

A.I.D. EVALUATION SUMMARY - PART I

PD-ABC-846

1. BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.  
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA 94048

<b>A. Reporting A.I.D. Unit:</b> Mission or AID/W Office <u>USAID/BOLIVIA</u> (ES# <u>DP-03/95</u> )	<b>B. Was Evaluation Scheduled In Current FY Annual Evaluation Plan?</b> Yes <input checked="" type="checkbox"/> Slipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>94</u> Q <u>3</u>	<b>C. Evaluation Timing</b> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> ExPost <input type="checkbox"/> Other <input type="checkbox"/>
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D. Activity or Activities Evaluated (List the following information for project(s) or program(s) evaluated; If not applicable, list title and date of the evaluation report.)

Project - No.	Project/Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo / Yr)	Planned LOP Cost (000)	Amount Obligated To Date (000)
511-0610	Democratic Institutions	88	12/95	3,400	3,350

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director Action(s) Required	Name of Officer Responsible for Action	Date Action to be Completed
1) Provide limited additional assistance to be used for larger capacity computer equipment and software so that the National Electoral Court can fully implement automated procedures for national level screening and publishing of the voter roll.	C. Cira	3/95
2) USAID will become more active in the conduct of policy dialogue with Congress.	CCira/WGuevara	1/95
3) Periodic review sessions will be conducted by USAID with Congress and SUNY.	WGuevara	1/95
4) SUNY will periodically prepare work plans for USAID.	WGuevara	1/95

APPROVALS

F. Date Of Mission Or AID/W Office review Of Evaluation: \_\_\_\_\_ (Month) \_\_\_\_\_ (Day) \_\_\_\_\_ (Year)  
9 2 94

G. Approvals of Evaluation Summary And Action Decisions:

	Project Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Name (Typed)	Carl A. Cira/ODI.		Anne Beasley	Lewis W. Lucka, Director
Signature	<i>Carl A. Cira</i>		<i>Anne Beasley</i>	<i>Lewis W. Lucka</i>
Date	3/27/95		3/24/95	3/30/95

## A B S T R A C T

### H. Evaluation Abstract (Do not exceed the space provided)

The purpose of the Project was to improve the functioning of the electoral system and broaden participation in the democratic process, to improve the administration and bill drafting functions of the Congress, and to support pro-democracy organizations. The main implementation agency for work with the electoral system has been the Center for Electoral Assistance and Promotion (CAPEL) of the Interamerican Institute of Human Rights; while the main implementing agency for work with legislative process has been the Office of International Programs at the State University of New York (SUNY). This mid-term evaluation (August 1994) of the Project was contracted by USAID/Bolivia to assess the extent to which the Project is meeting AID/W program objectives and USAID/Bolivia strategic objectives. A five person team reviewed documents and interviewed key participants in Bolivia. The major findings and conclusions are:

#### Electoral System

- The objectives and the expected outputs were largely achieved.
- Three elections were held and considered fair. This system is considered one of the strengths of Bolivian democracy.
- The training programs exceeded the targets set.
- The principal shortfall was the failure to conduct all the civic education campaigns which were planned.
- Given the importance of the electoral system to the continuing effort to consolidate Bolivian democracy, it would seem advisable for USAID to consider re-establishing a program of cooperation with the electoral courts.

#### Legislative Process

- While the objectives of the work with the legislature have not yet been fully achieved, important progress has been made in the budget analysis office.
- SUNY has established a good working relationship with the President of Congress.
- The work of the budget analysis office has been used by the Appropriations Committees in the approval of the annual budget.
- Assistance from the U.S. government has proven to be acceptable to the Bolivian Congress.
- Apart from the delays in getting underway, the main shortfalls in expected performance to date have been the lack of detailed planning for establishing and strengthening the performance of the service support offices, the delays and shortfalls in counterpart funding for the equipping of the offices, and the lack of response to requests from the service support offices for on-site technical assistance from advisors able to remain in place for several months.
- Given the uncertainties facing the accomplishment of the objective of the current Project by the end of 1995, it would seem advisable that the new A.I.D. Democratic Development and Citizen Participation Project include the possibility of continued work with all service support units.

#### The evaluators noted the following lessons:

- The major responsibility for conducting policy dialogue should be assumed by USAID rather than the implementing agencies.
- Over-reliance on USAID generated ESF counterpart funds for meeting much of the operating expenses of the activities being assisted can cause undesirable effects when such funds are reduced or cut.
- If the Mission adopts the approach of having final designs of activities prepared by implementing agencies, it should place emphasis on requiring adequate forward planning and compliance with the requirements for scopes of work and work plans.
- Approaches to analyzing sustainability should be adopted and applied early in the project.
- The Mission's use of technical personnel supplied by or through USAID/W was beneficial.
- Unless the Mission is generously staffed, it is not likely to be able to provide the support and technical guidance which is available through institutional contractors, and activities are not likely to move forward in a timely way.

## C O S T S

### I. Evaluation Costs

Name	1. Evaluation	Team	Affiliation	Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S.\$)	Source of Funds
John Oleson		Checchi and Co.	Consulting Inc.	24	39,300	Project
Eduardo Gamarra		Checchi and Co.	Consulting Inc.	10		Project
Lorin Pace		Checchi and Co.	Consulting Inc.	10		Project
Jack Vile		Checchi and Co.	Consulting Inc.	10		Project
Joseph Gueron		USAID/W/IRM		11		
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2. Mission/Office Professional Staff Person-Days (Estimate) 24				3. Borrower / Grantee Professional Staff Person-Days (Estimate) 6		

## A.I.D. EVALUATION SUMMARY - PART II

### SUMMARY

**J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)**

**Address the following items:**

- |  |                             |
|--|-----------------------------|
| . Purpose of evaluation and methodology used     | . Principal recommendations |
| . Purpose of activity(ies) evaluated             | . Lessons learned           |
| . Findings and conclusions (relate to questions) |                             |

**Mission or Office :**  
USAID/BOLIVIA

**Date This Summary Prepared :**  
02/16/95

**Title and Date Of Full Evaluation Report:**  
EVALUATION OF DEMOCRATIC INSTITUTIONS  
PROJECT (511-0610)

In August 1988 USAID/Bolivia undertook the Democratic Institutions Project (511-0610) to strengthen the operation of the electoral system and the work of the legislative branch. The original activities were to provide a bridge to a comprehensive multi-year project which was to be designed in 1989 and was to include work with the judicial branch. It later was decided not to go forward with those plans. Instead, the original DI project justification and the original Grant Agreement were amended several times to extend the life and augment the work with the electoral system and the legislative branch. As a result, the Project's work with the electoral system continued until February 1994 and that with the legislative branch will continue until the end of 1995. At the time of the evaluation (August 1994) \$3 million had been obligated under the Project and it was planned to obligate an additional \$400,000 to cover activities planned for the balance of the life of the Project. These dollar funds were complemented by the equivalent of \$3.664 million in Bolivian funds ("counterpart") which were generated by the USAID balance of payments program.

Although part of the same Project and under the direction of the same office of the USAID Mission, work with the electoral system and with the legislature was carried out independently. The main implementation agency for work with the electoral system was the Center for Electoral Assistance and Promotion ("CAPEL") of the Interamerican Institute of Human Rights while the main implementation agency for work with the legislature has been the Office of International Programs of the State University of New York ("SUNY"). In both activities the Mission concluded that it was politically wise for it to conduct its relationship to the work in a low-key and largely indirect manner.

#### **Electoral System**

The objectives of the work with the electoral system were to increase the numbers of citizens registered and voting, to improve vote counting procedures, to improve voter understanding and participation in the electoral process and to strengthen the operations of the National Electoral Court (the "NEC") and the Departmental Electoral Courts (the "DECs") which are in charge of the conduct of the electoral system. The focus of the work was in preparing for and conducting the elections of municipal authorities in December 1991 and 1993 and the election of national authorities in June 1993.

The main modalities of assistance were to provide technical assistance to the NEC and the DECs from CAPEL and to provide counterpart to pay a share of the operating costs of the NEC, to purchase computer equipment for the creation of a national, automated voter registry system and to pay the costs of several media campaigns. The technical assistance was provided pursuant to Cooperative Agreements entered between CAPEL and USAID. The counterpart assistance was provided through agreements (called "CIFs") between the NEC and the Division of External Financing and Monetization ("DIFEM") of the Ministry of Economic Development. \$1.417 million was provided to CAPEL and \$2.850 million in counterpart was provided to the NEC.

The objectives and the expected outputs were largely achieved. The three elections were held and considered fair. As a result, the voting system is considered one of the strengths of Bolivian democracy. The number of persons registered rose by some 700,000 between 1991 and 1993 to reach a total of 2.4 million. The incidence of mistakes in the operation of the voting tables and of nullified votes declined substantially. The training program well exceeded the targets set and reached nearly 80% of the persons who staffed the voting tables in the June 1993 elections. The use of a permanent registration system was introduced to simplify the process, facilitate additional registration and permit public screening as required by law. Training materials and instructional manuals were prepared which can provide the basis for work in the future. The principal shortfall was the failure to conduct all the civic education campaigns which were planned.

Among the more important of the issues facing the electoral system are the following: (i) The capacity of the computer equipment of the system will need to be increased. (ii) The issue of the appropriate software for the various functions will have to be resolved. (iii) Financing to substitute for ESF counterpart will have to be found to prepare for and conduct the 1995 election. (iv) The permanent staff of the NEC and the DECs will need to be expanded, trained and given compensation and career status necessary for its motivation. (v) The NEC will need to adopt more professional management to strengthen its operation.

## S U M M A R Y (Continued)

Recommendations for USAID concerning the Electoral Component of the Project include the following: (i) It should assume that the NEC will need additional external assistance to meet the demands being placed on it by the increasing number of persons who effectively will seek to be registered. There is an immediate need for upgrading the present computer configuration of the NEC and the DEC's which will cost approximately \$100,000. (ii) It should recognize that the NEC continues to need assistance with the strengthening of its training and administrative--logistic responsibilities. (iii) It should reestablish a dialogue with the NEC which could lead to further cooperation with the NEC in the near term. (iv) It should include in the design of the new project support for the work of the NEC in relation to the expansion of the registry of rural citizens and, if it is found to be politically acceptable to do so, for the setting of the boundaries of the new single member districts. (v) In any resumed program of cooperation with the NEC it should play a more active and direct role in discussions with the NEC than it has in the past.

### Legislative Process

The objective of the work with the legislature is to improve the support services available to and used by the members. The focus is on the analysis of budget and fiscal issues, the provision of information on existing laws and other topics and assistance in drafting bills. The Project is to assist in the establishment and consolidation of three non-partisan, professionally staffed offices to provide those support services to both houses of the legislature. The scope of the Project is now being expanded to include the establishment of a fourth office to provide training and information concerning constituent outreach. The main modalities for accomplishing the objective are providing technical assistance through a Cooperative Agreement with SUNY and counterpart support to finance the work of the support services offices until Congress incorporates them into its permanent budget, as well as for SUNY's local staff and limited amounts of local training.

While the objective of the work with the legislature has not yet been achieved, progress has been made. Work with the legislature got underway effectively after the Cooperative Agreement with SUNY was entered in September 1992. The budget analysis office was re-organized in May 1993, but its permanent Director was not appointed until December when the Director and staff of the coordinating unit for the work also were appointed. The bill drafting and information management offices are still in the process of obtaining equipment and establishing working relationships with sources of information and assistance. The constituent outreach service support office is still in the conceptualization stage. SUNY has established a good working relationship with the Vice President of the executive branch who also is the President of the Congress and who oversees the operation of the coordinating support services offices. The work-product of the budget analysis office has been well received. Assistance from the U.S. Government has proven to be acceptable to the Congress.

A number of issues remain in order to achieve institutionalization of the service support offices. (i) There is a dispute between the President of the Congress and the leadership of the lower house as to whether the budget analysis office should remain in the building of the Congress or be moved to the building of the Office of the President of the Congress. (ii) Currently the Congress pays approximately one fifth of the cost of running the service support offices with the balance being supplied by ESF counterpart. It is likely that the availability of this counterpart will be less in the future. This financial problem is causing concern among the staff of the service support offices. (iii) The role of the coordinating unit is not yet effective and the need for coordination is likely to grow as the service support offices become more active, their financial needs increase, their overlapping responsibilities become matters of practical rather than theoretical discussion and ways need to be found to make the services available to ordinary members as well as to the leadership of the Congress. (iv) SUNY has played a very prominent and active role in the design and implementation of the activities to date. While this role has not caused significant problems to date it has the potential for doing so, and should be reconsidered. The USAID Mission may well be advised to raise its own profile. (v) The task of getting the four service support offices and their coordinating unit effectively in operation and institutionalized by the end of 1995 is a considerable one. SUNY will need to devote all its energy and all the funds now planned to be available under the Cooperative Agreement to the task.

A number of recommendations could facilitate USAID's management of the Legislative Process Component. (i) USAID should review the way it utilizes SUNY to avoid diverting it from the main focus of its work and to be sure that it is not encouraging SUNY to take too active a role in "lobbying" and "policy dialogue" type activities. (2) USAID should determine at an early time whether or not it is prepared to argue for priority to be given to this sub-project within the probable reduced counterpart availabilities for the coming year. Its decision should be shared with the Centro de Investigación del Congreso (CICON) and the President of the Congress so that firmer planning can be achieved and some of the uncertainties facing the personnel of the technical service units may be reduced. (iii) In designing the new USAID project the Mission should include support for the strengthening of all the technical service units and not just for the work of the new training and constituent outreach unit and the OPT's review of municipal budgets.

The evaluators identified the following lessons learned from the Project:

- The major responsibility for conducting policy dialogue should be assumed by USAID, rather than by the implementation agencies.

## S U M M A R Y (Continued)

- Over-reliance on USAID generated ESF counterpart funds for meeting much of the operating expenses of the activities being assisted can cause undesirable effects if such funds become unavailable before the project is completed.
- If the Mission adopts the approach of having final designs of activities prepared by implementing agencies, it should place emphasis on requiring adequate forward planning and compliance with the requirements for scopes of work and work plans.
- Approaches to analyzing sustainability should be adopted and applied early in the project.
- The Mission's use of technical personnel supplied by or through USAID/W was beneficial.
- Unless the Mission is generously staffed, it is not likely to be able to provide the support and technical guidance which is available through institutional contractors, and activities are not likely to move forward in a timely way.

## A T T A C H M E N T S

K. Attachments (List attachments submitted with this Evaluation Summary, always attach copy of full evaluation report, even if one was submitted earlier; attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

Final Report. EVALUATION OF DEMOCRATIC INSTITUTIONS PROJECT (511-0610). Informe Final. EVALUACION DEL PROYECTO INSTITUCIONES DEMOCRATICAS (511-0610)

## C O M M E N T S

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report :

### C O M M E N T S

- A. By the end of the first quarter of 1995, the Mission:
1. Undertook intensive direct policy dialogue with Congress, which was broadened to key members of the Bicameral Group on Legislative Modernization, Delegates of the Leadership of the Upper and Lower Houses, and the Delegate of the President of Congress for the CICON Project;
  2. Carried out a series of workshops to assess the CICON Project and determine future directions, with the active participation of the President of Congress, key members of the Bicameral Group on Legislative Modernization, CICON staff and SUNY;
  3. Obtained detailed annual and quarterly workplans from SUNY for CY95, including individual workplans showing level of effort by key SUNY staff, and coordinated these workplans with the workplans of the CICON units assisted by SUNY;
  4. Gave priority to ESF DIFEM funding for CICON through CY95;
  5. Motivated an internal promotion campaign of the CICON Project, undertaken by a respected Senate Leader, which resulted in publications within and outside the Congress stressing the need to improve legislative performance with the assistance of USAID and other donors;
  6. In the context of a six-component Governance Project Proposal, presented by the President of Congress to IDB, carried out direct dialogue with IDB to promote coordination of legislative and other DI assistance;
  7. Verified the acquisition of computer equipment and software by the National Electoral Court with their own funds to enable the publication of the voter roll for public screening;
  8. Budgeted funds under the follow-on Democratic Development and Citizen Participation (DDCP) Project to sign a limited cooperative agreement with IHR/CAPEL to provide assistance to the electoral system for the December 1995 municipal election.
- B. The design of electoral activities carried out by IHR/CAPEL and legislative activities carried out by SUNY/OIP was carried out by the Mission and not by either implementation agency.