management Information System, i.e., budget information system, and the structure of a government information system.

The Panamanian Needs Assessment also includes another MIS section entitled, Information System for Members and Parties, which could be considered part of the oversight component. This would include:

- Electronic Mail System;
- Dissemination of information; and
- Socioeconomic data.

Because there is no functional analysis of existing systems, including manual ones, it is not possible to determine the effectiveness of the MIS recommendations, or the degree of effort and/or training that will be required to make an electronic MIS operational.

In addition, the Needs Assessment addresses the issue of institutional commitment by indicating that "the Consortium believes that the Legislative Assembly clearly understands that the implementation of the recommendations contained in this report will require counterpart contributions." No additional analysis or discussion is presented concerning sustainability.

Finally, the Needs Assessment noted that to implement the recommendations, commodity assistance would be needed as follows:

- A new Plenary audio system;
- An electronic voting/attendance system;
- Management and parliamentary information system;
- Library equipment and acquisitions; and
- General office equipment.

**d. Guatemala**

The Guatemala "Plan for Immediate Action" (PIA) was submitted to USAID/Guatemala on August 12, 1991, by Baaklini on behalf of the Consortium. The document does not identify who participated in the drafting of the document, nor when site visit(s) were conducted. According to the PIA, the recommendations were made following a review of "documents supplied by USAID/Guatemala and the President of the Congress, as well as conversations with mission personnel, congressional members and staff, and members of the *Asociación Novadora de Sistemas Legislativos*" (Novadora), a Guatemalan nongovernmental organization that supports the legislature. There is no list of interviews, nor is there a list of documents consulted.

In response to the draft of the evaluation, SUNY/A indicated that the parameters of the PIA were dictated explicitly by AID/Washington and USAID/Guatemala. Baaklini indicated that the mission directed who was to be interviewed and the institutions with which the Consortium would work.

The proposed PIA follows what seems to have evolved as the Consortium's standard proposal of elements key to the strengthening of legislatures. It contains little detail to suggest how these programs and activities might be implemented or how they are relevant to Guatemala's priorities and most immediate needs.

The regional project funded the development of the Plan for Immediate Action that was supposed to be a "bridge project" between a previous legislative strengthening project and a buy-in. The PIA is divided into three major program components: institutionalizing the legislative development process; supporting organizational and human resources development; and improving institutional linkages.

Institutionalizing the Legislative Development Process includes:

- Development of the Institutional Set-up: Creation of a Special Multipartisan Committee for the Development and Modernization of the National Congress;
- Orientation Program for the new *Junta Directiva* and the Special Multipartisan Committee for the Development and Modernization of the National Congress (In-country and Regional/U.S. Orientation Program); and
- Graduate Study Program (Regionally funded for one participant if a scholarship is available).

Supporting Organizational and Human Resource Development (Orientation and Training Programs and Technical Assistance for Members and Staff) includes:

- Conference on the Congress's Budgetary Role and Techniques of Legislative Budgetary Analysis and Oversight;
- Legislative Information Technology: Training and Technical Assistance; and
- Legislative Techniques and Technologies (bill analysis, hearings, committee work, bill drafting, oversight, etc.).

Developing Institutional Linkages includes:

- Internships in the National Congress;
- Professional Conferences and Associations; and
- Developing External Legislative Resources (*Novadora, Universidad de Guatemala*).

The PIA resulted in Cooperative Agreement No. 520-0398-A-00-1312-00 with the Center for Democracy for \$152,000 to support a Program of Immediate Action with a scope of work to be undertaken by the Consortium for Legislative Development between September 26, 1991-May 31, 1992.

**Management Information System (MIS).** Because a management information system was installed under a previous project, the Plan for Immediate Action did not specifically address MIS concerns in terms of systems or equipment. However, the PIA should have included legitimate concerns about the existing MIS raised by Manuel Lorenzo (FIU) during a technical mission to Guatemala in June 1991. (See Chapter V.) The PIA does, however, recommend training to support and strengthen the existing MIS.

*e. Haiti*

FIU took the lead for the Consortium in Haiti. Although the Needs Assessment for Haiti does not so indicate, it was prepared by FIU representatives, principally Reed and Rosenbaum. FIU made several two- and three-day trips to Haiti, the first one being in December 1990, the second being in March 1991. The Needs Assessment was submitted to USAID/Haiti in May 1991. Because the newly elected Haitian legislature had not yet developed a level of confidence in U.S.-Haitian relations that would have allowed for a full-scale Needs Assessment, USAID/Haiti requested that the Consortium develop a project document to address the areas considered the most appropriate for initial funding through a bilateral program. The proposal was divided into Phase One and Phase Two recommendations. Phase One concentrated on immediate needs. Phase Two included further strengthening of the needs identified.

FIU used the same basic methodology the Consortium had used for the other needs assessments, interviewed similar categories of people (e.g., the leadership of the Chamber of Deputies and the Senate) and recommended similar activities for Phase One, including:

- a two-week study tour to the United States and Canada;
- the development of a Needs Assessment and strategic plan for the legislature;
- the participation of two Haitians in the graduate study program at SUNY/A;
- the development of institutional linkages between Haitian universities and NGOs and the legislature through internships and joint research;
- participation of members and staff in professional conferences and associations;
- training in the legislature's budgetary role and techniques, public policy/bill analysis techniques, oversight role of the assembly, constituency services and media relations, legislative procedure, legislative office organization, plenary and committee management and legislative reference; and

- development of a basic commodity support component and the establishment of an MIS.

Although these individual components were necessary for the strengthening of the Haitian legislature, at least one of them may not be appropriate for Haitian realities. The universities and non-governmental organizations in Haiti are extremely politicized. As such, the establishment of linkages between the legislature and the universities and NGOs would have proved to be exceedingly difficult and would have posed difficult choices for the USAID mission. Separate linkages would have had to be established with separate NGOs and universities based upon the different political leanings of the legislators.

In addition, given the tense political relationship between the executive and the legislature in Haiti prior to the coup, the evaluators believe a recommendation for a seminar or workshop on legislative/executive relations (conflict management) and the inclusion of the executive branch in some of the training activities could have proved useful. Legislators with whom the evaluators spoke pointed to this area as essential for legislative strengthening.

In general, the USAID mission was pleased with the component parts of the project. The mission staff said, however, that because AID does not have much history in this area, they felt like they were relying on the expertise of the Consortium. One staff member said of the component parts, "[i]t was like casting out seeds and nurturing them in the hope that some would grow."

The USAID mission did, however, begin to question the Consortium's ability to implement the activities. Mission staff were frustrated with the amount of time taken to put together the project plan. The delay was due in part to: 1) a coup attempt in January 1991; 2) the slow movement of the Haitian legislature; 3) a perceived slowness on the part of FIU to produce the proposal and respond to requests for changes in the text and a slowness on the part of the CFD in response to requests for changes in the budget; and 4) the amount of time taken by AID's contracts office to process the buy-in.

In addition, USAID mission staff felt the Consortium's lack of familiarity with complex Haitian political and social issues and a lack of language capability slowed efforts and put additional strain on USAID mission staff. One staff person said that a requirement for human resource enhancement would be placed upon the Consortium, (FIU -- in particular) before future involvement would be contemplated. FIU acknowledged the need for increased language capability and had planned to hire a local project manager once the buy-in was finalized. Due to a coup in Haiti in September 1991, which suspended all government-to-government assistance, the buy-in was not implemented.

Management Information Systems (MIS). In the area of MIS, the assessment recommends that in Phase Two, after the provision of basic equipment infrastructure and furniture (no detail was provided, but it is assumed to mean basic office equipment such as calculators, desks chairs, etc.), there would be the development of a comprehensive legislative and management information system with the adequate technology and human resources to operate and utilize

them as an integrated system.

The MIS contemplated would cover the administrative and legislative components. The assessment does not mention a possible Phase Three, which would incorporate the third component of a Management Information System: the oversight component. The analysis does, however, recognize the need for improved capability in the budgetary and public policy role, which takes into account this third component. The Phase I report recommends some short term training for Haitians in these areas.

Given that the Phase One report was not intended to be a complete Needs Assessment, there is not much information on MIS that may be analyzed. As a follow-up to the Phase One Report, FIU conducted a technical assistance Analysis of the Haitian Legislature's Management Information System in July 1991, which is discussed in Chapter V.

*f. Dominican Republic*

Because of the modus operandi requested by USAID/DR, the involvement in the Dominican Republic did not result in a Consortium-generated Needs Assessment, although the Consortium identifies it as such in its outputs. Instead, technical assistance was provided to the Congress of the Dominican Republic so that the legislators themselves could develop their own modernization plan. Because the evaluators consider this to be a technical assistance involvement, it is discussed in Chapter V.

*g. Bolivia*

On July 18, 1991, attached to a cover letter to USAID/Bolivia, Baaklini submitted a "final draft of a plan that provides an integrated strategy to build the institutional capabilities of the Bolivia legislature." The document lacks specificity concerning legislative development and fails to correlate the information provided to the Bolivian context. It was apparently not reviewed by all the Consortium partners. According to Rosenbaum, FIU did not have the opportunity to provide input to the Needs Assessment.

There is no detailed analysis of the conditions of the Bolivian Legislature, nor any discussion of its goals, objectives, capabilities, constraints, priorities for action or absorptive capacity. The authorship of the document is not identified beyond the signature of Baaklini on the cover letter, despite the fact that another faculty member of SUNY/A accompanied Baaklini and was identified in Bolivia as a member of the team from the Consortium.

The cover letter stresses the need that the prioritization of the programs should be the prerogative of the leadership of the legislature. However, there is no indication that this plan was discussed with the leadership of the legislature and no detail is provided concerning the legislature's willingness or capability to assume recurring expenditures of the development plan. The draft includes a proposed budget of \$2,214,356 of which \$834,855 is charged as "Project Core Administration and Overhead" and \$422,926 is earmarked for MIS equipment and physical support.

According to SUNY/A, AID/Washington made the initial request that this Needs Assessment be conducted. Mission personnel with whom the evaluators spoke, indicated that they had little notice of the Needs Assessment team's planned arrival. Because of the lack of communication and planning, the usual interviews required for a needs assessment were not set-up and conducted. The mission chose to seek an alternative provider to pursue legislative development projects. USAID/Bolivia decided to work with the Office of International Programs at the State University of New York (SUNY/OIP).

Management Information Systems (MIS). The plan for Bolivia provides little descriptive information on the organization and functions of the Congress. Consequently, it is very difficult to determine appropriateness of the MIS recommendations, which are similar to the standard recommendations found in all of the needs assessments concerning legislative information systems.

#### *h. Paraguay*

The Needs Assessment document for the Legislative Plan for Paraguay received by the evaluators was submitted to USAID/Paraguay in July 1991. According to the document, the field research for the *Preliminary Master Plan for Development and Modernization of the Legislature of Paraguay* was conducted in May 1991 by Baaklini and Prof. Helen Desfosses, a SUNY/A professor of African Studies and a member of the Board of the Center for Women in Government, who had also been a candidate for the legislature in the state of New York. It was apparently not reviewed by all the Consortium partners. According to Rosenbaum, FIU did not have the opportunity to provide input to the Needs Assessment.

Except for the fact that there is additional descriptive information about the branches of the Paraguayan government, the structure of the two houses of the Paraguayan legislature, and a page on a how a bill becomes a law in Paraguay, the same comments made about the Bolivian Needs Assessment -- lack of preparation, needs assessment methodology and analysis -- are applicable. There is no identification of interviews conducted in Paraguay, nor any indication as to the priorities of the Paraguayan legislators and staff.

Despite the lack of specificity regarding the needs and priorities of the legislature and its current MIS, there is a "plan" to strengthen the legislature of Paraguay with a proposed total budget of \$2,214,356 of which \$834,855 is charged as "Project Core Administration and Overhead" and \$422,926 is earmarked for MIS equipment and physical support. This is the identical budget that was prepared for Bolivia.

The USAID mission in Paraguay told the evaluators that they anticipated that working with the three-member Consortium could prove to be difficult. For a variety of reasons, the mission decided to work through a local non-governmental organization (The Paraguayan Center for Sociological Studies), the Office of International Programs of the State University of New York and the Center for Studies and Legislative Assistance (*Centro de Estudios y Asistencia Legislativa -- CEAL*).

## **C. RECOMMENDATIONS**

These general recommendations suggest the lessons learned from the evaluation of the Consortium's planning and conducting of needs assessments.

- The political context of the country should determine the form and process of the initial document. However, a detailed institutional analysis of both structures and processes within the legislature should follow once mutual respect and confidence have been built. This analysis is required to establish a baseline from which a needs assessment may be prepared. In addition, the needs assessments should include an extensive background section that analyzes the context in which the legislature functions. No legislature functions in a vacuum; nor can it behave as if it does. The political, economic and social factors that have an impact upon the environment in which the legislature exists must be taken into account.
- Extensive consultation with a broad range of sectors with vested interests in a functioning legislature is required to determine the needs, as well as to prioritize the needs of the legislative branch of a democratic government. Input is needed from more than just the leadership of the legislature in the preparation of a needs assessment. Consultations with staff of the legislature, political party leaders and activists and relevant NGOs may provide additional insight.
- Participants in the preparation of a needs assessment must prepare themselves in advance about the historical, political, social and economic context within which recommendations may be implemented. Without thorough background preparation, recommendations made to the host country legislature may not be relevant.
- Collaboration between U.S. participants and host country participants must be engineered so that the host country participants have a vested interest not only in the needs assessment, but also in the implementation of its recommendations. Specifically, the leadership of the legislature should play a prominent role in the preparing the needs assessment to motivate more of an institutional commitment that would survive beyond the project. Likewise, sustainability is a key factor that should be kept as a priority at all times.
- A needs assessment should indicate the most appropriate technology for each legislature. Therefore, recommendations for equipment procurement must be accompanied by a specific analysis of the current MIS that profiles different administrative and legislative functions. It should also include a detailed discussion of how the proposed MIS changes will influence those functions as well as the local vendor/distribution capability for future maintenance and training.

## **CHAPTER IV - SEMINARS: REGIONAL, SUBREGIONAL AND ORIENTATION**

### **A. BACKGROUND**

#### **1. Seminar Types, Topics and Objectives.**

The Cooperative Agreement calls for the organization and implementation of the following seminars:

- Three regional seminars with 25 participants each;
- Four subregional seminars with 12 participants each; and
- Three orientation programs with 125 participants each.

According to the Project Paper, the seminars would broaden the initiative that was begun by AID in Central America with the CALTS project (mentioned in Chapter I) by including South America and the Caribbean. The seminars envisioned under the Cooperative Agreement were to have two purposes: 1) to create opportunities for meaningful exchange and informal regional dialogue; and 2) to create opportunities for technical assistance through practical training (emphasis added) on specific technical topics and legislative development themes.

The Project Paper indicated that the regional seminars would address the following topics:

- Roles and functions of legislatures in contemporary democratic societies;
- Legislative operations: including structures of legislatures, bill-drafting and legislative procedures; and
- Policy issues: economic policy and trade, national and regional security, human rights and social rights, environment and economic development.

The regional seminars would have five basic objectives:

1. To reinforce and expand the capacity of the legislature to enhance the separation of powers;
2. To develop the technical capacity of national legislative staffs in areas such as law drafting, impact analysis and budget review;

3. To reinforce the progressive elements in national legislative systems in furthering reforms, particularly in the areas of professionalization of the legislatures, accountability and legislative autonomy;
4. To increase popular awareness of the role of legislatures in their society and to enhance popular support for the rule of law; and
5. To increase a legislature's institutional capacity to train new members and enhance the professional development of staff during or upon the conclusion of this assistance.

According to the Project Paper, these regional seminars would be implemented through: 1) Technical Training Workshops; 2) Multilateral Legislative Training Seminars; 3) Inter-regional Policy Seminars and Legislative Dialogues; and 4) National Legislative Seminars (as requested by individual legislatures).

It must be noted at the beginning that the operational definitions of "seminar," "conference," and "training" are missing from the Consortium's Project Paper and subsequent record of activities. At times, the terms seminar, conference and training are used interchangeably without specification. Therefore, the evaluation team organized its review of these activities in the following frame of reference. First, is a discussion of the critical elements necessary for successful seminar and training program planning and implementation. Second, are general comments about the role of seminars and training activities in the Consortium's overall project. Third, is a review of the seminar and training activities undertaken by the Consortium.

## **2. Seminar and Training Design and Implementation.**

Under the Cooperative Agreement, the Consortium envisioned organizing and conducting seven regional seminars; three of which were to be region-wide and four of which were to be subregional. In addition, the Consortium was to organize and implement three orientation seminars for newly elected legislators.

Though the goals of the seminars would vary from discussing public policy issues, to providing a means for the exchange of information and networking, to training legislators and staff on budget matters and grant-writing, several common elements of seminar program development and management should have been present. These criteria were based upon universally accepted professional norms and have been adapted for this project.

The team developed seminar evaluation criteria based upon extensive professional experience and information found in Chapter 22, "Meetings, Conferences, Workshops, and Seminars" by Jack L. Reith in the *Training and Development Handbook*.<sup>3</sup>

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<sup>3</sup> See Jack L. Reith, "Meetings, Conferences, Workshops, and Seminars," in *Training and Development Handbook* sponsored by the American Society for Training and Development (McGraw Hill Book Company, 1987).

The above resource defines a seminar as:

"... a group of persons gathered together for the purpose of studying a subject under the leadership of an expert or learned person. Often the procedure followed is to identify the problem, explore the problem, discuss or lay out necessary research involved in the solution of the problem, conduct the research, share the findings with others in the group, and reach a conclusion on the basis of the research."

The following is a review of some of the basic elements that are fundamental for successful seminar design and implementation:

***a. Seminar Design and Organization***

**The organizers need to conduct a pre-seminar assessment of the participants.** Through that assessment organizers should: 1) determine that the topic does indeed meet the needs of and is a priority for the intended beneficiaries; and 2) conduct a preliminary inventory of the skills and knowledge of the target audience, which is crucial information for the design of the seminar. That information is also necessary for presenters to target their presentations.

**The seminar agenda should be developed with significant involvement and input of the intended beneficiaries.** Their expectations of the seminar must be understood and included in the agenda of the seminar.

**Clear, achievable objectives need to be defined.** For example, if the goal of the meeting is to inform, the audience may be larger and the seminar shorter than one with the goal of instructing or deciding a specific issue. The latter seminar would need to have a smaller audience with a longer time frame to address the matter at hand.

**The organizers must select speakers who appropriately meet the objectives of the seminar and who speak the language of the participants.** Even with the use of simultaneous interpretation, participants lose a great deal of content, especially with complex or technical topics. A decision to use a presenter that does not speak the language of the host country should be made only as a last resort and must be justified based upon extensive experience that could not have been gleaned from another speaker.

***b. Seminar Implementation***

**A pre-seminar meeting with the speakers and presenters to discuss the material they will be presenting (including handouts), to plan the sequence of events and to correlate their presentations with the objectives of the seminar should be held.** This is most effectively done in person, but may be conducted by telephone if personal contact is not practical or possible.

**The organizers need to provide briefing and other background materials to presenters unfamiliar with the seminar context or setting.** This will allow them to tailor their

presentations to the specific needs of the participants and to understand the constraints under which the participants must implement their recommendations.

**The agenda should be distributed in advance to the expected participants, if possible.** This will greatly enhance the participants' understanding of the purpose of the seminar. A meeting agenda should include a statement of the objectives, time period of the seminar, location, presenters' names and identifications and a list of subject matter or problems to be discussed or presentations to be made. An agenda may also include follow-up activities expected to be implemented by the participants and/or the organizers.

**Handouts and other curriculum materials must be focused on the objectives of the seminar and produced in the language of the participants.** No matter how interesting and appropriate a handout may be, if it is not in the language of the participant, it will languish in a drawer or be tossed in a trash can. Organizers should be careful not to overload the participants with unnecessary materials and should keep the handouts focused on the objectives of the seminar. A list of the participants and presenters with titles and contact addresses and telephone numbers should be included. This will help promote networking after the seminar.

**If the seminar is small (10-20 people), it is also helpful to review the agenda with the participants at the start of the meeting to ascertain whether they have any questions or comments about the seminar content and agenda.** Although major alterations could not be made at this point, local changes in political or socio-economic issues leading up to the seminar may suggest increased emphasis in one area over another.

**The organizers are responsible for the distribution of seminar evaluation forms that ask for participant feedback on the programmatic and management aspects of the seminar.** The forms should be collected after the event for analysis.

**The organizers should arrange for the preparation of minutes, a summary or a transcript of the meeting.** Copies of that document should be provided to the participants and the presenters.

**Follow-up activities are important.** Organizers should contact the participants subsequent to the seminar to ascertain if they are using the material and if they need any additional information on the topic.

### ***c. Participant Training Through Seminars and Workshops***

The training components of the Cooperative Agreement are not clear since different documents refer to training in disparate ways. The Program Description of the Cooperative Agreement specifically states that the Consortium is tasked with evaluating the need for training in the legislatures through the needs assessments and also calls for "three orientation training (emphasis added) programs for newly elected legislatures." However, the Project Proposal does not indicate that the orientation seminars will endeavor to train the new deputies but does

indicate that some of the regional seminars will be conducted in the form of **Technical Training** (emphasis added) Workshops. It also refers to the seminars as "Regional **Training** (emphasis added) and Policy Awareness Seminars." Both documents explicitly state that Consortium support of ATELCA is to include support for six **training** programs. The issue of which programs were supposed to entail training components will be addressed more fully later. What is clear is that the Consortium was responsible for at least some training components.

On that basis, the evaluation team developed criteria by which those training programs would be measured. These criteria were based upon extensive personal experience and an AID publication by John A. Gillies entitled, *Training for Development: Review of Experience*.<sup>4</sup> Although some of these criteria overlap with those used for seminar planning, in order for these criteria to be independently coherent, it is important to note them here as well.

Training activities take different forms: formal and informal education, management and vocational education and participant training. Training differs from education, the latter being pursued for its intrinsic value. Under this project, training was conducted through participant training in a seminar format and through formal education for participants at the University at Albany, State University of New York (Chapter VI).

Gillies found that the assessment of development training impact should focus on program and context, design, implementation, management and evaluation. The most appropriate aspects of each of those components, as they relate to this project are discussed below.

### *Program and Context*

**The effectiveness and efficiency of a training program is related to its ability to achieve program-level objectives and an understanding of the national and institutional contexts for which it is designed to serve. Additionally, commitment is needed from donors and host governments to promote a policy and an institutional environment conducive to effective training.**

### *Program Design*

**The design of training programs must be based on clearly articulated objectives and indicators of achievement. The design should include an analysis of how the proposed training would assist in meeting the needs identified in the needs assessments and define the skills, knowledge or other support needed by the legislative staff and members. These objectives must reflect a reasonable and feasible expectation of what training can accomplish.**

### *Implementation*

**The key to effective implementation of training is the selection of the best person and the placement of that person in the most appropriate program or institution. The selection**

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See John A. Gillies, *Training for Development: Review of Experience* (Washington, D.C.: A publication of LAC Education and Human Resources Technical Services Project, 1992).

of high-quality participants is an effective cost-containment measure because the risk of not completing the program is lower. Additionally, overseas training can be a very expensive method of fulfilling skill requirements. If the organizers are not directly involved in the selection process, the goals and purpose of the training needs to be clear to those who will make the selections in order to minimize ambiguity and alleviate inappropriate selections.

**A training plan should be developed.** That plan should specify the outcomes desired from training and include a profile of the trainees. It should include curriculum and training exercises appropriate for the training objectives. Also, assistance should be provided to the trainees in order for them to understand their current skills and the skills they will need in the future. An effective training plan provides conceptual understanding, reduces programmatic ambiguity and adds an element of consistency.

**If the training does not take place in the home country, the impact of training is intensified through adequate pre-training orientation and cultural adjustment, supplemental activities and post-training follow-up.** If the participant is working in a supportive environment and the training complements the work being performed, it is likely that the impact of training will be high. Moreover, re-entry counseling and assistance in easing the transition back to the home country and work environment are helpful methods to increase the development impact of training programs. A follow-up plan should be developed for trainees who have received training to maintain and enhance their skills.

### Management

**Proper management of participant training programs entails the use of standard operating manuals to clearly establish policies and expectations about the design, implementation and follow-on of training.** For example, management of LAC participant training programs must follow the policies and procedures contained in Handbook 10. In addition, management should be aware of the need for continual quality control and application of "lessons learned" in AID participant training programs.

### Evaluation

**Evaluation of training should not be limited to operational matters.** Training is prone to becoming an end in itself and being measured quantitatively. For example, the number of people trained does not necessarily indicate success or failure of a program. Quantitative measurement alone is incapable of informing and guiding project implementation.

### **3. Seminars Conducted by the Consortium.**

Of the ten seminars proposed, eight were delivered: two that were defined by the Consortium as regional; four, as subregional; and two, as orientation. Therefore, one regional and one orientation have yet to be provided. Information provided by Consortium members and AID/Washington indicated that AID/W requested that the remaining regional seminar not be held. To the evaluators' knowledge, it has not yet been de-scoped.

Neither the Project Paper, nor the Cooperative Agreement provides specific details on the implementation methodology, anticipated outcomes or follow-up to the seminars. Nor did the Consortium develop an overall strategic plan that indicated how the seminars would be designed and incorporated as integral parts of the project.

The implementation vehicles identified earlier (Technical Training Workshops, Multilateral Legislative Training Seminars, etc.) were not developed into an overall work plan, nor referred to again in subsequent reporting by the Consortium. While it was possible for the evaluators to infer which seminar or conference might have fit into which category, such analysis would be forced. Therefore, for ease of identification, the seminars are first identified below in chronological order, but the evaluation team's discussion of them will be organized by type of seminar -- regional, subregional, and orientation -- as defined by the Consortium.

El Salvador Orientation Seminar (June 20-22, 1991), organized by the Center for Democracy [ORIENTATION]

Training Seminar for the Identification of Funding Sources and the Development of Project Proposals -- Grant-Writing (July 5-16, 1991) in Miami, Florida, organized by FIU [SUBREGIONAL]

Technical Seminar for Legislative Budget Analysts (August 21-28, 1991) in Albany, New York, organized by SUNY/A [REGIONAL]

Haiti Orientation Seminar (August 29 and 30, 1991), organized by FIU [ORIENTATION]

Participation in the Strasbourg Conference on Parliamentary Democracy (September 16-18, 1991) in Strasbourg, France, organized by the Center for Democracy [REGIONAL]

Reorganization of the World Economy: Central American and United States Perspectives (Legislatures and Universities) in San Jose, Costa Rica (November 11-14, 1991), organized by SUNY/A [SUBREGIONAL]

Colloquy on Parliamentary Institutional Development (March 23, 1992) in Guatemala City, organized by the Center for Democracy with ATELCA in conjunction with the Meeting of Presidents of Parliaments and Assemblies of Central America [SUBREGIONAL]

Social Welfare Conference with the Legislative Assembly of Costa Rica (April 21-22, 1992) in San Jose, Costa Rica, organized by FIU [SUBREGIONAL]

## **B. FINDINGS**

### **1. General Findings.**

The following discussion of the evaluators' findings applies generally to the seminars. Specific findings that apply to individual conferences or seminars will be included in the reviews of each activity later in this chapter.

**In all cases, the seminars exposed legislators and staff to legislative strengthening or public policy issues.** Participants noted that their "horizons had been broadened" through their participation in these programs.

**However, many of the participants also told evaluators that they had expected activities that moved beyond exposure to general ideas to more substantive activities and training.**

**Seminars and training activities were not integrated into an overall strategic plan.** The Project Paper identified general goals and objectives for seminars and conferences that might be undertaken to strengthen legislatures. However, the evaluators found no overall plan that indicated how conferences or topics would fit into a strategic plan for this project to accomplish its overall objectives of strengthening legislatures in Latin America. Specifically with regard to training, the program lacked a blueprint to guide training activities and measure outcomes.

**The implementation of the regional and subregional seminars suggests that the seminars were designed, organized and implemented as discrete activities, rather than segments of a whole plan of interrelated parts.** Factors both internal and external to the Consortium influenced the decision-making concerning which activities to pursue. This was explained by members of the Consortium as having been prompted by their modus operandi of responding to requests from either the legislatures or the USAID missions in the region. The "response to requests" seemed to be driven by time factors. The need to have an activity at a certain moment that may or may not have been consistent with the Consortium's original ideas seemed to drive the decision-making. In addition, the Consortium often engaged in activities in which one member of the Consortium or another had a vested interest that may or may not have coincided with the needs and priorities of the legislatures. While the flexibility to respond to the requests of the legislatures is essential, an overall strategic plan would have assisted the Consortium in focusing those requests to ensure that they would indeed result in the transfer of concrete skills.

**The Consortium did not follow a systematic approach to training design.** Activities that were characterized by the Consortium as "training" (such as the SUNY Seminar for Legislative Budget Analysts and the FIU Grant-Writing Seminar) did not follow such basic training steps as: 1) correlating training to meet the needs identified in the needs assessments; 2) specifying the outcomes desired from the training; 3) providing a profile of the participants in the training and reviewing that profile before the training to assist in designing the activity and afterward to

assist the trainees in understanding what next steps should be taken in training; 4) making the training plan visible in the participating legislatures and securing commitments that the trainees might be able to incorporate new skills brought into the organization; and 5) developing a plan for trainees to maintain and enhance their skills.

Similarly, background orientation materials were not prepared for the presenters, many of whom were English-speaking with little or no experience in Latin America. The dissemination of an agenda prior to the activity also varied. Materials, if distributed to the participants, were often written in English. Evaluation forms, if distributed, tended to focus on logistics and provided only general program feedback. Transcripts or summaries of the sessions, if produced, were not systematically distributed. Follow-up to most of the activities was minimal.

Contrary to usual practice, the Consortium did not draw up an internal training evaluation plan at the initiation of the project. Evaluation was confined to quantitative input measures. Evaluations of training activities focused on logistics and inputs. There was little qualitative analysis of activities or outputs. Evaluation reports do not demonstrate participants' perspective or skills gained, lessons learned or how skills would be applied.

Overall, the evaluators found the seminars and training activities that were delivered by the Consortium to be of uneven quality with a varying level of input for each from representatives of the intended beneficiary groups. These variations will be noted in the discussions of each activity below. These activities are reviewed individually below in chronological order within the Consortium's subcategories: regional, subregional and orientation.

## **2. Regional Seminars.**

### **a. *Technical Training Seminar for Legislative Budget Analysts (August 21-28, 1991) in Albany, New York, organized by SUNY/A***

In July 1991, SUNY/A received a written request from Caleb McCarry (CFD) asking them to organize a seminar requested by the Executive Committee of ATELCA for technical training on legislative budget analysis. The request for this seminar also included the recommendation that the seminar be held as soon as possible to ensure relevance to the budgetary process that would take place in most of the countries in the last quarter of the year.

The seminar was quickly organized, and invitations were sent to the secretaries-general of the assemblies of an unspecified number of Latin American countries asking each to designate an appropriate representative to attend the conference. The programmatic content of the seminar included both conceptual issues that a legislature confronts in the budgetary process and field visits to legislative and executive agencies in Albany, New York, that are involved in the budgetary process.

Thirteen participants attended, representing Costa Rica, El Salvador, Honduras, Guatemala, Nicaragua, Panama, Bolivia, Paraguay and Brazil. The seminar was conducted in English with

simultaneous interpretation. Most substantive materials distributed in the seminar were also in English while the audience was predominantly Spanish-speaking. A post-seminar evaluation was conducted, but the results reflected logistical concerns and very general comments about the utility of the seminar. The seminar served the purpose of providing information about the budgetary process on a national level to participants who were not familiar with the process, but it was not considered a training activity. It failed to meet the criteria outlined above for training. Among other things, it did not include a detailed training plan with a curriculum and training exercises. The participants interviewed characterized it more as a "consciousness raising" activity.

**The impact of the seminar was undermined by the fact that most of the participants who arrived had responsibilities in their home countries in the budgetary process for the assembly itself, not for the national budget.** The invitation reviewed by the evaluators was addressed to the secretary-general of a Central American legislature asking that a representative be sent to a conference on "[T]he Budget and the Role of the Legislature." The misunderstanding on the part of SUNY/A about who they had invited and who they thought would be attending affected the entire seminar. It was Dr. Abdo Baaklini's understanding that members of the Budget Committees, or at least staff members with responsibilities for national budget oversight, would participate. However, the letter was not that specific. In fairness to SUNY/A, the letter requesting the seminars from McCarry was not specific either. However, as seminar organizer, the ultimate responsibility of knowing the audience should be borne by SUNY/A.

In addition, field interviews conducted by the evaluators revealed that it was not clear to those who received the invitation that the target audience of this conference would be those who make budgetary policy decisions for the national budget. Thus the participants who arrived were primarily staff who dealt with budgets of their legislatures, with the exception of legislators from Paraguay and Bolivia who participated. No pre-seminar inventory of skills or background of the participants was conducted. In addition, the seminar did not utilize the prepared materials the participants had brought that concerned the internal budgets of their legislatures. Participants who were interviewed by the evaluators expressed both appreciation for having been introduced to aspects of the budgetary process with which they were not familiar, but also frustration at the apparent mismatch of their attendance and the intended audience as conceived by the organizers of the seminar. In addition, participants interviewed indicated that they could not point to any changes in the budgetary process that may have resulted from knowledge acquired in this seminar.

***b. Strasbourg Conference on Parliamentary Democracy (September 16-18, 1991), organized by the Center for Democracy***

The delegation that went to Strasbourg included legislators and staff from all of the Central American nations, Panama and legislators from Haiti. The conference focused on strengthening democratic institutions and development in emerging or newly restored democracies. Miguel Angel Rodriguez, then President of the Assembly of Costa Rica, was invited to address the

conference and was elected Vice President of the Parliamentary Assembly of the Council of Europe -- a first for a Central American.

Many of the participants interviewed by the evaluators expressed deep appreciation for the opportunity to have traveled to Europe to participate in this broad-ranging conference on parliamentary democracy. The exposure and the opportunity to meet legislators from another hemisphere was an experience that broadened their views and helped them to feel less isolated. Without the support from this project, it is doubtful that they would have been able to participate in the Strasbourg Conference.

However, it was unclear to the evaluators whether this activity was a priority for the Latin American legislatures themselves. In several interviews, the evaluators heard the sentiment expressed that although the participants valued the opportunity to participate in the conference, given limited resources, they might have chosen other alternatives. For example, one secretary general who participated expressed the concern that although the experience was "*muy linda*" (very nice), given the limited resources for legislative development, this activity was not a high a priority for his legislature.

This activity was considered to be a priority by the Center for Democracy, however. In a memo to the evaluators, CFD principal Dr. Allen Weinstein indicated that "engaging Central Americans in an international democracy network to be utilized for advice, support and training has been a central focus of The Center for Democracy's long-term strategy in the region." The objective of this activity was to expose legislators and staff members to the European democracies who might be able to deliver technical assistance to the Central American democracies.

Two activities that resulted from contacts made at this Strasbourg activity included the Colloquy on Parliamentary Institutional Development in Guatemala in March 1992 (discussed later in this chapter) and ATELCA's participation in the meeting of the European Centre for Parliamentary Research and Documentation (ECPRD) in Luxembourg in September 1992 (see Chapter VII). While the evaluators can see the value in bringing parliamentarians and staff together to discuss common issues and in supporting the activities that spring from those meetings, the Consortium should have developed a plan, prior to the meeting, geared toward fostering productive relationships between the Central Americans and the Europeans. Such a plan would have aided them in achieving their goal of assisting in the development of a "network to be utilized for advice, support and training" for the Central American legislatures. The evaluators found no evidence of a strategic plan geared toward that goal.

### **3. Subregional Seminars.**

**a. *Training Seminar for the Identification of Funding Sources and the Development of Grant-Writing for Project Proposals (July 5-16, 1991) in Miami, Florida, organized by FIU***

In response to a request from ATELCA, FIU organized a seminar to train legislative staff in grant-writing and to introduce them to background material on possible funding sources. The request by ATELCA was prompted by the recognition that additional funding for the organization would be necessary to sustain it in the future. In addition, such training was thought to be valuable in general to improve research and writing skills of legislative staff. The seminar was held on FIU's campus in Miami with seven participants in attendance (one each from Costa Rica, El Salvador, Honduras, Nicaragua and Panama; and two from Guatemala).

**Of all of the "training" activities identified by the Consortium this seminar most approximated a training exercise by definition.** Despite the fact that this activity did not take into account the basic training steps identified on p. 41-42, the seminar was well organized, the presentations were conducted in Spanish, and the seminar received high praise from the participants. Ample information and materials were provided to the participants in Spanish. As a training exercise, the participants were required to work in pairs on a hypothetical grant proposal and present it to the organizers for a critical assessment.

All of those interviewed who participated felt that the seminar was valuable. However, only one had an opportunity to apply his knowledge. He prepared a grant proposal and received funding for an activity totally unrelated to his job. However, in the larger perspective of looking for impact, at least he was able to utilize the skills acquired, albeit to support a non-profit activity.

There were three additional weaknesses identified in the evaluation of this activity. One was that information on foundations and donors included only U.S. sources. Additional sources from Latin America, Europe and/or Japan would have been helpful. The second concerned the participants' inability to utilize the new skills upon returning to their jobs in the legislatures. Several participants interviewed indicated that they had neither the time, nor the support from their superiors, to pursue this type of activity, despite the fact that they had been chosen by their own assemblies to participate. While it is impossible to draw a definitive conclusion about why this was so, it does reflect the persistent concern about prioritizing project activities in concert with the priorities of the intended beneficiaries. If the leadership of the legislature (staff and members) are not committed to an activity, it will not be sustained. Third, as with the other seminars, there was no follow-up.

**b. *Reorganization of the World Economy: Central American and United States Perspectives (Legislatures and Universities) in San Jose, Costa Rica (November 11-14, 1991), organized by SUNY/A***

The concept behind this conference reflected Baaklini's long interest in linking legislatures with universities. However, the origin of the conference came from a proposal of another professor at SUNY/A who was interested in convening a group of U.S. and Costa Rican academics to discuss perspectives on reorganizing the world economy. Knowing that the Consortium had money to fund conferences, the professor approached Baaklini with the idea.

**While there was some consultation within the Consortium about the validity of this activity, there was little, if any, consultation with the legislatures in the region prior to the beginning stages of organizing the conference logistics.** While conceptually, this conference fit within the boundaries of the Cooperative Agreement, the fact that it was organized with little input or involvement of the legislatures raises the question of whether the participation of the legislators was integral to the conference. Invitations were extended to representatives from budget committees of legislatures in the region by fax, but only one sitting legislator was able to attend. This was in part due to the poor timing of the conference, which was during the period when most legislators discuss the national and legislative budgets in their countries. SUNY/A should have been aware of this potential conflict.

The conference was held in San José, Costa Rica, in November 1991 and included the participation of approximately twenty-seven people. Participants included: scholars from the University of Costa Rica, as well as from Guatemala and Honduras; scholars from SUNY/A; the then-Chairman of the Budget Committee in Panama; a former Costa Rican legislator; a Costa Rican legislative staffperson; a Costa Rican lawyer; and two representatives from AID. The Conference was opened by the then Vice President of the Costa Rican National Assembly, Nury Vargas, and welcomed by the Rector of the University of Costa Rica. When interviewed by the evaluators, however, Vargas could not recall the conference.

The Conference agenda included the presentation of academic papers with a subsequent response by another panelist. The papers of the conference are to be published in a volume edited by three professors at SUNY/A (none of which are involved with the project) entitled, "Recovery or Relapse in the Global Economy: Comparative Perspectives on Restructuring, With Special Reference to Central America."

Both the USAID mission and members of the legislature indicated that they had little knowledge about SUNY/A's plans and were not adequately consulted prior to the conference. The low level of participation of legislators and staff, including even the Costa Ricans, suggests that this conference may have been less of a priority for the Central Americans. Given the lack of coordination with the legislators and the missions in the region, as well as the lack of concrete public policy alternatives provided to the legislators, the implementation of this activity fits only marginally within the objectives outlined in the Cooperative Agreement.

**c. *Colloquy on Parliamentary Institutional Development (March 2-3, 1992) in Guatemala City, organized by the Center for Democracy with ATELCA in conjunction with the Meeting of Presidents of Parliaments and Assemblies of Central America***

The annual meeting of presidents of legislatures in Central America was conceived at a planning meeting in Guatemala in May 1989. At that time the assembly presidents decided to create a mechanism at the legislative level to complement the Central American presidents meetings that had been taking place regularly since the Esquipulas II meeting of August 1987. The first meeting of the presidents of the assemblies of Central America (*Encuentro*) took place in Honduras in July 1990. They have been meeting on an annual basis since that time with the organizing support of ATELCA.

The March 1992 Colloquy included the participation of 32 parliamentarians and 16 staff from Central America, Panama and Belize, as well as 7 parliamentarians and 3 staff from Europe. According to the program, the workshops were entitled: "The Design and Use of Legal Databases; The Parliament and the Press: Managing the Symbiosis; Taking the Initiative: Strengthening Legislative Oversight and Control Over the Executive; and Civil-Military Relations and Disarmament in the Age of Democracy." However, these workshops would be more accurately characterized as presentations or discussions in a more traditional sense, as opposed to workshops, which intimates a program of individual study that treats theory and practice concurrently.

Materials from the Conference reviewed by the evaluators included a List of Participants with names and affiliations, but no addresses or telephone numbers. A draft transcript of the Colloquy was prepared in the language of the speaker (English or Spanish) and limited copies were distributed through ATELCA in January 1993. According to the Center for Democracy the transcript was recently completed and will be distributed by mail.

It is significant that the participation of the Europeans in this meeting in Central America was self-financed. In addition, the participation of each of the Central American legislators and staff was also financed by each of their legislatures. The Guatemalan Congress contributed significant support in meals, transportation and logistical support, leaving the Consortium to cover the expenses of its own representation and the expense of language interpretation. The participants' willingness to finance this event indicates that it was a priority for them. Yet there were still few tangible outcomes besides the ATELCA visit to the ECPRD, which had its genesis with the Strasbourg meeting in September 1991.

**d. *Social Welfare Conference with the Legislative Assembly of Costa Rica (April 21-22, 1992) in San Jose, Costa Rica, organized by FIU***

Preceding his departure as President of the Costa Rican Legislative Assembly, Miguel Angel Rodriguez expressed interest to the Consortium that there be public policy seminars held, one of which might be on social welfare policy. FIU pursued this activity and organized the Social Welfare Conference, which was held in Costa Rica in April 1992. Presenters included faculty members from the School of Public Affairs (departments of Social Work, Health Services Administration and Public Administration), as well as educators from the National University of Costa Rica and other universities in Central and South America.

The purpose of conference, according to FIU's activity report, was "to provide a regional forum at which legislative leaders, academics and social welfare practitioners from Latin America and North America would have an opportunity to discuss and interchange information, ideas, and experiences on social welfare issues." The organization of the conference was closely coordinated with the Costa Rica National Assembly President, who was very interested in having the conference take place before his term expired in May.

The conference was attended by nearly 100 participants with an impressive representation of Costa Ricans from the political (including legislators), economic and social sectors with interest in social welfare policy. Participants also included legislators from El Salvador, Honduras, Guatemala, Panama and Colombia. A list of participants was compiled but included only names. It would have been useful to have circulated a list with names, titles, addresses and contact number to facilitate possible follow-up or other communication after the conference.

The discussions were organized in a round-table format with presenters, commentators and a coordinator. Interpretation was provided for the English-speaking presenters. Topics included:

- The Economic Context of Social Welfare Issues;
- Structuring Education Policy to Build a Strong Society;
- Income Support and Public and Private Pension Programs;
- Multigenerational Social Services; and
- Health Care Services.

Analysis of an evaluation form that was distributed to the participants indicated that 85% of the respondents thought that the organization of the conference was excellent; 82% indicated that the content was excellent; and 91% indicated that this type of activity was important and of benefit to their countries. The number of respondents was not indicated in this reporting, but the highly favorable responses suggest that the activity was valid for the group that attended. Aside from FIU's plans to publish the proceedings of the conference in English, there has been no follow-up to this activity.

#### **4. Orientation Seminars.**

The Consortium held two of the three envisioned orientation seminars. The first was held in June 1991 in El Salvador, where 133 deputies or their alternates attended. The second was held in August in Haiti, where 45 deputies and senators participated.

##### **a. El Salvador**

According to FIU, the original genesis of the orientation seminar was a conversation between soon to be Salvadoran National Assembly Vice President Ruben Zamora and FIU principal Dr. Allan Rosenbaum. Rosenbaum reported the conversation to Weinstein who followed up with conversations with the USAID mission and the Embassy in El Salvador. The need for the orientation seminar was clear, due to historic elections in El Salvador in March 1991 that significantly changed the composition of the legislature. After additional discussions with the leadership of each major political party and U.S. Ambassador William Walker, it was decided that the Consortium would conduct the orientation for the entire legislative assembly June 20-22, 1991.

The Center took the lead in organizing the seminar and immediately hired consultant Larry Harrington to design and implement the program. The regional project paid for half of the seminar (or \$41,244) and USAID/El Salvador paid \$41,243.

Due to the political climate in El Salvador, the evaluation team was unable to travel there for interviews. Therefore, the following findings are based on telephone interviews with USAID mission personnel and a seminar presenter.

**The goals and objectives of the seminar were clearly defined and the program was designed to meet those objectives.** Consortium preparation and final report documents state that the goals of the seminar were to "provide El Salvador's newly elected legislators with training in fundamental legislative processes, to provide an opportunity to discuss the role of the Assembly in the El Salvadoran system and to acquaint the members with the legislative development efforts of USAID/El Salvador." Presentations by Latin American legislators (including Salvadorans), U.S. legislators and legislative experts were well received and accomplished the goals by providing an overview of: the legislative assembly's structure, organization and functions; its role in policy-making, budget formulation and oversight; and the mechanics of the legislative process including, bill-drafting, committee and staff functions and other resources. Importantly, the seminar also provided a nonpartisan environment for the politically divided legislators to discuss the role and function of the legislature.

The quality of the speakers varied somewhat. José Manuel Ugarte (from Argentina), who participated in the sessions on the role of the assembly, with special emphasis on policy, budget and oversight and the role of the legislature in the construction of a democratic consensus in society, was mentioned several times as having given excellent presentations.

The seminar was held at the Tesoro Beach Hotel, outside San Salvador, to remove distractions and keep the legislators focused on the seminar. Reports from the USAID mission indicated that the beach environment did not deter the 133 deputies and alternates that participated from faithfully attending in the sessions.

**The presentations and handouts were in Spanish.** Unlike other Consortium events where the presentations had to be interpreted and the materials were in English, the presenters spoke Spanish and the handouts were in Spanish as well. However, there still was not the sense that the handouts were planned to highlight the major objectives of the seminar (e.g., the main points of each presentation, examples of the mechanics of the legislative process, etc.).

**The Center for Democracy's previous experience in El Salvador assisted them in working with the various political sectors and proved useful in averting a crisis.** The CFD was able to use previous contacts with party leaders to enlist their support for the seminar. They consulted with the parties on the program content and the agenda. The Christian Democrats objected to one of the presenters, Adolfo Rey Prendes, because of political reasons and threatened to boycott the entire seminar. However, the other parties valued the expertise of Prendes and wanted him to participate. Weinstein called Fidel Chavez Mena, leader of the Christian Democrats, to discuss the situation. The Christian Democrats agreed to attend the seminar but boycotted Prendes' presentation.

**The USAID mission was pleased with the Consortium's efforts both in terms of content and management of the program.** The mission felt the event was a success and that the Consortium had fulfilled expectations.

***b. Haiti***

In Haiti, once again the lead Consortium member was FIU. The first democratic elections in Haiti's history occurred in December 1990. Eighty deputies and twenty-seven senators were elected to serve as legislators; the vast majority of them had never served before and were unaware of the rights and responsibilities of a legislator. FIU representatives were interested in working with the legislature in Haiti and made five trips to Haiti prior to the orientation seminar, mainly to establish a working relationship with the Senate and the Chamber of Deputies and to develop a longer term legislative assistance program. As USAID/Haiti was eager to support the legislature while the buy-in was being negotiated, the regional project provided an opportunity for both the USAID mission and the Consortium to prove their responsiveness by holding an orientation seminar for the newly elected deputies and senators.

At meetings with the leadership of each chamber in late July, FIU was officially asked to conduct an orientation session focused on the budget process. As the budget was expected from the executive branch in September, the legislators requested that the seminar be held in August and that separate sessions be held for the Senate and the Chamber of Deputies. The Senate also requested a bill-drafting seminar to be held in conjunction with the budget seminar. Thus, FIU had the short lead time of one month in which to organize the seminars. They hired Larry Harrington to assist in the development of the program and the organization of the seminar.

Thirty-three deputies (out of 80) and twelve senators (out of 27) attended the budget seminars on August 30, 1991. Given the complicated history between the U.S. and Haiti, the mission was pleased with the turnout and felt that this activity laid the groundwork for future events.

**The seminar focused on meeting the needs of the legislators.** The agenda for the budget seminar focused on meeting the stated needs of the legislators, which were defined by them as: basic instruction on the budget process; a description of the powers of their respective chambers in budget formulation under the 1987 Constitution; a comparative discussion of the role of other legislatures in the budget process; and information about the current economic climate and the current Haitian budget. In their report on the seminar, FIU states the objectives of the budget seminar as the following: "1) to improve the quality of the deliberations in the first crucial debate on the national budget in September (1991); and 2) to raise the level of confidence and trust between the National Assembly and the Consortium, and thus lay the foundation for future activities."

Due to the coup d'etat in Haiti in September 1991, the legislature did not have the opportunity to debate the national budget. Therefore, the evaluators were unable to assess whether the information learned in the budget seminar proved to be useful. A complication for this evaluation was the fact that the French held a separate orientation seminar, thus making distinctions about what was learned from this particular seminar more difficult. The objective of raising the confidence level of the legislators in the Consortium seems to have been met, as those who participated that had not heard of FIU or the Consortium prior to the seminar, were favorably impressed with them following the program.

**The USAID mission and participants were impressed by the quality of the presentations.** The Consortium was complimented on its efforts to find qualified French speakers on such short notice. The presenters included Canadian and Guatemalan legislators, Haitian lawyers and economists and a former U.S. Congressman, all of whom spoke fluent French. The mission said they would not have been able to pull such a qualified group together on their own, given the short time frame.

**The USAID mission was not as impressed with the Consortium's organizational management of the seminar.** The mission felt that the lines of communication with FIU preceding the seminar were not clear, direct and systematic. Staff said they did not receive an agenda until a few days before the seminar. Because of the sensitive nature of U.S.-Haitian relations and the importance the U.S. Embassy placed upon the seminar's success, the anxiety level was high.

Some mission staff felt that the programmatic planning before the seminars outlining the goals and objectives of the seminars had been inadequate. Mission staff said it was at their urging that the U.S. organizers arrived in time to hold a briefing with the presenters the night before the seminar. They also said that FIU had made no plans for introductory remarks prior to that meeting. Although FIU said they had put together a packet of background information for the presenters on Haiti, mission staff said they did not feel the non-Haitian presenters had

a strong grounding in the Haitian context. FIU responded that it believed extensive programmatic planning had been accomplished in a short period of time with three draft versions of the agenda being vetted with the legislators.

The USAID mission also mentioned frustration at the minimal French-speaking capability of FIU, and what it perceived to be an overstaffing of the seminar. Of the Consortium representatives who attended, only one had French capability. (The mission recalled that there were four Consortium representatives, FIU said three were present.) The mission did not understand the need for that many representatives to be present since they were not playing a substantive role in the seminar, and a local non-governmental organization -- the Center for the Development of Human Resources (CDRH) -- was handling most of the logistics.

**The bill-drafting seminar seemed to fall short of its objective.** The stated goal of the bill-drafting seminar was to improve the written quality of legislation introduced in the Senate. Although, again, the coup d'etat has impeded democratic processes in Haiti and has subsequently consumed the work of the legislators, the USAID mission and the Embassy reported that they have not seen a difference in the quality of the bills that have been introduced since the seminar.

The seminar was far too short and included too many presenters to provide "training" in bill-drafting techniques. Legislators interviewed said they had expected a much more a detailed "training" session. The evaluators could find no attendance list for the bill-drafting seminar, thus making it difficult to ascertain how many Senators from the previous day attended this second session.

**Substantive input should have been included from their Haitian counterpart -- CDRH.** The CDRH principal interviewed said that the role of CDRH was limited to logistics and that he had not participated in developing the substantive content aspects of the seminars. CDRH has a long history of involvement in education/training activities in Haiti. Both the now former CDRH representative and the mission felt that the organization was underutilized programmatically. The participants and the mission felt the Consortium could have benefitted from CDRH's programmatic and cultural input, especially with regard to the bill-drafting seminar.

**Haitian contacts with other legislators were strengthened as a result of this activity.** The Canadian panelists, the Quebec M.P. of the House of Commons and a deputy in the National Assembly of Quebec, deepened their ties to the legislature. A small collection of budget related publications (in French) were donated by the Canadians to the participants of the budget seminar. They also made plans to donate books and other publications to the Haitians. In addition to a commitment to provide additional materials, the Canadians planned to extend an invitation to the Haitians to visit their legislatures.

The Canadians had first come in contact with the Haitians during their Consortium-sponsored participation in the NCSL meeting in Orlando in August 1991. FIU organized the participation of two Haitian Senators, one Deputy and one staff member in the annual meeting

of the NCSL. The Haitian participants interviewed said it had also been a "consciousness raising" experience that had helped them to feel less isolated. However, they also felt that the majority of the presentations were not applicable to Haiti due to the disparate level of development. The full impact of this activity or additional follow-up activities cannot be measured due to the fact that the coup d'état in Haiti ceased FIU involvement.

### **C. RECOMMENDATIONS**

These general recommendations suggest the lessons that may be learned from the evaluation of the Consortium's seminars, training activities and conferences that were reviewed by the evaluators.

- Seminars, training activities and conferences should be integral parts of a Consortium overall strategic project plan, rather than discreet, tangentially related events.
- The Consortium should consult extensively with the intended beneficiaries to reach consensus on needs and priorities for activities and to agree on implementation strategies.
- The Consortium should follow the general guidelines for planning and implementing seminars outlined in this chapter. The impact of a seminar, training activity or conference is directly correlated with: appropriate input from the intended beneficiaries; clarity of objectives of the activity; utilization of appropriate resources; a logistical coordination of the event with proper protocol, accommodations, transportation, etc.; a focus on event management while the activity is underway; participant evaluation; and follow-up.
- The Consortium should be responsible for providing presenters with background material on the political, social and economic situation in the country(ies), including an assessment of the development of the legislature(s), with which the presenter will be in contact. Presentations in the principal language of the majority of the participants is strongly recommended. If presentations are made in another language, adequate interpretation must be provided.
- Briefing materials should also be prepared for the participants, in the appropriate language, to facilitate absorption of information presented and to increase the likelihood that information from the seminar may be retained and utilized. Training activities require that more extensive written materials be provided to the participants.
- Activity evaluations should be required that will provide immediate feedback and programmatic guidance for future activities.

- Similarly, follow-up activities are critical to improve the level of impact of these events. The Consortium should prepare a summary of the activity to distribute to the participants in as timely a fashion as possible. While in some cases a transcript may be desirable, it is often the case that an abbreviated transcript or summary that is delivered soon after the event is more valuable as a resource for the participants.
- The lines of communication between the Consortium and the USAID missions concerning seminars, training activities and conferences must be clear at all times. The Consortium should be responsible for providing the missions with information about events in their countries, as well as events in which a national may be participating in another country. If the information is not immediately available, it is reasonable for the Consortium to indicate a time frame in which the information may be expected.
- Management of LAC participant training programs must follow the policies and procedures of Handbook 10.
- Additional recommendations specific to Haiti include:

Local resources that have a history of working in the country, should be consulted on programmatic and pedagogic issues.

If the Consortium plans to work in Haiti in the future, it must develop a French and/or Creole capability.

## **CHAPTER V - MANAGEMENT INFORMATION SYSTEMS AND TECHNICAL ASSISTANCE**

### **A. BACKGROUND**

This chapter evaluates the technical components of this project -- the design of Management Information Systems (MIS); the development of a Procurement Plan; and response to requests for technical assistance as defined by the initial Project Proposal and the Cooperative Agreement.

The Project Proposal stated that the MIS component would "provide for limited commodity procurement for infrastructural support." It was designed to enable the Consortium to react quickly to the immediate needs of the participating legislatures. In addition, one of the requirements of the Cooperative Agreement was the development by the Consortium of a Procurement Plan for the regional commodities expected to be provided under the grant.

With regard to technical assistance, the Project Proposal stated that the objective of this component was "to provide short term technical assistance in response to country-specific requests, including institutional support ...." According to the proposal, the Consortium envisioned fielding teams of experts to provide selected services on short notice.

Since no equipment has been procured under the regional project for any specific congress or legislature, no evaluation is possible or required of any on-going Management Information System under the statement of work of this evaluation. Therefore, the evaluation of the MIS component of this project focuses on a review of the methodology employed by the Consortium in defining regional MIS needs and in evaluating MIS requirements for specific legislatures included in the needs assessments, in developing the Procurement Plan and in providing technical assistance. The MIS Needs Assessment evaluation can be found in Chapter III - Needs Assessments. A brief discussion on the use of regional MIS funds, the development of the Procurement Plan and the provision of technical assistance are provided below.

### **B. FINDINGS**

#### **1. Management Information Systems (MIS).**

In its initial proposal, the Consortium identified \$500,000 for equipment/procurement purchase of MIS related equipment. While the need for flexibility in this area is understood, the Consortium did not develop a framework within which the MIS component would operate. The evaluators could find no plans for dissemination of information about the MIS component to the USAID missions, nor an overall strategy that indicated when and how the MIS component should be used.

Discussions with Consortium members confirmed that the \$500,000 figure in the Project Proposal was a general estimate that was not based upon a strategic MIS plan. When the Consortium finalized the Cooperative Agreement, the figure was reduced to \$368,069 to accommodate various overhead expenses of the member institutions in the Consortium.

With the possible exception of Panama, no funds have been used by the regional project to purchase equipment for specific legislatures. Several issues have played a role in the lack of funds spent in the MIS area. First, the lack of a plan or framework for this component meant that it was seen as a source of funds that could be tapped when needed. This led to the transfer of MIS funds into other functional accounts. Second, in countries where the Consortium has negotiated buy-ins, equipment requirements for the legislatures have been included in those agreements. Third, in its original configuration, this component could be used to respond to requests for equipment from specific countries. Consortium members reported a shift in opinion with a change in project managers at AID/W. Consortium members said that the new management at AID/W considered that since this was a regional grant, the equipment should be used for regional purposes and that AID/W, therefore, discouraged subsequent requests for equipment from individual legislatures which could be included in buy-ins.

Nevertheless, funds from the regional MIS component have been used to buy equipment for Consortium members to assist them in supporting this regional project. Funds have been used to purchase computer equipment, software and office equipment as detailed below.

**TABLE 1**

**MIS Equipment Expenditures**

<b>FIU</b>	<b>\$18,365.71</b>	Purchase of computer hardware and software.
<b>SUNY/A</b>	<b>\$11,407.45</b>	Purchase of a photocopier, simultaneous translating equipment, cassette transcriber/recording system, overhead projector, notebook computer and modem and various software.
<b>CFD</b>	<b>\$ 445.97</b>	Computer carrying cases, printer cables and a desk.
<b>Total</b>	<b>\$30,219.13</b>	

Subtracting this amount from the initial budget figure of \$368,069 leaves a balance \$337,840.87 in unexpended equipment funds. It should be noted that this figure was calculated using the internal correspondence of the Consortium and is not reconciled with the project's financial statements. Thus, it merely provides an estimate of the funds unexpended in the MIS functional budget.

A complicating factor is the fact that the Panama equipment buy-in of \$250,000 was to include \$50,000 from the regional project. However, according to FIU, who took the lead in procuring the equipment, because of favorable negotiated prices on computer hardware and software, the total equipment purchase was under \$200,000. The question of whether to use the \$50,000 promised from the regional for additional MIS needs has yet to be resolved. AID/W has said that it had opposed disbursing the \$50,000 in regional MIS funds when the equipment purchased came in under \$200,000. However, AID/W then learned that the Consortium had signed an Memorandum of Understanding (MOU) with the Panamanian Assembly committing the funds. As of the writing of this evaluation, the issue of disbursement of \$50,000 to Panama for equipment/commodities was still pending.

**Procurement Plan.** The Procurement Plan was submitted to AID on August 4, 1991, one year after the initiation of the project. According to the document, the purpose of the Procurement Plan was "to guide the procurement of the commodities ... and technical assistance ... in furtherance of the Consortium for Legislative Development's Institutional Strengthening of Legislatures in Latin America and the Caribbean project ...." However, according to Consortium members, the plan was not based on any specific equipment needs that had been methodically compiled. Instead, it was an assorted list of possible equipment that could be used to strengthen Management Information Systems in legislatures. It could best be described as an estimate of equipment that would be procured under this project for some of the legislatures.

It is a mixture of items that are usually considered fixed assets such as CPUs, printers and microfilm equipment. It also includes expendable office supplies, such as typewriter ribbons, paper clips, computer paper, pens, pencils, appointment books and calendar pads. In addition, the Procurement Plan included general office equipment such as typewriters, calculators, furniture and nine window air conditioning units (anticipated for Nicaragua).

The evaluators found no evidence that this Procurement Plan was used for its stated purpose as a guide in the procurement of commodities and technical assistance. In addition, the Consortium did not use the requirement for the development of this document as an opportunity to develop a strategic plan for the MIS component.

## **2. Technical Assistance.**

Some of the highlights of this project are found largely in the Consortium's execution of this technical assistance component. Thus far, the Consortium has provided short term technical assistance to five countries: Paraguay, Dominican Republic, Belize, Guatemala and Haiti. The following summarizes the Consortium's technical assistance efforts in those countries.

### **a. Paraguay**

This small-scale technical assistance differed in that it was directed at a Constituent Assembly as opposed to a legislative body. At the request of the AID Representative in Paraguay, a four-person team was fielded for four days to assist in the design of a small-scale Management Information System for the Interdisciplinary Center for Social Rights and Economic

Policy of the Catholic University (CIDSEP). CIDSEP was assisting the National Constituent Assembly with administrative affairs. The purpose of the system was to facilitate record keeping and assist in the writing and dissemination of the minutes of the Assembly as it formulated a new constitution for the country. According to the AID Representative, following the disbanding of the Constituent Assembly, the equipment would be donated to the National Congress. However, it is unclear if the technical assistance team knew of this decision while conducting the technical assistance mission.

This was the Consortium's second involvement in Paraguay -- following the development of a Needs Assessment for Paraguay by SUNY/A six months earlier. The team: Dr. Abdo Baaklini (SUNY/A), Manuel Lorenzo (FIU), Eduardo Pereira a staff member of the Federal Senate of Brazil and Americo Munhoz Jr. from the Computer Center of the Federal Senate of Brazil visited Paraguay from November 14-18, 1991. The team designed a \$57,000 Management Information System that emphasized text-processing. Because of the unique nature of this technical assistance i.e., assistance to a temporary National Constituent Assembly that would be dissolved when a new constitution was developed, issues of sustainability were not addressed.

According to AID Representatives in Paraguay, they were generally pleased with the technical ability of the team and the rapid response time (the report was submitted on November 18th) but felt the team was limited by its lack of language ability. According to AID representatives, three of the four members of the team did not speak Spanish. AID staff in Paraguay specifically mentioned the work of Lorenzo, saying that he effectively understood the MIS situation in Paraguay and spoke effective Spanish. In response to the first draft of the evaluation, SUNY/A said that both of the Brazilians spoke Spanish, as well. The procurement and installation of the system was handled by AID, and according to AID Representatives in Paraguay it functioned as intended. The evaluation team was unable to travel to Paraguay to verify the functioning of the equipment.

#### ***b. Dominican Republic***

A bicameral legislative development committee of the Congress of the Dominican Republic requested assistance from USAID/Dominican Republic to develop a modernization plan for the legislature. The mission, in turn, requested assistance from LAC/DI. LAC/DI said the mission specifically requested SUNY/A, but LAC/DI pressed them to use FIU. Gerald Reed (FIU) became involved in this technical assistance effort, which entailed several short term visits with the objective of providing technical advice to the Dominican legislature as it developed its own modernization plan.

The USAID/Dominican Republic mission made clear to Reed that in an effort to make the product Dominican-developed and Dominican-led, he was to stay a "half a step behind" the Dominicans in his provision of technical assistance. He made three visits to the Dominican Republic in May, July and August 1992. Reed provided advice to the Dominicans on issues such as: component parts to the plan, prioritization of needs and the development of a budget

for the implementation of the plan. The end product of this collaborative effort, was entitled the "Modernization Project of the Congress" (*Proyecto de Modernización del Congreso*).

Both the USAID/Dominican Republic mission and the Dominican legislators told evaluators that they were pleased with the technical assistance provided by Reed. The change in modus operandi for this "Needs Assessment" is important because it resulted in a product that was produced by the Dominicans and as such has received a high level of institutional commitment by the Congress. The direct involvement of the intended beneficiaries in the development of the plan and the high level of institutional commitment increases the likelihood that it will be followed.

The end-product is more characteristic of a Master Plan than a critical Needs Assessment as it does not detail existing infrastructure, staffing patterns, etc. It is important to note that the committee made a concerted effort to get information on needs "from the bottom up" by conducting interviews with other legislators and employees. This ensures that the document does not merely reflect the perceived needs of the leadership but of other important elements, as well.

Similar to the other needs assessments, the first priority in this document is identified as the creation of a bicameral commission for modernization to direct the effort. However, the composition of the commission varies from those in other countries in that it is composed of four legislators (two senators and two deputies) with a multipartisan representation, plus three professional staff members of the legislatures. The two presidents of both chambers are ex-officio members of the commission, and they will still form part of the commission, if at the end of the congressional session, they no longer maintain their leadership positions. In order to provide continuity to the modernization effort, the members of the commission will remain in their positions a minimum of four years.

In the area of MIS, the report identifies eight needs such as word processing, computerization of accounting and budgetary information, etc. Because there is no critical analytical organizational and/or functional review in the report, it is not possible to determine how effective these recommendations will be in increasing the effectiveness of the Congress. The items recommended are parts of components one and two of an MIS for legislatures: legislative and administrative. The document does not address the need to consider in the future the third element of an MIS: oversight responsibilities.

While not specifically addressing the third element of an MIS, the document breaks new ground in comparison with the other needs assessments by specifically addressing the problems of developing an internal budget for the Congress. The document should have elaborated further on this issue, however, and placed it within the context of the oversight functions of a legislature.

The modernization plan also fails to detail how the plan will be financed and to address the issue of the Dominicans' capability to absorb recurring expenditures. During his third visit, however, Reed stressed the need for the Dominicans to use their own resources for much of the modernization work and that they should realize that there is strong competition for development

dollars in the international donor community. Notwithstanding these appropriate words of advice, the *Proyecto de Modernización* does not provide any indication of the Dominicans' ability to address those issues.

A buy-in agreement was not contemplated because the USAID/Dominican Republic mission plans to implement follow-on activities under its umbrella Democratic Initiatives Project (No. 517-0265). However, Dominican legislators interviewed stated that they hoped to continue to receive technical assistance from FIU with regard to revision of their internal rules of order. In an effort to be of assistance in that area, Reed sent the Dominicans copies of the internal rules from the five Central American legislatures that participate in ATELCA. FIU also proposed to allocate \$3,000 worth of subsequent short term assistance efforts through the regional grant to support the modernization plan including a grant proposal writing training session. AID/W objected to continued support for the legislature on the grounds that the USAID mission or the legislature itself should continue to fund the modernization effort. According to FIU, the CFD directed FIU to cease all assistance to the Dominican Republic in a letter dated October, 19, 1992.

*c. Belize*

USAID/Belize requested technical assistance from the Consortium in two specific areas:

1. Assistance in the design of an expanded computer system for the National Assembly; and
2. Computer information systems training in the use of hardware, programming and structuring systems.

FIU took the lead and fielded a three-person team composed of Lorenzo, Reed and Rosenbaum in November 1992. During this five-day visit, the team made: 1) technical recommendations to enhance the existing computer and information dissemination environment; and 2) training recommendations that included bringing Belizean staff to FIU for short term training in computer operations.

The technical recommendations appear to be sound in terms of assisting the National Assembly in making minor computer enhancements at minimal expense. Hardware and software recommendations total \$16,600, of which \$12,000 is for a high-speed photocopier. While the report does not indicate how this will be funded, according to FIU, USAID/Belize made it clear to the National Assembly that there were no funds available for computer equipment and that either the National Assembly would have to pay for the enhancements themselves, or obtain assistance from other donors.

The training recommendations were very basic and included training in DOS utilities, intermediate to advanced word processing and spreadsheet use for one or two of the Assembly staff. The report recommends that the training be conducted at FIU, however, it did not state why such basic computer training could not be conducted in Belize. There is no mention of

local capability to provide this, similar training or computer maintenance through vendors or distributors of computer equipment in-country. Given the relatively basic computer training that is proposed, the report should have outlined reasons why it was necessary to conduct the training in Miami. FIU Consortium members responded to these concerns expressed in the first draft of the evaluation by stating that their reasons for conducting the training in Miami were threefold: 1) they felt that the price of travel and one week's lodging in Miami would approximate the cost of in-country training (estimated at \$1,000); 2) the training offered by the Division of Information Resource Management at FIU would be provided as an "in-kind" contribution to the project and the quality of the training program would be assured; and 3) the trainee would be exposed to persons familiar with software applications within a legislative environment.

The report concludes with observations concerning personnel and administrative matters that should be more fully explored in the future. According to FIU, the team did not explore those issues further because USAID/Belize requested that the team limit its involvement to the MIS area. Considering the intrinsic linkages personnel and administrative issues have with the MIS, the team should have at least pointed out possible problem areas.

What is debatable is the use of three people for a small-scale project. The justification for Reed and Rosenbaum's presence was to provide a complementary legislative development perspective to the technical MIS expertise of Lorenzo. Yet, an analysis of the report does not indicate that an extensive legislative development perspective, beyond that already attained by Lorenzo from legislative involvement in other countries, was required.<sup>5</sup>

In addition to technical assistance, the Belizeans received an unanticipated benefit from their involvement with FIU. Rosenbaum urged the mission to assist in scheduling a meeting for the leaders of the legislature with the United Kingdom's Overseas Development Administration (ODA). This resulted in the discussion of the possibility of the ODA providing the Belizean Assembly with assistance in record keeping, similar to that being provided to the Costa Ricans.

AID/W felt that FIU misunderstood the desires of both AID/W and USAID/Belize. AID/W contended that the original request had been for one person, preferably Lorenzo, to go to Belize for a week to help the Belizeans obtain some minimal training in computers in view of the fact that IBM had recently made a donation. AID intended the technical assistance to be limited in scope and had specifically discouraged suggestions for future aid. Rosenbaum suggests that FIU provided conscientious and thorough services, while AID/W contends that FIU went beyond the scope of work and did not take AID/W guidance.

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<sup>5</sup> According to FIU, the initial intention was for one legislative development specialist (Reed or Rosenbaum) to be in Belize for the week that the MIS specialist, Lorenzo, was there. However, because of class schedule conflicts, Reed and Rosenbaum shared the week's assignment, and switched places on Wednesday. In addition, Rosenbaum's expenses were not charged to the project, but were absorbed by FIU. Rosenbaum also felt that because of his experience with parliamentary systems and his contacts with the Belizean Congress and with the Royal Institute of Public Administration in Great Britain, he should make at least a courtesy visit to the leadership of the Assembly.

**d. Guatemala**

Taking advantage of an ATELCA meeting in Guatemala in June 1991, Lorenzo conducted a short overview of the existing Management Information System (implemented under a previous grant with the CFD) in the Guatemalan Congress.

The activity resulted in a three-page memorandum that identified possible weaknesses in the system's implementation and continued viability. The following points were included:

- The document files of the In-House Database serve as rudimentary database records. These "records" are not managed by either a powerful file management program nor by a lexical data base. He noted that unless this system is changed, at some point, the timely access and retrieval of files will become difficult, if not impossible.
- There is a shortage of skilled workers.
- A concern about the system's ability to access off-site databases was enhanced when, despite numerous inquiries, the Guatemalans did not provide any information in this area.
- Lorenzo questioned how the Guatemalan Congress would implement its goal of installing end-user workstations in the legislative assembly chamber. As envisioned, the network would provide legislators with access to on-line information on bills, legislation and other decision-making information, as well as serve as an automated attendance and vote-tallying system.
- Lorenzo indicated that such a system is at a different level of sophistication and would require an enormous management information infrastructure of hardware/software and trained personnel for effective implementation. The memo concludes that while it is appropriate for the legislature to plan for this goal, this system would be several orders of magnitude more complex and work-intensive than what is presently installed. Lorenzo noted that the implementation of this system should not be seen as a simple outgrowth of the present system, but would require a new needs assessment and strategic plan.

Although it was a short technical assistance effort, the report highlights several critical MIS concerns that indicate that the original system was not designed to allow for modular expansion. What is still unclear to the evaluators is how this information was used. USAID/Guatemala told the evaluators that they were unaware that this technical assistance had been conducted. In addition, these concerns were not mentioned in SUNY/A's "Plan for Immediate Action," which was submitted to USAID/Guatemala in August 1991. Rosenbaum members indicated that it had been FIU's idea to ask Lorenzo to do the review and that his memo was shared with the other Consortium partners. SUNY/A Consortium members said they were unaware that the memo existed.

**e. Haiti**

As a follow-up to the Project Proposal presented to USAID/Haiti in May 1991, Lorenzo and Reed conducted an "Analysis of the Haitian Legislature's Management Information System" in July 1991. The team spent three days in Haiti analyzing the needs expressed by Haitian legislative officials of both chambers, especially the Questures (who are responsible for the administrative functioning of the legislatures). FIU recommended a small-scale, open-ended MIS plan capable of growth, diversification and tailored to the unique needs of the legislatures. Based on the legislators' prioritization of their needs, FIU made hardware and software recommendations that incorporated existing equipment that the USAID mission was willing to donate to the legislatures. Hardware and software recommendations totaled \$11,637.75. Complementing this were training recommendations for legislative staff.

The analysis highlights the problems that will affect the system, such as electrical blackouts and the need to have in-house staff available to provide technical support. However, the report suffers from the lack of a rigorous organizational and functional analysis of the legislature to determine MIS requirements. It is not known whether those issues would have been analyzed in a comprehensive Needs Assessment that was to be conducted under the buy-in (See Chapter III -- Needs Assessments). A coup d'etat in Haiti in September 1991, terminated government-to-government assistance and ended Consortium involvement in Haiti.

**C. RECOMMENDATIONS**

- Because systems were neither designed nor implemented, nor was equipment procured using regional funds, recommendations for improvements in this area are not now appropriate under the existing grant. The evaluators concur, however, with the strong recommendation of several legislators and staff in Panama, the USAID mission and FIU that the \$50,000 in regional funds should continue to be obligated to Panama and that those funds should be used for the library.
- A Procurement Plan should be developed only after a systematic analysis has been conducted of the needs of the legislatures in the region. It should then be used as a guide for the equipment needs and should be updated as necessary.
- The organization developing the plan should consider the issues of sustainability, technological obsolescence and the probability of local vendor sales, service and technical training.
- A team that includes persons with competent technical, programmatic and language skills should be assembled for each technical assistance request. The members of the team should speak the language of the country in which the technical assistance is being provided. If it is not possible to compose a team with competent language skills, an interpreter should be hired as opposed to relying on other members of the

team to interpret. Otherwise the team member tasked with interpreting is forced to spend significant effort on that task and cannot focus on his/her team responsibilities.

- The technical assistance teams need to be cognizant and appreciative of the local environment and include recommendations based upon local needs and the availability of local resources as opposed to predetermined generalized models.
- Technical assistance efforts should strive to include a high level of local counterpart participation in defining and prioritizing needs. Inclusion of such participation will assist in promoting the sustainability of the technical assistance efforts.

## **CHAPTER VI - GRADUATE TRAINING IN THE UNITED STATES**

### **A. BACKGROUND**

The initial Regional Legislative Development Project proposal stated the need for an academic program that would enhance the knowledge and skills of leaders in legislative development in Latin American and Caribbean countries. The task of providing graduate training in legislative development to participants was assigned to Consortium members at the University at Albany, State University of New York (SUNY/A). According to Consortium documents, SUNY/A is the only school in the United States offering the Master of Public Administration (MPA) with a Concentration in Legislative Administration. This two-year program provides students with a foundation in public administration and a specialization in the application of public administrative technologies to the organizational and political environment of legislatures. A guided internship in a U.S. legislature is required for students who have had no prior practical legislative experience. All students must take comprehensive written examinations in both the core Public Administration curriculum and in the Legislative Administration Concentration.

SUNY/A's requirements for the MPA in Legislative Administration include a core curriculum and a curriculum specifically designed for legislative administration. The core curriculum consists of seven courses:

- Introduction to Public Administration;
- Budgeting and Accounting;
- Human Resources Development;
- Economic Analysis for Public Administration;
- Computing for Public Administration;
- Research Methods and Statistics; and
- Legal Environment of Public Administration.

The Legislative Administration Curriculum Includes:

- Introduction to Legislative Administration;
- Legislative Research;
- Seminar in Legislative Administration; and
- Seminar for Legislative Internship.

Dr. Abdo Baaklini is the Director of the Center for Legislative Development (i.e. the Center) at SUNY/A. The Center at SUNY/A is part of the senior campus of the largest system of higher education in the United States. It was founded in 1970 with the goal of promoting peaceful socio-economic growth in the Third World through the encouragement of democratic legislatures. For twenty years, the Center has been involved in activities geared toward strengthening legislative organizations, nationally and internationally.

For its review of the graduate education component of the Consortium's project, the evaluation team used the framework articulated in the Agency for International Development's publication, Training for Development: A Review of Experience, written by John A. Gillies and the training criteria discussed in Chapter IV. That publication suggests that evaluators consider three aspects of graduate training that affect the institutional strengthening goals of a training project: 1) lengthy time requirements (i.e., for a participant to earn a degree); 2) nature of the candidates (i.e., participants are usually mid-level professionals); and 3) potential for organizational disruption in the home country caused by absence of qualified staff over long periods. Gillies also emphasizes the consideration of in-country workshops that focus on specific technical skills training as an alternative for institutional strengthening. Additionally, the evaluation of an academic program is a difficult task because the impact, whether it be institutional or individual, is only manifested over the long-run.

The first two concerns mentioned above are directly related to the problems of participants who are presently employed in their own countries. Because of the lengthy time requirements and the mid-level position of participants in their respective organizations, participants often find difficulties in reintegrating into the institution. If the sponsoring organization does not have a plan to use the participant's new skills, the participant is likely to become frustrated and leave the sponsoring organization.

Finally, organizational disruption in the home country (i.e., reduction in qualified personnel as a result of resignation) can also be attributed to the attractiveness of graduate credentials from universities, especially in the United States, in enhancing a participant's career. Although the outcome is advantageous for the individual and/or overall country development, it may be detrimental to the program and institution it is supposed to serve. Since AID policy requires participant training to focus on institutional development and not individual advancement, using the latter as an indicator of program and institutional accomplishment is problematic.

The LAC Project Scholars who are currently in the Master's program (MPA in Legislative Administration) at SUNY/A are: Licda. Ana Fiorella Carvajal, Legislative Assembly of Costa Rica; Licda. Beatriz Lacerda, Federal Senate of Brazil; Licda. Floria Oreamuno, Legislative Assembly of Costa Rica; and Licdo. Daniel I. Centeno Espinoza, National Assembly of Nicaragua. Licdo. Oscar Carvallo Gonzalez, formerly with the Paraguayan Center for Sociological Studies is currently enrolled in the one-year certificate program. In addition, Licda. Estela Koyner from the Legislative Assembly of Panama completed a one-semester program in December 1992.

The evaluation team visited the Center at SUNY/A and conducted a first-hand observation of the MPA in Legislative Administration program. The team attended class, interviewed participants, professors and Center staff and met with university administrators.

## **B. FINDINGS**

**Participant qualifications for admission were well-defined.** Participants had to be college graduates, proficient in English and currently employed in the legislative development field. The participants were also asked to commit themselves to return to work in their countries' legislatures. In addition, the legislatures in which they work have committed to providing them with positions upon their return for at least two years. This applies to each of the participants except Oscar Carvallo Gonzalez who anticipates working for the Center for Information and Resources for Development, a Paraguayan non-governmental organization that is assisting the legislature with its modernization and development efforts. It is also associated with Partners of the Americas.

**Although the qualifications for admission were well-defined, the recruitment and selection procedures for the program were not systematically developed.** During the initial stage of the project, there were no written materials detailing the program or its requirements, and promotion of the program was executed at a "personal" level (i.e., word-of-mouth). After a number of months passed, the Consortium developed an informational brochure with qualification and recruitment information. However that information was not widely distributed throughout the legislatures to ensure that all possible candidates would be apprised of the program. Most of the participants learned of the program through casual conversations with Consortium staff. In addition, the students were not informed of some of the requirements, such as taking the Test of English as a Foreign Language (TOEFL) until they arrived in the United States. The Center in response to the draft of this evaluation said funding for the project was not received until six months after it began, slowing the development of recruiting materials.

**Screening and selection of candidates was informal.** There were no criteria set to judge applicants' suitability for the program, nor was a formal screening and selection committee formed. In the absence of formal screening and selection criteria, the USAID missions became the de facto screeners in certain countries. In other countries, the missions processed the applications but did not screen them. In addition, AID/Washington, the sponsoring host country agencies, U.S. Embassy staff and the university admissions office intervened in the process when they felt it was important for them to do so. Baaklini indicated that he made the final reviews and selected the candidates based on his professional judgment.

**The participants reported that once the application forms were submitted, they were not informed of the status of their application.** There was no specific application or decision schedule to guide the candidates. This problem was caused by the lack of coordination among the missions, embassy staff, AID/Washington, the Consortium and the university. Therefore, no single group was able to advise the applicants on the status of their applications or the time-lines for action. Baaklini and Dawson pointed out to the evaluation team that they had difficulty advising applicants on their status because of the unpredictable involvement of the various offices.

**Once formally accepted, the participants did not go through an in-country orientation to the program, as prescribed in AID guidance (Handbook 10).** Therefore, participants were

not fully prepared at the start of their programs. The only formal orientation the participants experienced was the normal university orientation given to all incoming students. The participants received assistance in logistical matters and housing selection from the Center. However, participants complained about inconsistent and unsystematic procedures for stipends and living allowances. These problems arose because SUNY/A was not utilizing AID's Handbook 10 regulations until mid-1992.

**Interviews of participants who had been in the program for at least two semesters indicate that participants were generally pleased with the relevancy of the graduate training content.** The participants were able to apply their studies through research papers on topics pertaining to the specific needs of their own legislative development process. Additionally, most participants reacted positively towards the class instructors' teaching and supervisory skills. Participants said that there was a sufficient amount of classroom training and that the classroom activities were applicable to their countries' conditions and useful for their professional career plans. Overall, the participants were satisfied with the academic training they were receiving.

**The evaluation team noted that the participants recognized the importance of fulfilling university and graduate school requirements.** They considered the core courses required to be valuable and relevant to their needs. However, the students interviewed were unaware of the mechanism by which they could choose electives outside the Center's program. Because of this, many, of the participants may be missing out on courses that might be particularly relevant to their own countries' needs.

**In addition, with regard to the academic program, the evaluators noted that the syllabi and reading lists that the students were provided for Baaklini's classes were dated and the bibliographic citations were incomplete.** The supplemental bibliography in Appendix VI is a compilation of examples, most of which were not included on the students' reading lists. The team had hoped to include references from those lists but was unable to do so due to the incomplete citations. The participants also indicated that the university library did not contain sufficient materials on legislative development. Baaklini permits them to use his personal library on an informal basis. They also have access to resources through the university inter-library loan system, the New York State Library and the Center itself.

**SUNY/A's degree program includes a requirement for an internship with a U.S. legislature.** The participants were informed of this requirement at the time of their application. In some cases, however, the internship requirement was waived by the Center because it considered the participants to have already obtained considerable practical legislative experience. The opportunity the participants would have to work alongside their U.S. counterparts, observing and applying their new skills and knowledge to a legislative environment, is important to their professional development. The students for whom this requirement was waived missed a key element of the graduate program.

## **C. RECOMMENDATIONS**

The evaluation team supports the continuation of the academic training component of this project. However, it suggests that the following adjustments be made:

- The recruitment, screening and selection processes of the participants for the graduate program need to be refined. Should the Center choose to accept more participants, it must develop recruitment materials that define the program's goals, requirements, financial aid and application procedures. The screening of candidates should use formal criteria, a standard interview form and an interview process that is more formalized and structured. The inclusion of formal reference forms (i.e., name of recruiter and method of recruitment) in the process will assist in the recruitment and selection of qualified individuals.
- The Consortium needs to create criteria for admission and a formal committee, with designated roles, to interview and select the candidates. This will help make candidate selection more objective and create accountability in the selection process.
- From the beginning, it should be made clear that, in addition to the English proficiency requirement, participants must take the Graduate Record Examination (GRE) and Test of English as a Foreign Language (TOEFL).
- The academic program needs to follow a more systematic and individualized approach that will accommodate each participant's specific needs. This approach will maximize the participant's learning experience, make that experience more valuable for the participant and consequently, be of value to his/her country. The Center should offer additional counseling on appropriate electives beyond the legislative development courses it offers. In addition, participants should be expected to follow a pre-arranged and structured learning plan.
- The evaluation team believes that waiving the internships for some participants was inappropriate. Although the participants have experience in their home legislatures, working in a U.S. legislature would strengthen their learning experience. Therefore, all participants should complete an internship. Every effort should be made to respect the interests and requests of the participants for their internship experience. Also they should be given a separate orientation to the internships options so that they can review those options prior to selection and placement.
- The graduate program needs a component that encourages or requires feedback from participants who have completed the program and returned to their respective countries. Such follow-on of graduate training identifies the program's strengths and weaknesses and subsequently, necessary changes.

- Finally, SUNY/A has a responsibility to the students in the Legislative Administration Concentration to include relevant references on legislative development in its permanent and reference collections. This should include recent books and current subscriptions to relevant periodicals.

## **CHAPTER VII - ATELCA**

### **The Association of Central American Legislative Technicians**

#### **A. BACKGROUND**

ATELCA, The Association of Central American Legislative Technicians (*Asociación de Técnicos Legislativos Centroamericanos*), was founded in 1989 in Guatemala. Exposure to the American Society of Legislative Clerks and Secretaries (ASLCS) and the Secretary General Section of the Inter-Parliamentary Union prompted José Luis Mijangos, Chief Clerk (*Oficial Mayor*) of the Guatemalan Congress, to request assistance from the Center for Democracy (CFD) in establishing a similar organization in the region. The CFD responded to the request with funds from the previous AID grant for the Central American Legislative Training Seminar Program (CALTS), which was administered from 1986-1989. In the justification for the current Cooperative Agreement, AID stated that "continuing and strengthening ATELCA is a component of the proposed regional project that will be an important source of training and technical assistance at the staff level." Thus, support to ATELCA under this grant began with the Third General Assembly of ATELCA in El Salvador in November 1990.

The Project Paper for this agreement largely assumed that ATELCA was a "successful participant-generated regional organization" and indicated that the Consortium would make use of ATELCA as a vehicle for regional technical training seminars. That assumption was erroneous. While ATELCA has come a long way, it is far from being a "successful participant-generated regional organization." As noted below in the findings section, there were and still are serious management and organizational problems within the organization.

According to the founding statutes of April 1989, the basic objectives of ATELCA are to promote cultural and professional exchanges among the technical staff working with the legislatures in the region and to provide human resource development through courses and seminars aimed at improving the administrative functioning of the legislatures. Eligible members were identified as technical staff responsible for the functioning of the legislative process. The general membership met twice in 1989, once in 1990, twice in 1991 and once in 1992.

The Executive Committee is the administrative organ of ATELCA and is composed of one member from each of the participating countries. The positions on the Executive Committee include a General Secretary (Note: This title is different from that of "Secretary General" used by most of the chief staff members of the legislatures), a Deputy Secretary, a Treasurer and three Members. According to Consortium documents there are also four functional commissions: Oversight, Legislative Techniques and Technology; By-Law Review; International Relations; and Membership. The commissions meet at each general assembly and periodically throughout the year. Elections are held annually for the executive committee and functional commission members. In practice, each of the Secretaries General from the six countries has remained on the Executive Committee in different positions each year.

The countries rotate hosting the general assemblies. The host country decides the programmatic content of the assembly, with final approval remaining with the executive committee. Thus far, general assemblies have been held in:

Antigua, Guatemala	April 1989
San José, Costa Rica	November-December 1989
San Salvador, El Salvador	November 1990
Tegucigalpa, Honduras	May 1991
Managua, Nicaragua	November 1991
Panama City, Panama	May 1992

The early general assemblies typically included: the sharing of information on recent legislative activities by each country; general presentations on various aspects of legislative administration from visiting U.S. experts; a tour of the host country's legislature; and cultural activities.

In addition to the general assemblies, the Consortium funded three executive committee meetings -- one in Costa Rica in January 1991, another in Washington, D.C. in April 1991 and the third in Guatemala in June 1991. At the first ATELCA Executive Committee Meeting the need to seek alternative sources of funding was raised. The Committee decided to open a bank account in Panama and to require a \$2,500 per year contribution from each country. There was also discussion of a legal domicile and a staffed secretariat for ATELCA. The four permanent Commissions were operationalized and the working sessions of the General Assemblies were expanded from one to two days. The highlights of the second general assembly included: the decision to fix one single theme for each General Assembly -- a guest lecturer from the host country and an outside lecturer selected by the Consortium would develop the subject; and a discussion on the importance of producing publications, including a comparative analysis on the legislative rules and procedures of each legislature.

The Consortium sponsored one meeting of each of four permanent commissions. The Oversight, Legislative Techniques and Technology and the By-Law Review Commissions met in March 1991 in Panama City, and the International Relations and the Membership Commissions met in April 1991 in San Salvador.

Beginning in mid-1990, the Consortium also sponsored ATELCA members' participation in the annual meetings of the American Society of Legislative Clerks and Secretaries (ASLCS) and the National Conference of State Legislatures (NCSL).

The Consortium proposed to support and organize six ATELCA training program activities, anticipating at least 25 participants at each. The Consortium considers its support for the general assembly meetings and the committee and executive committee meetings to have met that commitment.

## **B. FINDINGS**

It is important to note that regional organizations with goals such as ATELCA could not be expected to develop overnight. Given the political and logistical complexities that ATELCA must face, especially in light of the fact that most of the legislatures are in embryonic stages themselves, the development of a "successful participant-generated regional organization" will understandably take time. It will also require financial and programmatic commitments on the part of the participants and the sponsors to develop the institutional and training capabilities of the organization. Meetings with legislative staff, elected officials and USAID mission personnel in the region led to the findings below.

### **1. Organizational Issues.**

#### *a. Legislative Staff Stature*

The perception of the legislative personnel is that the very existence of ATELCA has increased the stature of legislative staff throughout the region. ATELCA has grown from a four-country organization (Guatemala, Costa Rica, Honduras and El Salvador) to a six-country membership organization (adding Nicaragua and Panama) with Belize participating in the Fifth General Assembly in Managua as an observer.

#### *b. Membership Concerns*

Debate continues on the composition of ATELCA. In addition to the regional organization, each country has a national ATELCA membership organization as well. The functions of the members involved in the local ATELCA's vary widely from country to country. In some countries, legislative drafters, committee staff and administrative technicians are included in the local ATELCA membership. In other countries, only administrative staff are members. In Panama for example, the Secretary General and his assistant are the only non-lawyers that participate, while in Costa Rica those interviewed said there are only two lawyers that are members. This difference in membership has caused programmatic and organizational difficulties for the regional organization. In addition, there is the question of whether to include political staff in the local and regional organizations. A large portion of time at the general assemblies has been devoted to membership and statute issues, leaving inadequate time for programmatic activities.

The rank and file membership feel they have little voice within ATELCA. ATELCA is viewed as a top-heavy, closed group by many in the region because of the debate over its composition, the fact that the same persons are elected to the Executive Committee each year and the fact that the same people attend the meetings. Because of budget limitations, the delegations of the visiting ATELCA members are limited to four or five participants from each country. Typically, the same people from each country have attended. The local ATELCA organizations have not systematized a method for the delegation to share the information attained at those meetings with the legislative staff or even, in some cases, the local ATELCA membership, leading to the view that ATELCA is reserved for a select group of staff. The

evaluators heard repeatedly both from members of ATELCA and non-ATELCA staff that it is seen as a "closed travel club" and that there is a need to share experiences among appropriate staff in the legislatures.

Although the statutes do not stipulate it as a requirement, the leading administrative staff person from each of the countries has held one of the Executive Committee positions since ATELCA's inception. Staff complained to the evaluators that questions about this practice and the effectiveness of the management structure have been ignored.

**Members of the Executive Committee expressed concern that their priorities and the priorities of the Consortium did not always coincide.** A former ATELCA General Secretary told the evaluators that the Consortium "asked for our input, but then we didn't always feel they heard what we said." That Executive Committee member was frustrated by what was viewed as an inappropriate prioritization of resources and pointed to the significant number of reference materials and publications that the funds used for the Strasbourg trip could have provided. There were also complaints about the delay in publishing the comparison of the internal rules of order of each of the countries. Versions differ as to the timing and complexity of that task.

*c. Funding and Sustainability*

**ATELCA is dependent upon AID for financial support.** Thus far, four countries, Panama, Costa Rica, Honduras and Nicaragua have paid the \$2,500 contribution. Even if all six countries meet the contribution requirements, \$15,000 per year is not enough to pay for the general assemblies, executive committee meetings, commission meetings and attendance at ASLCS and NCSL meetings. For example, the estimated cost of the ATELCA meetings in Honduras, Nicaragua and Panama were almost \$30,000 each.

Because the Consortium and AID/W considered the Consortium's support for general assemblies and executive and committee meetings to have met its commitment to hold six training seminars, AID/W requested that the Consortium refrain from further financial support to ATELCA as of mid-1992. Since that time, ATELCA has not held an executive committee meeting or a general assembly. If the Consortium plans to continue support for ATELCA, it will be at the expense of other programmed activities. No contingency plans have been made should AID decide not to continue funding the organization.

*d. Communication Linkages*

**Informal communication linkages among staff in the region were strengthened and members of ATELCA found the organization to be a useful vehicle for the exchange of information on legislative processes.** ATELCA has proved to be instrumental in building these individual and institutional relationships. However, a more direct information sharing system needs to be agreed upon by the ATELCA membership. The majority of the members had difficulty pointing to specific ideas, recommendations or skills that were learned at ATELCA meetings and then implemented in their legislatures.

Some of the ideas that were mentioned as having their genesis with ATELCA activities included the Panamanians' effort to change their internal rules of order. Panamanian staff members said that effort was initiated due to staff exposure to alternative methods provided through NCSL, ASLCS and ATELCA meetings. Guatemalan and Honduran staff also indicated that they had used the examples of laws passed in other Central American legislatures, shared at ATELCA meetings, in drafting their own bills. The current General Secretary of ATELCA, Adilia Zelaya (Executive Secretary of the National Congress of Honduras) said she considers this a very important accomplishment. She said prior to ATELCA, she did not even know her fellow counterparts in the region, much less have the opportunity to exchange information with them. Importantly, however, no systematized method of information transfer has been developed. These linkages remain informal and depend mostly upon personal relationships among ATELCA members.

Another example of informal linkages are the border meetings that were organized through ATELCA to assist in resolving disputes. In February 1992, for example, the National Assembly of Nicaragua and the National Congress of Honduras, working informally through ATELCA Executive Committee members Adilia Zelaya and Carlos Siles (Executive Secretary, National Assembly of Nicaragua), brought legislators, municipal officials and military and police officers together to resolve a problem of illegal cross-border cattle trade.

**International linkages have also been developed.** ATELCA has been officially recognized by the NCSL and the ASLCS. Official delegations from each of the organizations have participated in reciprocal meetings. What has not developed is a systematized means of communicating between meetings whereby the resources and technical expertise of those North American organizations could be put to practical use within the region.

Contact with the European Centre for Parliamentary Research and Documentation (ECPRD) was initiated through exposure to the organization at the Strasbourg Conference on Parliamentary Democracy and the Guatemalan Colloquy. In September 1992, General Secretary Adilia Zelaya and Dr. Armando Pineda Navas, head of the legal department of the Salvadoran legislature, travelled to Luxembourg for the annual correspondents meeting of the ECPRD. Zelaya's air fare was authorized from funds gathered through the \$2,500 membership quotas and Pineda's participation was funded by the Legislative Assembly of El Salvador. That contact has led to the ECPRD sending documentation on legislative processes to ATELCA's General Secretary. This is an important linkage, but again, no systematic means of sharing that information with the other legislatures has been developed.

The evaluators observed a lack of communication with the legislators about the objectives, goals and successes of ATELCA. Few of the legislators who were members of the modernization committees knew of ATELCA. And while the presidents of the legislatures had, in most cases, heard of ATELCA, they did not have a clear concept of its composition or function. In many cases, the presidents knew of ATELCA only because of its role as secretariat for their annual Presidents' Meetings (*Encuentros*). It is important to note that through ATELCA's organization of the *Encuentros*, the staff (mostly the Secretaries General) and legislators have had the opportunity to improve their relationships. The Presidents officially

acknowledged and endorsed ATELCA at their May 1991 meeting in Managua. However, the team was unable to note any concrete advantages ATELCA had received in the way of funds or other benefits due to those improved relationships.

The lack of information and understanding of ATELCA extended to the USAID missions in the region as well. The majority of mission staff had vague notions of the organization beyond the knowledge that members of the legislative staff were visiting neighboring countries for meetings. Most were unaware of the specific content of the meetings and were unable to link changes in the legislature to ATELCA activities.

## **2. Programmatic Issues.**

There were complaints that the early ATELCA meetings lacked substance. Consortium support of ATELCA activities under this grant began with the Third General Assembly in El Salvador. Beginning with the Fourth General Assembly in Honduras in May 1991, participants said the meetings included more technical and educational components. The members pointed to the presentation by the Guatemalans of their management information system at the ATELCA meeting in Honduras in May 1991; the bill-drafting, law systematization and computerized statutory retrieval and bill status technologies presented at the ATELCA meeting in Nicaragua in November 1991; and the principles of legislative staffing addressed at the ATELCA meeting in Panama in May 1992.

According to Consortium documents, the CLD viewed the turning point toward a more programmatic emphasis to have occurred with the ATELCA Assembly in Nicaragua. With programmatic input from FIU and SUNY/A, the CFD began to focus the Consortium's involvement with ATELCA toward two areas: 1) using ATELCA as a forum for delivering orientation and training on a regional basis; and 2) actively encouraging ATELCA's members to engage their political leaders in their work so as to make ATELCA responsive to and supportive of the legislative leaders' efforts.

The evaluators concluded that the Consortium basically supported ATELCA activities without taking into account whether they contained substantive "training" components as outlined by the Project Paper. While the ATELCA members told the evaluators that they felt the general assemblies were worthwhile activities, they did not categorize them, as the Consortium has, as "training" activities but said they were more "informational" in nature. Tangible skills had not been transferred at the conclusion of these meetings. Instead, the outcomes were general consciousness raising and the realization that training was needed. The participants felt they had already understood the need for training and were ready for substantive training activities to begin.

In fact, USAID mission staff that attended the ATELCA meeting in Nicaragua raised questions about the appropriate level of information provided. The staff felt that the presentation given by Dr. Nunez of SUNY/A on the codification of laws was so elementary as to be offensive. The staff reported that other presentations were similarly concentrated on simple logical thinking processes and were inappropriate for the audience. In addition, the speakers

focused on U.S. systems without relating those systems to the Central American systems or Central American realities.

ATELCA members said that because of the diversity of ATELCA membership, portions of the audience were not interested in aspects of some of the presentations at each of the assemblies. For example, a legal advisor told the evaluators she had little interest in the technical aspects of bill archival systems and therefore left during that presentation.

### **3. Consortium Management.**

**The Consortium has become involved in management and program decisions that should have come from the ATELCA leadership and membership.** This is partly due to the fact that the General Secretary of ATELCA also has a full-time job as the chief operating officer of their assembly, and they have had little time for strategic planning for ATELCA. By default, the Consortium, principally the Center for Democracy, has become the secretariat for ATELCA. Clear indication of this was the amount of correspondence about ATELCA planning activities that originated from the CFD on behalf of ATELCA, e.g., the letter to SUNY/A requesting the Budget Seminar originated from the CFD and may have added to the confusion surrounding the type of participants expected to attend. As long as ATELCA is financially dependent upon the Consortium and ATELCA has insufficient funds to manage and prioritize, it is unlikely that ATELCA members and leadership will be able to take ownership of the organization.

**The Consortium did not sufficiently plan for support of ATELCA throughout the life of the project.** Therefore, support for ATELCA activities ended before the grant period expired. This stemmed partly from the fact that AID/W extended the original two-year proposal to a three-year agreement without increasing the budget. However, given the CFD's commitment to ATELCA activities, the Consortium should have pressed for an expanded budget to cover ATELCA activities in the third year.

It is important to note that the Consortium estimates that ATELCA's core activities have been implemented using \$144,600 in direct expenses from the grant. Using the Consortium's estimates for salary, fringe and overhead, ATELCA activities account for \$242,831 or 8 percent of the total budget for the grant. Yet, according to Consortium estimates, ATELCA activities encompassed 31 percent of all program participants. This indicates that if programmatic and managerial concerns are addressed, ATELCA could become a cost-efficient means of reaching a large percentage of program participants. (See Table 2.)

## **C. RECOMMENDATIONS**

While the concept of an "ATELCA" that brings together the legislative staff from the region to systematically exchange information and to improve their skills through training and technical assistance is a worthwhile endeavor, the current institutional and programmatic development of ATELCA has not been sufficient to accomplish those goals. AID support

TABLE 2

Estimated Cost of ATELCA Activities Cooperative Agreement No. LAC 0770-A-00-0034-00	
Activity	Total Cost
III General Assembly (San Salvador)	\$17,000
IV General Assembly (Honduras)	\$28,000
V General Assembly (Managua)	\$27,500
VI General Assembly (Panama City)	\$26,000
Panama Committee Meeting	\$15,000
El Salvador Committee Meeting	\$8,100
San Jose Executive Committee Meeting	\$5,000
Guatemala Executive Committee Meeting	\$4,000
Washington Executive Committee Meeting	\$10,000
Luxembourg ECPRD Meeting	\$1,000
Charleston, WV (ASLCS Meeting)	\$3,000
Subtotal Direct Costs for ATELCA	\$144,600.00
Caleb McCarry @ 10% LOP effort, 23.2% fringe	\$22,140.00
Kristi Bessette @ 10% LOP effort, 23.2% fringe	\$9,225
Subtotal Direct and Salary Costs	\$175,965.00
IDC @ 38%	\$66,866.70
<b>TOTAL COST OF ATELCA</b>	<b>\$242,831.70</b>

Source: memo from The Center for Democracy to the evaluation team, February 20, 1993.

should continue only with major changes in the structure of the organization itself and its relationship with the Consortium. The evaluation team recommends the following modifications.

- The Central Americans need to take "ownership" of ATELCA and feel that they have a vested interest in its survival, and the Consortium needs to remove itself as the de facto secretariat of the organization.
- The establishment of a fixed secretariat and a permanent, full-time administrator is strongly recommended by these evaluators and was mentioned several times by ATELCA members. The administrator's priorities should be to develop a programmatic and institutional plan for ATELCA, to systematize the flow of information among the countries, to respond to requests for technical assistance outside the time frame of the general assemblies and to focus on finding alternate funding sources for ATELCA.
- The members of ATELCA should re-define the composition of the organization. Because it is already a mixture of political and non-political technical, committee and administrative staff, a structure that allows for and accommodates a broad participation of the legislative staff in the region is recommended.
- The division of the membership into at least two categories is also recommended. The first category would be an "advisor" section and would include technical legal staff, committee staff and personal staff (although there are only a few that deal with substantive issues). Those persons that deal with the writing, analyzing and development of the laws would participate in this section. The second category would be a "legislative administrators" section and include staff from the clerk's office, the daily record, the library, etc. Those persons responsible for the daily functioning of the legislature and for tracking and processing the legislation would participate in this section. Presentations at the general assemblies and special meetings should be geared toward the training needs of these two separate tracks and meetings should be held simultaneously. If presenters and resources permit, these tracks could be divided further as well. Some of the activities suggested by ATELCA members included training in budget analysis, computer operation, library systems management and improved bill-drafting techniques.
- An institutional structure that allows for the input and participation of the rank and file members needs to be developed. Some possible changes include rotating participation in the meetings, quarterly inter-active evaluations and a newsletter providing information on ATELCA activities that includes contributions from the members. In addition, a transcript or summary of each activity should be provided to the membership in a timely fashion.
- The substance of the general assemblies needs to be strengthened further from informational to training activities and should include the elements found in the seminar organization and training component section found in Chapter IV. In

addition, special emphasis should be placed on: 1) an assessment of the participants prior to the activity, including their skill levels and expectations from the training; 2) a curriculum for the training session in Spanish; 3) in-depth training presentations in Spanish, if at all possible, with time for practical applications; 4) a summary of the main components of the training provided to the participants at the completion of the training session; and 5) follow-up activities to ascertain if the participants understood and are using the skills presented.

- Some of the ideas for substantive ATELCA activities provided to the evaluation team by a former General Secretary of ATELCA included: publication of a dictionary of parliamentary terms, a manual of parliamentary procedures, a manual on how to be a legislator and a summary of the constitutions of the countries in the region; regional seminars to update ATELCA professionals in the areas of law, economics, social issues and politics; a program of internships in legislatures in the region and in the United States; the establishment of centers for documentation and training; and programs to improve the public reputation of legislators and staff.
- More emphasis needs to be placed upon informing the elected political leadership in these countries and the local USAID missions of the existence, goals, activities and accomplishments of ATELCA. The best way to gain political and financial support from those quarters is to provide concrete reasons why ATELCA is worthy of support. To that end, ATELCA should remain the secretariat for the (Legislative) Presidents' Meetings (*Encuentros*). Attempts should be made to explain ATELCA's objectives and successes to date at those meetings, and the Presidents should be urged to support ATELCA financially. In addition, the ATELCA membership should invite at least one member of the legislative modernization committee in each congress to play a structured role in the ATELCA meetings. USAID missions should be provided with agendas and invitations to the meetings with adequate advanced notice and should receive transcripts of the proceedings and the ATELCA newsletter.

## **CHAPTER VIII - RECOMMENDATIONS FOR FUTURE LEGISLATIVE DEVELOPMENT PROJECTS**

### **A. REGIONAL LEGISLATIVE DEVELOPMENT PROJECT (LAC-0770-A-00-0034-00)**

Although this project did not prove to be as successful as anticipated, AID's goal of supporting democratic development through the strengthening of Latin American legislatures should not be abandoned. The reasons for this are straightforward.

- AID has made the strengthening of democracy throughout the world a high priority. The legislature is a critical component part of a representative democracy. It should act as a viable counter-balance to the executive and judicial branches.
- The legislatures in Latin America are particularly weak given a history of strong executives. As such, they are particularly deserving of support to assure that balance of power is attained and to assist in the stabilization of democracy.

This project was a first step toward:

- Raising the consciousness of the governments in the region to the fact that a functioning legislature is an important part of a democratic society and a priority area for AID;
- Improving the profile of the legislators and staff within their countries, the region and among their counterparts in other countries outside the region;
- Focusing legislators and staff on the need for modernizing and strengthening legislative capabilities and encouraging the implementation of both organizational and technological reforms; and
- Drawing the attention of the legislators to the fact that professionalization of the staff is desirable and may enhance the legislators' ability to perform their functions in a more productive manner.

### **B. FUTURE LEGISLATIVE STRENGTHENING PROJECTS**

#### **1. Caveats for AID.**

Given that AID's long term plans include continued work in this area, there are several issues that must be taken into consideration when designing future projects.

- Projects must contain a measure of flexibility to accommodate the changing needs and priorities of the legislators. Legislatures are fluid organizations with frequent leadership changes, sometimes yearly. Needs for training and support vary depending upon political, social and economic conditions.
- AID should continue to work through a grantee or contractor in implementing these projects because of the political sensitivity of working with the legislatures in these countries. It is important that the project include legislators and staff from all political perspectives to ensure that democratic values are shared with all parties and to enhance project legitimacy.
- It must be understood that legislative development is a process that to be sustained will require time, effort and resources. The strengthening of legislatures will not occur immediately and can not be measured with traditional indicators. Improving the image, capacity and efficiency of the legislatures requires a long term commitment.

## **2. Support for a Regional Approach.**

In addition to bilateral projects to support legislative strengthening, a need has also been articulated by the missions for a regional project. The rationale for such an approach includes the fact that regional training activities promote integration, the exchange of information and experiences and assist in the development of support systems for democracy. Activities under these projects have also proven to be a cost-effective means of disseminating information.

The components of a regional project could include:

- **Technical assistance, training seminars and workshops for legislators and staff to enhance their legislative, administrative and oversight capacities.** Some specific legislative development issues mentioned in the region for future training sessions include: executive/legislative relations; ethics; budget analysis and development; library and archive maintenance and constituent relations. Also, orientation seminars for new legislators should be continued. It is important to note that the topics and content of these seminars should be defined only after discussion with a broad range of sectors with vested interests in functioning legislatures. Taking into account that the legislature does not operate in a vacuum, these discussions to define priorities may include, but need not be limited to: a cross-section of the leadership, membership and staff of the legislature; political party leaders; and members of nongovernmental organizations with interest in the legislature. AID/Washington and USAID mission input should also be considered, and communications between AID/W and the missions must be open in both directions concerning regional projects.

- **Support for both longer term and shorter term education, training and internships for legislative staff.** In addition to training in the United States, options for education, training and internships in the more advanced countries in the region should be explored, as well as shorter term in-country training programs. The advantages of training in the region in terms of cost-effectiveness, cultural similarities and language compatibility should be weighed against both the gains and the costs of long term programs outside the region.
- **Projects should be designed to support legislators, staff and related non-governmental organizations.** Training activities need to be geared toward all three. Legislators need training to assist them in performing their duties, and staff training is essential to provide for the strengthening of legislatures on a continuous basis. In addition, training that reaches out to universities and non-governmental organizations with interests in the legislature serves two purposes: 1) it encourages those organizations to act as resources for the legislatures; and 2) it expands the base from which legislative staff may be drawn.

### **3. The Implementor.**

Adequate implementation of the project is crucial. As mentioned in Chapter II, the design for this project was valid, and it was basically geared to provide the components mentioned above. However, the implementation of those components was weak. The evaluators recommend that in order to attract the broadest spectrum of possible grantees/contractors, an open bidding process be conducted. Organizations considered under this bid process should possess the following characteristics:

- **Sufficient organizational, technical and programmatic capabilities to meet the objectives of both the missions and the beneficiaries.** In addition to content knowledge, the grantees/contractors should also possess demonstrated cultural competence (including language skills) and proven access to technical assistance from practicing legislators and staff who would be able to participate in the project.
- **Familiarity with AID requirements and regulations.** Rules and regulations of AID must be fully understood and carried out. In addition, the implementing organization must support fully the plans and objectives of AID.
- **Organizational stability.** If AID considers contracting a consortium to undertake future legislative development projects, that consortium must be able to demonstrate collaboration among its members and proof of organizational stability.

### **C. RECOMMENDATIONS FOR IMMEDIATE ACTION**

- **In order to assist in the planning of the above-mentioned program, AID should develop an inventory and directory of organizations, institutions and key resources in legislative strengthening.** The directory should include a summary of the expertise and skills of those organizations in order to identify the strengths and weaknesses of the potential grantees/contractors for the regional legislative strengthening project. It would also help "backstop" the USAID missions with information on legislative development resources. This would address the request of the missions for support in accessing information, expertise and technical skills in the legislative development field.
- **AID/Washington should consider the continuation of a small amount of institutional and programmatic support to ATELCA (either to the organization directly or through an advisor) under conditions that require measurable progress toward self-sustainability.** That assistance must be clearly defined in terms of goals, objectives and expected outputs. In addition, if an advisor is to be involved, the role of the intermediary must be clearly defined in a way that contributes to ATELCA institutionalization and ultimate self-sufficiency. An immediate step could be to develop a two to three year action plan that includes a clear definition of the goals of the organization, clarification of membership criteria, the opening of an ATELCA office in the region, training priorities, a plan to strengthen communication within the organization as well as between the legislative staff members of ATELCA and their host legislatures, regularized dissemination of information about ATELCA's activities and other publications and a plan to secure funds to ensure its perpetuation beyond AID support.

## **APPENDIX I**

### **Excerpt from Evaluation Scope of Work**

## **APPENDIX I**

### **Excerpt from Evaluation Scope of Work**

The objective of the evaluation is to evaluate the programmatic performance of the Consortium for Legislative Development in implementing the Legislative Strengthening project. The evaluation entails: a) determining the effectiveness of the program in achieving stated objectives, and in dealing with unanticipated situations or opportunities; b) grantee performance in planning and administering technical and financial resources; and c) the impact of training and technical assistance activities on participants, on institutional development of the legislative bodies, and to improved relationships and constructive dialogue among Central American legislators and political leaders, and with fellow parliamentarians in the United States and other democracies.

The formative evaluation of the Legislative Strengthening project will make recommendations, as applicable, on design or implementation changes to improve project effectiveness in year 3 of the project.

### **STATEMENT OF WORK**

The evaluation will center on the Consortium for Legislative Development's performance in achieving project objectives.

The Cooperative Agreement between AID and the Center for Democracy, lead institution of the Consortium for Legislative Development, contains core and buy-in components. This evaluation will focus on activities funded by the core grant, but the contractor also will be expected to include information from missions working with the Consortium under bilateral or buy-in arrangements.

The scope of work and supporting budget provides for field visits to Missions that have either bought into the Cooperative Agreement or have negotiated bilateral agreements with the Center for Democracy on behalf of the Consortium for Legislative Development. These missions are mainly in Central America (and Haiti). However, because the Consortium has provided some assistance to other countries, such as Paraguay and the Dominican Republic, funds are being made available for limited travel to and, at a minimum, telephone communication, with other selected posts outside of Central America, such as Paraguay and the Dominican Republic. Itinerary and justification for travel to South America will be approved by the AID Project Officer in advance.

Because a management assessment is being conducted by a separate contractor, the primary focus of this evaluation should be on more substantive -- as opposed to administrative or managerial -- issues, such as the appropriateness of the Consortium's direction/approach in supporting legislative development; evaluation of implementation of project activities; impact of the work performed under the grant including systems to collect baseline data and measure impact of assistance; and technical capability of the grantee in identifying needs and implementing project activities.

Nevertheless, sound project management is critical to successful implementation. Therefore, the contractor, will address the management of the grant to determine its effectiveness as a means of providing technical assistance and training to Latin American legislatures.

The contractor also will identify lessons that have to or are likely to contribute to or constrain project success, such as political will, small-scale vs. large-scale approach, interregional dialogue, etc.

In carrying out the evaluation, the contractor will, at minimum, complete the following tasks:

**A. REVIEW BASIC PROJECT DESIGN ELEMENTS:** Review the basic project design, i.e., five components (needs assessments; regional seminars; technical assistance; legislative and management information systems; and degree, non-degree and internship programs), and assess whether the project design was appropriate, relevant, and actually produced desired results.

Interview members of the Consortium, LAC/DI and Mission personnel. Review progress reports (quarterly reports and SARs). Review the quality of staff and consultants used for technical assistance, training and information dissemination. Some missions may be contacted by phone instead of through visits. It is anticipated that the team (or specific team members) will visit, but not be limited to, Panama, Costa Rica, Guatemala, and Nicaragua.

The contractor will make recommendations for improvements in any future modification of this project or future project designs which would enhance achievement of the purpose and goal.

**B. MANAGEMENT:** The contractor will review the management assessment report prepared by MSI, which should provide information on the financial and administrative management of the grant. If information contained in that report is insufficient for the overall programmatic evaluation purposes, the contractor will collect and evaluate additional data. The contractor will review Consortium's organizational structure. It also will review the interrelationship among Consortium members and between LAC/DI, the Missions and the Consortium. How does the consortium determine and manage requests for assistance. How does the Consortium determine the division of labor in implementing project activities? To what extent is that decision made by the Consortium or by the Missions?

**C. TECHNICAL ASSISTANCE, TRAINING, LEGISLATIVE/MANAGEMENT INFORMATION SYSTEMS AND REGIONAL EXCHANGES:** The contractor will assess the Consortium's institutional capability to assess the needs of and supply adequate levels of technical assistance and training to Latin American legislatures and other requirements described under the five components of the project grant. Specific examples will be discussed, and recommendations will be made on how this role can be enhanced, if appropriate.

Evaluators will meet with selected Central American parliamentarians and professional staff, USAID and US Embassy staff and other individuals/organizations that may have had opportunities to observe implementation of the project to obtain information regarding the validity of the objectives and priorities developed by the Consortium and of the quality and relevance of the inputs (e.g., technical assistance, seminars, trips) with respect to meeting host country or regional requirements .

The contractor will review a sampling of reports and documents prepared under the grant.

Specific questions to be answered include:

-- How were countries that participated in Consortium activities selected? Did the Consortium apply its resources and expertise in countries that could best benefit from it? What was the Consortium's approach to selecting countries and, once identified, to providing assistance?

-- How successful is the Consortium in identifying priority topics for regional conferences/research or future activities? Is there a consistent approach to selecting, implementing and evaluating project activities? What is the benefit/impact of conferences or other activities convened under the grant, and what is being done to adequately follow up on such activities to ensure continued impact? Are the priority areas identified in the needs assessments and project designs appropriate? Are there information gaps that should be addressed?

Are the assessments conducted under the grant adequate? Are documents produced relevant and useful in improving institutional or human resources in Latin American legislatures? -- Is the Consortium completing project activities in a timely manner? Has the original scope of work been modified in light of experience acquired during implementation? If so, what are the modifications? The Contractor should describe completed activities and comment on the Consortium's performance in managing the program.

-- Did conference participants and graduate students encounter meaningful and applicable information relevant to improving the operations of their own national legislative bodies? Was the information they obtained adequately explained and were continuous linkages established to permit optimal use of knowledge gained? Is there evidence that the experiences of the participants have brought about changes in local legislative functions? Have the participants communicated their observations to others (multiplier effect)? What suggestions to participants or those who have observed the participants have for improving future activities of a similar nature?

-- What changes, if any, are taking place within Latin American legislatures as a result of the project? Are the changes being systematically institutionalized in any way? Are lessons learned being recorded and transferred to other countries and shared with pertinent institutions? Is there a system in place to measure the impact of the training/technical assistance in terms of the stated project purpose? If so, is it adequate? If a formal system does not exist, recommendations will be made for determining the effectiveness of training/t.a. on an ongoing basis.

-- Does the program succeed in promoting informal and creative dialogue among the legislators from the various countries who participate in regional project activities? Have they continued to communicate outside the context of the project? Have legislative leaders maintained contacts with their counterparts in the U.S. or Europe? Do contacts include others in the national legislatures or political parties who did not participate directly in project activities?

-- Does the project provide a model for stimulating regional communications and cooperation among democratic legislatures? Did attitudes toward and support for a regional dialogue among Central American democracies improve as a result of the project? What effect has the project had on the creation of formal regional mechanisms or governmental bodies?

-- Can recipients of AID assistance under this project suggest any evidence that the project has served to promote greater interest and support by legislators in other countries for the democratization process in LAC?

-- Does the Consortium have within itself the capacity to deliver the services required? To what extent has the Consortium hired experts from outside member institutions? The contractor should review the various kinds of inputs provided to date by the Consortium (e.g., staff training, outside visits, direct technical assistance, reports/studies) to determine if some have been more effective than others in meeting the project's purpose. Evaluators should examine the rationale underlying choices in program approach

(e.g., training legislators vs. investments in structural reform or improvements in the permanent staff of the National Assemblies).

-- The contractor will report other relevant observations and experiences that relate to the project's impact or influence on strengthening the role of Latin American legislatures in the democratic process.

Using project objectives as a reference point, the contractor will prepare recommendations/lessons learned based on the following: -- the effectiveness of the technical assistance to the legislators and staff. -- the effectiveness of the legislative and information management systems to users. -- the effectiveness of assistance to regional organizations, specifically, ATELCA. How has ATELCA developed and what functions is it serving? How is its impact being measured?

-- The contractor will review materials, reports, and curriculum specially prepared for training programs and seminars. Individuals currently participating in degree programs will be interviewed. How were participants selected and how will the training benefit the host countries upon completion? Are the graduate students selected the most appropriate candidates for training?

-- Is consideration being given to gender issues in the design, implementation and evaluation of project activities? If so, in what ways are gender concerns being addressed? What is the anticipated and unanticipated impact?

## **APPENDIX II**

### **Consortium Capability Statement**

## CONSORTIUM CAPABILITY STATEMENT

This plan will be implemented by the Consortium for Legislative Development, which will be assisted by other professional and academic institutions. Below is a capability statement for the respective member institutions of the Consortium as well as a brief description of the institutions which may be asked to assist the Consortium in the implementation of the plan.

### A. The Consortium for Legislative Development

The Consortium for Legislative Development is a coordinated, three-institution enterprise designed to bring the resources and experience of its principals and their institutions to bear on a serious, non-partisan, legislative development project for the Americas. The capability statements of the Consortium's lead institution, The Center for Democracy, and of its academic pillars -- Florida International University and the University at Albany, State University of New York's Center for Legislative Development are detailed below.

*The Center for Democracy* is a Washington-based, tax-exempt, non profit and non-partisan educational institute incorporated in 1984 with an independent and strongly bipartisan board of directors. The President of the Center is Allen Weinstein who has received a number of national and international awards, including the 1986 United Nations Peace Medal for "his extraordinary efforts to promote peace, dialogue, and free elections in several critical parts of the world," and, in 1990, the Council of Europe's prestigious Silver Medal for meritorious work with the Council's Parliamentary Assembly.

The primary purposes of the Center are to promote the democratic process, encourage dialogue on international conflicts, and work to strengthen democratic institutions in both the United States and abroad. To support these goals, the Center sponsors studies and programs conducted on a non-partisan basis that address the fundamental issues of democratic societies. The Center has won international acclaim for programs conducted on five continents. It works closely on an informal basis with the United States Congress and with legislatures and political leaders of parliamentary democracies in Latin America, the Caribbean, Western, Central and Eastern Europe, Africa and Asia.

A major commitment of The Center for Democracy's work has been to Latin America, particularly to the process of strengthening political institutions in the developing democracies of Central America. The Center has committed a substantial portion of its financial and staff resources since 1986 (in part with timely and effective support of the Agency for International Development) to organizing a series of forums and seminars in the region. These programs, such

as the three-stage Central American Legislative Training Seminars (CALTS), have provided legislative leaders and others from throughout the Americas with an opportunity to meet both formally and informally to discuss regional issues. Several programs provided technical and administrative assistance and training to the legislature of Belize, Costa Rica, El Salvador, Guatemala and Honduras. The programs, conducted in Latin America, the United States and Europe, have led to collaborative relationships with the legislatures and their leaders, both past and present. Similar ties exist with inter-parliamentary organizations in South America, such as the Andean Parliament.

The Center has recently completed a three-and-a-half year democratic support project in Guatemala (1987-1991) funded by a cooperative agreement with USAID/Guatemala. The Center's Consortium program manager, Caleb McCarry, served as the Center's program director in Guatemala designing and implementing this project with the Guatemala National Congress from 1988 to 1990. He has extensive hands-on program experience in legislative and democratic development in Latin America, Europe, Africa and Asia. This technical assistance project, focused on the National Congress, was based on programs developed collaboratively with the leadership of the Congress with substantive collaboration of USAID project officers. The project was a pioneering effort in the current AID-funded legislative development program which began with the Center's CALTS program in 1986. Within the Guatemala project, the Center organized orientation and training programs for the full membership of the Congress and U.S. based instructional visits to state legislatures for key professional staff.

The Center also organized several important legislative training seminars for members and staff of the Congress examining and reinforcing the Congress' role in several critical areas including the budgetary process, press and public relations, and multipartisan cooperation on legislative matters. In 1990-1991, the Center implemented the installation and training phases of the first major management information system developed in a Central American legislature. This system has automated the Congress' principal legislative functions and components including: its technical legislative department, where bill drafting, indexing and committee support services are performed; its congressional record operation; its administrative services; its accounting department; the Directorio; and the Plenary Chamber.

The Center has continued its work on the regional level with financial and programmatic support for the *Asociación de Técnicos Legislativos Centroamericanos* (ATELCA), a regional association of Central American legislative clerks developed in cooperation with, and modeled after, the American Society of Legislative Clerks and Secretaries.

In addition, following the national elections in Nicaragua, the Center was asked by AID to conduct an assessment of the Nicaraguan National Assembly's needs. This task was implemented as a Consortium for Legislative Development activity in October 1990. In short,

the Center enjoys extremely close cooperative relationships with the democratically-elected legislatures of the LAC region and has had concrete experience in the design and implementation of a major legislative development project. Moreover, the Center conducts its programs within the framework of a distinctive non-partisan approach which has engendered relationships of trust with the legislatures with which the Center has collaborated.

*The Center for Legislative Development, University at Albany, State University of New York*, is part of the senior campus of the largest system of higher education in the United States. The State University of New York (SUNY) is an interlocking network of sixty-four colleges and universities distributed throughout the State of New York.

The Center for Legislative Development was founded in 1970 with the aim of fostering peaceful social and economic growth in developing countries through the encouragement of democratic institutions, particularly legislatures. Not content with the traditional focus of developing assistance to government executive and judicial bureaucracies, the Center has championed the notion of the legislature as a key, but neglected, component in the social and economic development process. It rejects the view of legislatures as obstructions to development, focusing instead on crucial policy functions that only legislative institutions can perform.

For the past twenty years, the Center has been in the business of strengthening legislative organizations, at home and abroad, in Central and South America, Africa, the Middle East, Asia, and most recently in Hungary, where it is has been directing a USAID-funded legislative development project since 1990. Professor Abdo I. Baaklini, Director of the Center, has studied and consulted with more than 50 legislatures around the world. The Center's Deputy Director, Dr. Charles S. Dawson, served with the New York State Legislature as a professional staffer for ten years.

The Center brings together resources from a wide range of legislative institutions around the world and utilizes an extensive international network of legislators, professional staff, academics, and professional organizations concerned with legislative development. The faculty associated with the Center includes specialists in public administration, political science, economics, public policy, law, decision-making, and systems and information sciences. More than 700 legislative staff and legislators have graduated from the programs sponsored by the Center, which is the only institution in the world offering academic and/or applied studies in legislative administration, research, and information.

The Center for Legislative Development's programs are carried out primarily through the Department of Public Administration, within the Nelson A. Rockefeller College of Public Affairs and Policy. Rockefeller College consists of four public policy oriented graduate schools

(Public Affairs, Criminal Justice, Social Work, and Information Science and Policy) as well as the Professional Development Program, which develops and administers a wide array of professional development courses and workshops for state and local government officials. Through its location within the Graduate School of Public Affairs, the Center is able to offer Masters of Public Administration (MPA) and PhD degrees in Public Administration with concentrations in Legislative Administration. The Center also offers non-degree programs, legislative institutes, and short-term professional programs for senior staff who prefer not to pursue a degree program.

Rockefeller College offers resources which are impressive not only for their depth, but also for their breadth. With a combined faculty of 100 scholars, more than 50 additional researchers and technical specialists, and nearly 1,000 graduate students, Rockefeller College constitutes one of the largest concentrations of expertise in public affairs and policy at any single institution in the United States. Rockefeller College has its own Graduate Library for Public Affairs, which brings together under one roof collections for public affairs, social welfare, criminal justice, and information and library sciences. The growth of its own collection and its increasing access to the resources of other institutions makes the Graduate Library for Public Affairs one of the best public affairs libraries in the country and enables it to facilitate and assist cross-disciplinary, doctoral-level research and to function as a base resource for providing both materials and access to information in a variety of formats and locations.

*Florida International University*, a member of the State University System of Florida, opened its doors in 1972. It now enrolls over 20,000 students and expects to add another 10,000 students during this decade. The institution has an explicit mandate of service to the Americas.

The FIU School of Public Affairs and Services is the University's academic unit addressing the needs of public service agencies and other organizations in South Florida, the Region and Latin America. The School, which has been growing significantly in academic excellence (as evidenced by its recent election to the most elite status within the National Association of Schools of Public Affairs and Administration) specializes in professional development, problem assessment, policy formulation and program implementation. Its sixty faculty members are organized in the Departments of Criminal Justice, Health Services Administration, Social Work, and Public Administration. They offer high quality credit and non-credit programming from the Bachelor's through the Doctoral level. Non credit activities are continuous in Miami and abroad. For five years, the faculty and staff of the School worked with the United Nations Institute for the Prevention of Crime and Treatment of Offenders (ILANUD) through the USAID Administration of Justice Project. Its faculty have delivered ancillary services in Bolivia, Costa Rica, Ecuador, Guatemala, Chile, Argentina and Columbia for USAID and other international donor organizations.

The School is headed by Dean Allan Rosenbaum, who has 25 years of experience researching and working with both state legislatures and the U.S. Congress and in advising state governments on their legislative organization and functioning. The School's Program Manager for the Consortium for Legislative Development, Gerald Reed, has six years of experience working as a state legislative staffer and two years experience working in the Latin American region, including USAID funded activities with both the Costa Rican and Guatemalan legislatures. The Chair of the Department of Public Administration, Harvey Averch, who has held a number of senior and presidential appointments at the National Science Foundation, oversaw all of its technological program activity and its national science and technological policy development activity, including considerable work with the U.S. Congress and senior level foreign government officials. The Public Administration department has successfully delivered a multi-year training program for Mexican government officials and the School itself has a number of faculty with experience in Latin America and U.S. state and federal policy making.

Supporting logistical needs of the University faculty and staff is the University' Division of Continuing Education with four professionals and a dozen para professionals, the Controller's Office which handles six million dollars and year in federal funding, including two to three million in USAID funding; its Center for International Affairs which coordinates all international activities at the University and the Division of Sponsored Research Training, the principal point of contact with USAID contract officers, and the administration of ten million dollars per annum in contracts and grants.

## **APPENDIX III**

### **Documents Reviewed and References Consulted**

## **APPENDIX III**

### **Documents Reviewed and References Consulted**

<b>DOCUMENTS REVIEWED</b>
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#### **GENERAL CONSORTIUM DOCUMENTS**

LAC Regional Project Paper (including proposal submitted by the CLD in June 1990)  
Cooperative Grant Agreement between AID and the Consortium 8/30/90

#### **Sub-Agreements**

Cooperative Agreement between CFD and FIU 8/1/90  
Cooperative Agreement between CFD and SUNY/A 8/1/90

#### **Quarterly Reports**

1st Quarterly Report First Year 8/1/90-10/31/90 (revised)  
2nd Quarterly Report First Year 11/1/90-1/31/91 (revised)  
3rd Quarterly Report First Year 2/1/91-4/30/91  
4th Quarterly Report First Year 5/1/91-7/31/91  
1st Quarterly Report Second Year 8/1/91-10/31/91  
FIU Quarterly Report August-October 1991  
2nd Quarterly Report Second Year 11/1/91-1/31/92  
3rd Quarterly Report Second Year 2/1/92-4/30/92  
4th Quarterly Report Second Year 5/1/92-7/31/92  
1st Quarterly Report Third Year 8/1/92-10/31/92

#### **Illustrative Work Plans**

Year 1 work plan 8/1/90-7/31/91  
Year 2 work plan 8/1/91-7/31/92  
Year 3 work plan 8/1/92-7/31/93 (revised)  
MEMO: To LAC/DI from CLD -- Draft text for vetting CLD work plan with USAID missions 5/18/92

#### **Other General Consortium Documents**

AID Project Status Report 10/1/90-9/30/91  
CLD Quarterly Meeting Transcript 7/23-24/92  
Minutes from Quarterly Meeting 7/23-34/91  
Minutes from Quarterly Meeting 10/29/91  
Minutes from Quarterly Meeting 2/25/92  
Minutes from Special Consortium Meeting 10/9/92

## **Regional Cooperation Agreement Outputs**

**Commodity Procurement Plan (Source: 1st Quarterly Report Second Year 8/1/91 -- 10/31/91  
Evaluation Criteria (revised 8/92)**

### **Correspondence:**

Exchange of letters between CFD and FIU concerning equipment needs. FIU: 11/21/91, and CFD: 2/20/92

Exchange of letters between CFD and SUNY/A concerning equipment needs. SUNY/A: 1/27/92 and 6/9/92, CFD: 2/20/92

Internal memo concerning simultaneous translating equipment 2/14/92 and 7/6/92

Various correspondence, agenda and resolutions for the Fourth Meeting of Presidents of Central American Legislatures 4/3-4/92

CFD memo concerning CFD equipment 11/12/92

## **Cooperative Agreement Modifications/Add-ons**

Amendment No. 1 6/18/91 -- El Salvador funding for orientation seminar

Amendment No. 2 7/31/92 -- incremental funding

Costa Rica Add-on

Mod. No. 3 8/30/92 -- Haiti Buy-in

Mod. No. 4 9/16/91 -- Panama Buy-in

Mod. No. 5 1/3/92 -- Nicaragua Buy-in

Mod. No. 6 1/28/92 -- incremental funding

Mod. No. 7 6/1/92 -- incremental funding

Mod. No. 8 9/24/92 -- Nicaragua incremental funding

## **Center For Democracy (CFD)**

Evaluations of Regional Programs, Central American Legislative Training Seminar (CALTS), and the Guatemalan Bilateral Project, Strengthening of Democracy by Checci and Company 3/28/90

### **Correspondence:**

MEMO from CFD to Evaluation Team re: responses to Evaluation Team's Initial Analysis 2/20/93

## **Florida International University (FIU)**

### **Correspondence:**

MEMOs to evaluation team re: FIU/Consortium activities 2/8/93; 1/12/93; 1/6/93; 12/12/92; and 6/8/92

MEMOs to Consortium Partners re: The Nicaragua Needs Assessment 11/6/90; 11/14/90; and 11/26/90

## **State University of New York/University at Albany (SUNY/A)**

Implementation of Democratic Initiative Programs: Organizational and Management Dimensions by  
Abdo I. Baaklini 12/19/92

Summary of Regional Project Activities 12/24/92

Final Project Report: Democratic Institution Building in Hungary 10/92

Description of the curriculum for the Masters in Public Administration at the University at Albany (with  
particular emphasis and class syllabi for courses in the Legislative Administration Concentration)

Description of degree, certificate and non-degree programs in Legislative Administration offered by the  
Center for Legislative Development, University at Albany

### **Budget Issues**

3rd Year budget proposal from the Consortium

Spreadsheets with actual expenditures by Consortium partner:

FIU from February 1991 -- December 1992

SUNY/A from March 1991 -- July 1992

CFD from July 1990 -- December 1992

Correspondence:

Letter to CLD from AID asking for clarification of 3rd year budget proposal 5/19/92

CFD response to AID concerns about 3rd year budget proposal 5/22/92

Letter to CLD from AID questioning request for additional funds for the 3rd year 6/29/92

Letter to CLD from AID stating continuing concerns about 3rd year budget 10/15/92

Letter to CLD from AID re: budget revisions 10/26/92

### **Management Assessment**

Management Systems International (MSI) Draft Final Management Report on the Consortium for  
Legislative Development Summer 1992

Correspondence:

MEMO to FIU from CFD re: implementation of financial reporting by functional budgets 9/15/92

Responding MEMO to CFD from FIU 10/5/92

Responding MEMO to CFD from SUNY/A 10/5/92

### **ATELCA -- (ASOCIACION DE TECNICOS LEGISLATIVOS CENTROAMERICANOS)**

Agenda for American Society of Legislative Clerks and Secretaries Meeting 10/22-26/89

List of participants, agenda and proceedings for the Second General Assembly of ATELCA,  
Costa Rica 11/89

Agenda and participant list for Third General Assembly of ATELCA, El Salvador 11/3/90

Acts, resolutions, agenda and list of participants for 4th General Assembly of ATELCA, Honduras 5/91

Sixth General Assembly of ATELCA Transcript, Panama, 5/21/92

Choluteca Resolution 2/7/92

Projected budget for ATELCA meeting in Honduras dated 4/24/91

- Archive of ATELCA meetings from 4/22/89 through 4/14/91  
 ATELCA Committee Reports and Proposals dated 3/23/91, 4/5/91 and 4/11/91  
 Modification of ATELCA Statutes (n.d.)  
 ATELCA promotional brochure 9/91  
 Agenda, participants and proposed revisions to the Statutes for the 5th General Assembly of ATELCA, Nicaragua 11/91  
 Activity report on Regional Technical Assistance and Training Workshops  
 Budget for ATELCA meeting in Nicaragua dated 12/4/91  
 Transcript of various meetings, acts, agenda and participants of the 6th General Assembly of ATELCA, Panama 5/92  
 Budget for ATELCA meeting in Panama dated 6/9/92  
 List of 1992 ATELCA Executive Committee members  
 Activity Report on ATELCA delegation to NCSL meeting in Albany, New York (Regional grant paid only per diem for the participants while they were in Albany) 9/16/92  
 Papers and presentations from ATELCA General Assemblies: (dates are noted where provided)  
 "El Proceso de Formación Legal en Panama," by Ana Carazo  
 "El Proceso de Formación de Ley en Costa Rica," by Ana Carazo  
 "Guatemala," by Ana Carazo  
 "Honduras," by Alejandro Rodriguez  
 "Nicaragua," by Enrique Carrillo  
 "Exposicion de la Delegacion Nicaraguense en la Reunion de Asociación de Técnicos Legislativos de Centro America que se realizada en Tegucigalpa, Honduras del 24 al 26 de Mayo de 1991"  
 "El Parlamento en la Coyuntura Actual," by Dr. Julio Ramón García Vilchéz 9/7/91  
 "Sobre la Interpretacion Autentica de la Ley," by Dr. Julio Ramón García Vilchéz 9/30/91  
 "Disertacion del Abogado Carlos Torres Lopez, Vice-Presidente del Congreso Nacional: Proceso Formación de la Ley"  
 "Informatica Juridica y Sistema UNAM-JURE: Informe de la Visita al Instituto de Investigaciones Juridicas de la Universidad Nacional Autónoma de México"  
 "Comentarios de Douglas C. Boyer en la Conferencia de ATELCA, San Jose, Costa Rica 12/2/89"  
 "Discurso Ante la Asociación de Técnicos Centro Americanos (ATELCA) el 24 de Mayo, 1991"  
 "Congreso de la República de Guatemala: Formación de Ley"  
 "Proceso de Formación de Ley en la República de Guatemala," by Roberto Alfaro Migoya  
 "Costa Rica: Proceso Formativo de las Leyes," Asamblea Legislativa
- Correspondence:  
 Various correspondence between the CFD and ATELCA Executive Committee Members  
 Internal correspondence among ATELCA members  
 Internal correspondence among Consortium members regarding ATELCA activities  
 Various correspondence, agenda and participant list for European Centre for Parliamentary Research and Documentation Meeting 9/21-22/92

## **BELIZE**

Management Information System Assessment Report for the National Assembly of Belize 1/93 (draft)

## **BOLIVIA**

Draft Plan for the Initial Development of the National Congress of Bolivia 7/91

## **BRAZIL**

SUNY/A's activity report on the "orientation and institution building seminar" conducted for ANDAL (the Brazilian legislative staff organization) and UPI (International Parliamentary Union of elected members) -- 7/22-26/92 (not paid for with regional funds)

ANDAL (National Association for the Development of Legislative Activities) Statutes (n.d.)

## **COSTA RICA**

Various correspondence, agreements, "*Informe General*" with Dr. Constantino Urcuyo, regarding Costa Rica Master Plan Europe trip 4/92

Working Draft of the Diagnostic Study and Institutional Development Plan 1/25/91

*Descripción de Sistema, Sistema de Información Legislativa (SIL)*, Swedish International Services SIS - SWEDSERV AB, Estocolmo 1/28/91

*Descripción de Proyecto, Sistema de Información Legislativa (SIL)*, Swedish International Services SIS - SWEDSERV AB, San José 2/7/91. Description of project to be financed by the IDB

*Asamblea Legislativa de Costa Rica -- Evaluación de la Organización -- Informe Final, KPMG Consultores* 3/20/91

*Proyecto de Mejoramiento Institucional de la Asamblea Legislativa de Costa Rica* 3/21/91

*Manual de Técnicas Legislativas, Comisión Nacional para el Mejoramiento de la Administración de Justicia* 4/91

Master Plan for the Development and Modernization of the legislative Assembly of Costa Rica 4/91

Draft Multi-donor Design for Costa Rica 6/91

Report on trip to Europe by Costa Rican Legislators to garner support for the Master Plan 7/12-8/4/91

Statement of Work for Costa Rica add-on 8/91

Revised technical and cost proposals for the Costa Rica agreement prepared by CFD 1/29/92

*Manual de Técnicas de Asesoramiento y Elaboración de Informes y Dictámenes para legisladores y Organos Legislativos, Comisión Nacional para el Mejoramiento de la Administración de Justicia* 2/92

Grant Agreement for Costa Rica bilateral dated 4/13/92, effective date 2/13/92

Illustrative annual work plan for the period 2/13/92-2/12/93 for the Costa Rica bilateral grant submitted 11/13/92

## **Correspondence:**

- Letter from USAID/Costa Rica requesting clarifications on Master Plan 4/30/91
- CLD response to USAID/Costa Rica letter 5/31/91
- MEMO to other Consortium members on CFD meetings in Costa Rica 10/24-25/91
- MEMO to other Consortium members on FIU meetings in Costa Rica 11/25-26/91
- MEMO to AID from FIU on the multi-donor/role of the legislature seminar 12/20/91
- Agendas for the "Developing the New Role of the Legislative Assembly in Costa Rican Democracy"  
Seminar -- original conception and actual agenda
- MEMO to other Consortium members from FIU on meetings in Costa Rica 6/11-12/92

## **DOMINICAN REPUBLIC**

- Project Paper -- Democratic Initiatives Project #517-0265, 3/11/92
- Activity Report on technical assistance provided to the Dominican Republic 5/11-15/92 (with attachments)
- Activity Report on technical assistance provided to the Dominican Republic 7/7-10/92 (with attachments including the final product -- a project to modernize the Congress)
- Activity Report on technical assistance provided to the Dominican Republic 8/10-12/92
- Proyecto de Modernización del Congreso* 9/92

## **EL SALVADOR**

- Proposal to USAID/El Salvador from the CLD to conduct the orientation session for the newly elected Legislative Assembly 5/91
- Bilateral grant agreement with USAID/El Salvador for half the cost of the seminar 6/18/91
- Report on CLD's orientation seminar in El Salvador 6/20-22/91 (including agenda, press release, letter of invitation and list of participants)

## **GUATEMALA**

- Copy of Decree 49-92 establishing the Technical Support Commission and the Permanent Technical Assistance Unit
- Analysis of the Guatemalan Legislature's Microcomputer System 6/18/91
- Program for Immediate Action submitted to USAID/Guatemala from SUNY/A 8/8/91
- Cooperative Agreement between USAID/Guatemala and CLD designating SUNY/A as the lead institution 9/26/91
- Activity report on the First Legislative Technical Symposium About the Budget held under the Guatemalan Cooperative Agreement 10/23-25/91
- Mission cable on Budget Symposium 11/91
- Examples of bills and other work of the Commission on Energy and Natural Resources (1992)

**Correspondence:**

- MEMO from Manuel Lorenzo analyzing the Guatemalan Legislature's Microcomputer System 6/18/91
- MEMO to SUNY/A from CFD regarding the Center's fiduciary responsibility 10/8/91
- Proposal by Guatemalan professional staff on ways to strengthen the legislature -- presented to FIU 10/12/91

**HAITI**

- Project Proposal Phase One 5/91
- Haiti buy-in agreement 8/30/91
- Haitian delegation to the National Conference of State Legislatures background briefing paper 8/91
- MIS Needs Assessment 8/7/91
- Description of the CLD for the Haitian legislators
- Briefing for U.S. Embassy and USAID/Haiti on the budget seminar (n.d.)
- List of Deputies and Senators that participated in the budget seminar 8/29/91
- Final Report on the budget seminar 8/29-30/91 submitted 9/13/91
- Letter from AID on coup d'etat in Haiti 10/16/91
- Close-out Plan for Haiti buy-in 2/4/92

**NICARAGUA**

- Draft Needs Assessment and Bilateral Assistance Recommendations 12/14/90
- Draft Plan for the Institutional Development & Modernization of the National Assembly of Nicaragua 7/30/91
- Nicaragua Buy-in agreement 9/91
- Activity report on CLD's Bilateral Technical Assistance and Training Consultancy 11/19-25/91
- Buy-in scope of work 1/92
- Agenda and proposed work plan for CLD meeting with Alfredo César in Washington 2/27/92
- Report on visit to the U.S. by Nicaraguan legislator Dr. Myriam Jarquin de Medina 4/22-5/2/92
- Technical Proposal for Nicaraguan voting system from Daktronics, Inc. 7/92
- Report on visit of Nicaraguan Legislative Development Committee 7/19-25/92
- "La Competencia del Presidente de la Republica en Materia de Impuestos Fiscales Segun la Constitucion y la Practica"* Dr. Roberto Borge Tapia, National Assembly of Nicaragua, *Fascículos Parlamentarios* No. IV, 8/92
- "Del Informe por Escrito, La Comparencia, y la Interpelacion de Ministros, Vice-Ministros de Estado, Presidentes o Directores de Entes Autonomos y Gubernamentales"* Dr. Julio Ramón García Vílchez, National Assembly of Nicaragua, *Fascículos Parlamentarios* No. III, 8/92
- "Sobre la Interpretacion Autentica de la Ley"* Dr. Julio Ramón García Vílchez, National Assembly of Nicaragua, *Fascículos Parlamentarios* No. II, 8/92
- "El Parlamento en la Coyuntura Actual (Ensayo Juridico-Politico)"* Dr. Julio Ramón García Vílchez, National Assembly of Nicaragua, *Fascículos Parlamentarios* No. I, 8/92

**Correspondence:**

- MEMO to USAID/Managua from USAID/Managua systems manager -- re: comments on MIS portion of CLD recommendations 9/24/91
- MEMO to USAID/Managua from CFD -- re: response to comments on MIS activities 10/3/91

**PANAMA**

- Needs Assessments and Initial Recommendations for the Legislative Assembly (with attachments) 4/91
  - Program description for Buy-in 9/16/91
  - Memorandum of Understanding between the Panama legislature and CLD 10/91
  - Statement of Work and Methodology for Panama Legislative Information System 12/24/91
  - Technical Report and Recommendations for the Automation of Information Systems at the Legislative Assembly, Republic of Panama 5/92
  - Comments of Donald Schneider, Chief Clerk, Wisconsin State Senate on the technical report 5/14/92
  - Report on the Panamanian Legislative Development Committee's visit to the U.S. 7/19-31/92
  - Activity Report Seminar on New Role of the Legislative Assembly in Panamanian Democracy 11/6/92
  - Panamanian Internal Rules of Order, 1992
- Correspondence:**

- MEMO to Panama Project Coordinator in Panama from CLD/Washington on the Panamanians proposed study visit to the U.S. 6/11/92
- MEMO to USAID/Panama from CLD re: Report on Technical Assistance Visit 6/21/92
- Telesistemas report on the Legislative Information System 9/3/92

**PARAGUAY**

- Preliminary Master Plan for the Initial Development of the Legislature of Paraguay 6/91
- Activity report on technical assistance to the National Constituent Assembly of Paraguay 11/14-18/91

**REGIONAL SEMINARS**

- Draft Program, rules of the conference and expected participants of the Strasbourg Conference on Parliamentary Democracy held 9/16-18/91
- Provisional Report, papers from workshops
- Projected budget for Central American participants dated 9/11/91
- Invitation letters from Council of Europe 2/1/91
- Invitation letters from CLD 8/21/91 (various)
- Responses to invitation letters (various dates)
- Draft agenda 9/2/91
- List of participants at conference sponsored by CLD 9/5/91
- Minutes, participant list and fact sheet for the International Meeting of Legislative Clerks and Secretaries, 9/16/91
- Text of address by Mr. Alfredo César Aguirre, President of the National Assembly of the Republic of Nicaragua 9/17/91

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- Text of address by Mr. Rodolfo Irias Navas, President of National Congress of the Republic of Honduras 9/17/91
- Questionnaires completed by delegates to the Third Strasbourg Conference on Parliamentary Democracy 9/17/91
- Letters to delegates summarizing accomplishments of the Third Strasbourg Conference on Parliamentary Democracy 9/25/91
- Report on the LAC Region Technical Seminar for Legislative Budget Analysts (includes agenda, participants and letter of invitation) held in Albany, New York 8/21-28/92

## **SUBREGIONAL SEMINARS**

- ATELCA requested Grant-Writing Seminar 7/5-16/91 held at FIU
  - Thank you letter to FIU from Costa Rican participant 7/23/91
  - Examples of requests for proposals and foundation addresses
- Activity Report on the Reorganization of the World Economy: Central American and United States Perspectives (Legislatures and Universities) held 11/11-14/91 in Costa Rica (including synopsis of papers and agenda) report revised 3/27/92
  - Invitation letter 10/18/91
- Activity report for the Central American Social Welfare Conference held in Costa Rica (including agenda and participants) 4/21-22/92
- Transcript of proceedings of the Colloquy on Parliamentary Institutional Development held in Guatemala 3/92
  - Various correspondence regarding the Guatemala Colloquy on Institutional Parliamentary Development 3/2-3/92
  - Estimated budget for Guatemala Colloquy dated 2/24/92

## **REFERENCES CONSULTED**

- "Chapter 3: State Legislative Branch." 1990-91 Edition. *Book of the States*. The Council of State Governments. Lexington, Kentucky.
- "Colloquy on Democracy and Development in Central America Proceedings." 1989. *Human Rights Law Journal*. Vol. 10.
- Craig, Robert L. (ed.). 1987. *Training and Development Handbook*. Third edition. McGraw Hill Books.
- "Evaluation Report: Strengthening Democratic Institutions Project -- Legislative Enhancement" (Honduras) December 28, 1990. Development Associates, Inc.
- Gillies, John A. 1992. *Training for Development: Review of Experiences*. Produced for the LAC Education and Human Resources Technical Services Project conducted by the Academy for Educational Development.
- Guba, Egon and Yvonna Lincoln. 1989. *Fourth Generation Evaluation*. Beverly Hills, CA: Sage.

Heilman, Lawrence C. (Management Systems International) and Robert J. Kurz, (Brookings Institute).  
January 1991. "Democratic Initiatives Performance Monitoring Study for the Latin America and  
Caribbean Bureau."

"Partnership for Democracy and Development Draft Paper on Legislative Development." September  
1991. Prepared by CLD at the request of AID for the PDD Working Group.

Thomson, Randal Joy. 1991. "Conducting Fourth Generation Evaluations: the Art of Construction and  
Negotiation." *A.I.D. Evaluation News*. Vol 3, 2:7-11.

Information packet from the State University of New York, Office of International Programs including:  
The Development and Implementation of a Legislative Assistance Program in Bolivia, a proposal  
from SUNY/OIP to USAID/Bolivia 4/92

Bolivia Program Description

Strengthening the Legislative Budget Process in Bolivia: Preliminary Findings and Recommendations  
prepared by SUNY/OIP team 10/23/92

Description of SUNY/OIP international programs including:

Description of SUNY Brazil Training Program

CEAL (*Centro de Estudios y Asistencia Legislativa*) pamphlet

SUNY/CEAL Fact Sheet 5/92

Achievements of SUNY/CEAL Project through 1992

Description of Sipex software developed by CEAL 1992

List of Issue Briefs published by CEAL through 10/92

Issue Brief Number 36, "*Proyecto de Ley de Recuperacion del Bosque Nativo y de Fomento  
Forestal*," 6/92

Issue Brief Number 71, "*Proyecto de Ley de Bases del Medio Ambiente*," 1/93

SUNY/CEAL II Development Plan FY 1993-1995

Quarterly report for the SUNY/CEAL project Jan-March 1992 submitted 5/5/92

## **APPENDIX IV**

### **List of Interviews**

## **APPENDIX IV**

**List of Interviews, November 1992 - February 1993**

<b>UNITED STATES</b>
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### **AID/WASHINGTON**

**Sharon Isralow**  
**Project Manager**  
**LAC/DI**

**Debra McFarland**  
**Deputy Director**  
**LAC/DI**

### **AID/INFORMATION RESOURCE MANAGEMENT**

**Alvaro Garcia**  
**Senior Systems Consultant**  
**Executive Resource Associates, Inc.**

**Joseph Gueron**  
**Branch Chief**

**Dean Salpini**  
**Task Manager, System Analysis**  
**Executive Resource Associates, Inc.**

### **AID/REGIONAL HOUSING AND URBAN DEVELOPMENT OFFICE**

**Steve Sharp**  
**Housing Officer**

### **CENTER FOR DEMOCRACY (CFD)**

**Caleb McCarry**  
**Consortium Coordinator**

**Allen Weinstein**  
**President**

**FLORIDA INTERNATIONAL UNIVERSITY (FIU)**

**Manuel C. Lorenzo**  
Assistant Dean and Director of Budget  
School of Public Affairs and Services

**Gerald Reed**  
Program Manager  
The Consortium for Legislative Development

**Allan Rosenbaum**  
Dean of the School of Public Affairs and Services

**FLORIDA LEGISLATURE**

**John Phelps**  
Chief Clerk of the House of Representatives

**STATE UNIVERSITY OF NEW YORK/UNIVERSITY OF ALBANY (SUNY/A)**

**Alex (Abdo) Baaklini**  
Director, Center for Legislative Development  
Nelson A. Rockefeller College of Public Affairs and Policy

**Charles S. Dawson, Jr.**  
Deputy Director, Center for Legislative Development  
Nelson A. Rockefeller College of Public Affairs and Policy

**Masters Program Students**

**Ana Fiorella Carvajal**  
Legislative Assembly of Costa Rica

**Oscar Carvallo Gonzalez**  
Formerly of the Paraguayan Center for Sociological Studies

**Daniel I. Centeno Espinoza**  
National Assembly of Nicaragua

**Beatriz Laccrda**  
Federal Senate of Brazil

**Floria Oreamuno**  
Legislative Assembly of Costa Rica

**STATE UNIVERSITY OF NEW YORK/OFFICE OF INTERNATIONAL PROGRAMS (SUNY/OIP)**

**David Fleischer**  
Brazil Project Manager  
(Resident in Brazil)

**John K. Johnson**  
Director, Democratic Development

**John W. Klas**  
Associate Provost for Research and Economic Development

**Maggie Seminario**  
Program Assistant

**Peter A. Thomas**  
Director, International Development Assistance Services

**NEW YORK STATE LEGISLATURE**

**Jim Bell**  
Supervisor, Office of Automation and Data Processing  
New York Assembly

**Roman Hedges**  
Deputy Secretary  
Ways & Means Committee  
New York Assembly

**David Keiper**  
Commissioner  
Bill Drafting Commission

**Don Marilla**  
Director, Office of Automation and Data Processing  
New York Assembly

**NATIONAL CONFERENCE OF STATE LEGISLATURES**

**Rich Jones**  
Director, Legislative Programs

**Arturo Pérez**  
Fiscal Research Analyst

Kathy Wiggins  
Director, International Programs

**INTERNATIONAL CITY MANAGEMENT ASSOCIATION**

Ann Bueche  
Program Assistant

**OTHER CONTACTS IN THE UNITED STATES**

Ambassador Alvin P. Adams  
Former Ambassador to Haiti

Martin Andersen  
Former Professional Staff of the Senate Foreign Relations Committee  
Presenter and Moderator, El Salvador Orientation Seminar

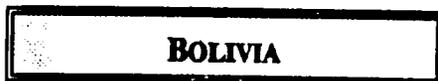
Carl Cira  
Regional Coordinator, Democratic Initiatives Project  
AID

Steven A. Horblitt  
Senior Associate -- Haiti Specialist  
Creative Associates International, Inc.

Victor C. Johnson  
Staff Director  
Subcommittee on Western Hemisphere Affairs  
House Foreign Affairs Committee  
U.S. House of Representatives

Roma Knee  
Former Project Manager  
USAID/LAC/DI

Marilyn McAfee  
Former Deputy Chief of Mission, Bolivia 1989-1992



**USAID/LA PAZ**

Luis Lucke  
Acting Deputy Mission Director  
Former Supervisory Project Development Officer

**COSTA RICA**

**USAID/SAN JOSE**

Lynn Hammergren  
Regional Administration of Justice Officer

Peter Kranstover  
Chief, Project Development and Program Office

Henry Reynolds  
Director of the Office of Education and Training, USAID/San Salvador  
Former Project Manager, Office of Democratic Initiatives

Flora Ruiz  
Training Officer, Office of General Development

Doug Tinsler  
Deputy Mission Director

**COSTA RICA LEGISLATURE**

**Legislators**

Nury Vargas (PUSC)  
Former Vice President fo the Assembly 1991-1992

*Modernization Commission*

Roberto Tovar (PUSC)  
President of the Assembly 1992-1993  
Member of the Modernization Commission

Juan Jose Trejos (PUSC)  
Former President of the Assembly 1990-1991  
Former Member of the Modernization Commission

**Staff**

Maria del Rocio Cerdas  
Lawyer, Office of Technical Services

Oscar Gutierrez Gonzalez  
Deputy Executive Director, Legislative Assembly

Costa Rica Legislature, continued

Olmedo Castro Rojas  
Executive Director, Legislative Assembly  
Former General Secretary of ATELCA 1990-1991

Luis Gerardo Bolaños Vega  
Analyst for the Costa Rican Assembly Budget

Elena Fallas Vega  
Director, Office of Technical Services

Constantino Urcuyo  
Adviser to Miguel Angel Rodriguez; Consultant for the CLD.

**DOMINICAN REPUBLIC**

**USAID/SANTO DOMINGO**

Manuel Ortega  
Democratic Initiatives Coordinator

**DOMINICAN REPUBLIC LEGISLATURE**

**Legislators**

*Dominican Republic Bicameral Commission*

Dra. Sonia Diaz  
Legal Advisor

Max Piug Miller  
Senator and President of the Bicameral Commission

**EL SALVADOR**

**USAID/SAN SALVADOR**

Mauricio Herrera  
Project Manager  
Legislative Assembly Strengthening Project

**GUATEMALA**

**USAID/GUATEMALA CITY**

Hilda (Bambi) Arrellano  
Supervisory General Development Officer

Terrence J. Brown  
Mission Director

Todd D. Sloan, Jr.  
Coordinator, Democratic Institutions Project

**GUATEMALA LEGISLATURE**

**Legislators**

Oliverio Garcia Rodas (was UCN, now MAS)  
Colloquy presenter

Carlos Enrique Pérez Castañeda  
President, Energy and Natural Resources Commission

César Augusto Porres Lessing  
President, Housing Commission

*Liaison Commission*

Catalina Soberanis (CD)  
Former President of the Assembly 1991  
Former Member of the Liaison Commission

Marco Tulio Sosa R. (PAN)  
Member of the Liaison Commission

**Staff**

Roberto Alfaro  
Director, Legislative Information Systems

William René Berganza Sandoval  
Treasurer

Cesar Hernandez  
Legislative Clerk

Guatemala Legislature, continued

J. Luis Mijangos C.  
Chief Clerk

Hernan Soberanis  
Chief Administrative Clerk

**OTHER CONTACT IN GUATEMALA**

Carlos Enrique Secaira  
Technical Coordinator  
Asociación de Investigación y Estudios Sociales (ASIES)



**USAID/PORT-AU-PRINCE**

David Cohen  
Mission Director

Jane P. Nandy  
Deputy Chief, General Development Office

Annie R. Nesterczuk  
Former Project Manager, Democracy Enhancement (presently in Moscow)

Karen M. Poe  
Chief, General Development Office

**HAITI LEGISLATURE**

Déjean Bélizaire (ANDP)  
Senator, former President of the Senate

Pierre Duly Brutus (ANDP)  
Deputy, former President of the Chamber of Deputies

Ebrane Cadet (ANDP)  
Senator

Turneb J. Delpe (FNCD)  
Senator

Joseph Wesner Emmanuel (FNCD)  
Senator

Haiti Legislature, continued

Patricia de Fay  
Former administrative staff

Luc Fleurinord (PNT)  
Senator

Edmond Miroid (FNCD)  
Deputy

**OTHER CONTACTS IN HAITI**

Pierre-Marie Boisson  
Chief Economist, Sogebank  
Presenter at Budget Seminar

Ira P. Lowenthal  
Project Manager, Integrated Project for the Reinforcement of  
Democracy in Haiti (PIRED)

George Nicolas  
Former Director, Center for the Development of Human Resources (CDRH)

**HONDURAS**

Adilia Zelaya  
Executive Secretary  
National Congress of Honduras

**NICARAGUA**

**USAID/MANAGUA**

Liliana Ayalde  
Chief, General Development Office/Human Resources Development

Art Sist  
Coordinator, Office of Democratic Initiatives

## **NICARAGUA LEGISLATURE**

### **Legislators**

**Miriam Arguello (UNO/APC)**  
Former President of the Assembly 1990-1991

### *Commission on Legislative Development*

**Alfredo Cesar (UNO/PSD)**  
President of the Assembly 1991-1993

**Luis Humberto Guzman (UNO/PSD)**  
Chairman, Commission on Economy

**Luis Sanchez Sancho (UNO/PSN)**  
First Vice President of the Assembly, 1990-1993

**Reinaldo Antonio Tefel (FSLN)**

### **Staff**

**Aleyda Bermudez**  
Director, Finance Division

**Ignacio Castillo**  
Legal Advisor

**Julio Ramon Garcia Vilchez**  
Deputy Director General, Legal Advisor's Office

**Rhina Mayorga Paredes**  
Director, National Assembly Library

**Glenda Ramirez Noguera**  
Staff, Legislative Development Project

**Carlos Siles Levy**  
Executive Secretary, National Assembly of Nicaragua

**PANAMA**

**USAID/PANAMA CITY**

**Carol Horning**  
Deputy Chief, Office of Public Administration

**Robert Murphy**  
Consultant (also interviewed for Guatemala)

**PANAMA LEGISLATURE**

**Legislators**

**Marco A. Ameglio S. (PLA)**  
President of Legislative Assembly 1991-1992  
Former Member of the Modernization Committee

**Alonso Fernandez Guardia (Molirena)**  
President of Legislative Assembly 1990-1991

**Mario M. Lasso B.**  
Deputy Secretary General

**Lucas R. Zarak Linares (PPA)**  
President of the Legislative Assembly 1992-1993

*Modernization Committee*

**Rubén E. Arosemena V.**  
Secretary General

**Alberto Cigarruista, Coordinator (PLA)**  
Second Vice-President of the Assembly

**Dr. Harley J. Mitchell D.**  
Legal Advisor

**Domi Luis Montenegro (PDC)**  
Member of the Modernization Committee

**Luis Benjamin Rosas (Molirena)**  
Member of the Modernization Committee

**Milton Henriquez Sasso (PDC)**  
Former Chairman, Budget Commission

Panama Legislature, continued

Aurelio Alba Villarreal (PA)  
Member of the Modernization Committee

**Staff**

Ana Maria Castillo M.  
Chief, Interparliamentary Matters

Estela Koyner  
Assistant to the Secretary General

Abraham Pretto S.  
Advisor to the President

Alberto Quiros Jaen  
Former Legal Advisor

Jesus Sierra  
Legal Advisor

Roberto Urriola Fossatti  
Personal Assistant to Milton Henriquez  
(Former President of the Budget Commission)

**OTHER CONTACT IN PANAMA**

Kelly A. McBride  
Panama Project Coordinator, CLD



**USAID/ASUNCION**

Oscar Carvallo  
Project Specialist  
USAID/Paraguay

Dick Nelson  
USAID Representative

## **APPENDIX V**

### **Curriculum for SUNY/A Master of Public Administration Degree in Legislative Administration**



**UNIVERSITY AT ALBANY**  
**STATE UNIVERSITY OF NEW YORK**

**CENTER FOR LEGISLATIVE DEVELOPMENT**

**DEGREE, CERTIFICATE AND NON-DEGREE PROGRAMS IN  
LEGISLATIVE ADMINISTRATION**

**DEGREE PROGRAMS**

**The Master of Public Administration (MPA) Degree in Legislative Administration**

The Master of Public Administration (MPA) degree in Legislative Administration from the University at Albany, State University of New York, is a two-year program administered by the Center for Legislative Development. The MPA in Legislative Administration provides students with a foundation in public administration and a specialization in the application of public administrative technologies to the organizational and political environment of legislatures. A guided internship in an American legislature is required. All students must take comprehensive written examinations in both the core Public Administration curriculum and in the Legislative Administration program.

**The Core Public Administration Curriculum**

Students specializing in Legislative Administration take seven required core courses in Public Administration:

- Introduction to Public Administration
- Budgeting and Accounting
- Human Resource Development
- Economic Analysis for Public Administration
- Computing for Public Administration
- Research Methods and Statistics
- Legal Environment of Public Administration

## The Legislative Administration Program

The Legislative Administration program builds upon the core foundation with additional courses (two of which are electives), plus a one-credit-hour seminar for legislative internship participants:

- Introduction to Legislative Administration

This course introduces students to legislatures and the functions they perform in contemporary societies. The emphasis is on the internal dynamics of legislatures and how their structural characteristics and internal dynamics shape administrative, informational, research and staff needs. Topics discussed include: legislative information needs; staffing patterns; the committee system and legislative procedures; administrative support systems, such as bill drafting, library and other research services; member office operations, including constituent/ombudsman services and relations with the press, interest groups, and the executive branch; budget analysis; legislative oversight; norms of conduct, ethics, and conflicts of interest.

- Legislative Research

This course is designed to help students develop legal research skills, paying particular attention to legislative staff work. Techniques of drafting legislation and of writing memoranda in support of (or in opposition to) proposed legislation are addressed. Each student must draft a bill as a course requirement. Retrieval and use of legislative documents is also practiced.

- Seminar in Legislative Administration

This course addresses the problems and techniques of administering the legislature and providing legislative support services. Topics discussed include preparation of the legislative budget, administration of legislative personnel, scheduling and coordination of hearings, internal controls, procurement of supplies, and handling of archival material. Original research on a current problem of legislative administration is required.

- Seminar for Legislative Internship

This seminar supplements the legislative internship requirement. It provides a forum for the interns to share experiences and to exchange knowledge gained from the internship. Written reports of the student's experience, the reading of relevant literature, and attendance at bi-weekly seminars are also required.

Course substitutions may be made to meet the student's special interests (e.g., computers, finance, policy analysis). In addition, cross-registration with Albany Law School of Union University is available.

### **The Doctor of Public Administration (PhD) Degree**

The Center for Legislative Development also offers doctoral courses in legislative administration as a part of the PhD program in comparative and development administration. The PhD program involves two to three years of course work tailored to the needs and interests of each student. Two other fields of specialization are required, and a much greater emphasis is placed on research than in the master's program. This degree also requires the completion of a dissertation.

### **CERTIFICATE AND NON-DEGREE PROGRAMS**

The Center for Legislative Development offers the following certificate and non-degree program opportunities in Legislative Administration.

#### **The Legislative Institute**

The Legislative Institute is a short-term, custom-designed series of intensive seminars, workshops and on-site fieldwork which provide legislators and staff with a broad overview of recent technological and managerial innovations of special relevance to participants. Topics may include: Legislatures and their roles in contemporary society; legislative information needs; computers in the legislative process; legislative management needs; legislative staffing patterns; researching, drafting, and evaluating bills; legislative reference services; evaluation of program implementation; legislative/executive relationships; and legislative managerial innovations and reforms.

While the institute is carried out primarily at the University at Albany and within the New York State Legislature, participants in the past have visited the U.S. Congress, the Canadian Parliament, and various other state legislatures including California, Florida, Hawaii, Illinois, Maryland, Tennessee, and Wisconsin.

#### **Professional Certificate Program**

This two-semester program is specifically designed for senior staff who are unable to pursue a degree program. Participants attend many of the same graduate courses and seminars offered under the master's and doctoral programs, and participate in internships in such specialized areas of the New York State Legislature as bill drafting,

legislative research, legislative policy analysis, budgeting, and information systems. This program provides participants with extensive contact with practitioners, scholars, and associations involved in legislative administration.

### **Custom-Designed Training**

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## **APPENDIX VI**

### **Supplemental Bibliography on Legislative Development**

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### Supplemental Bibliography on Legislative Development

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