

DEMOCRATIC INITIATIVES PERFORMANCE MONITORING STUDY
FOR THE
LATIN AMERICA AND CARIBBEAN BUREAU

VOLUME IV

Annexes

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Prepared for

William Schoux
Norma Jean Parker
United States Agency for International Development

Prepared by

Lawrence C. Heilman, MSI
Robert J. Kurz, Brookings Institute

MANAGEMENT SYSTEMS INTERNATIONAL

600 Water Street S.W., NBU 7-7
Washington, D.C. 20024

telephone: (202) 484-7170
telex: 4990821 MANSY fax: (202) 488-0754

ANNEX 1

DEMOCRATIC INITIATIVES STUDY - PERSONS CONTACTED

BOLIVIA

Robert Gelberd, Ambassador
Marylyn McAfee, Deputy Chief of Mission
Charles Herrington, Political Officer
Sharman Hinson, Narcotic Awareness Unit
Jullian Lindenauer, Narcotic Awareness Unit
Lt.Col. Brinn F. Colenda, Military Group
Bruce Wharton, Press Officer, USIS
Roy Glover, Press Officer, USIS
Carl Leonard, Mission Director, USAID
John R. Davison, Acting Deputy Director
Lawrence Odle, Office of Project Devel. & Imp.
Walter Guevara, DI Project Officer, Office of Project Dev. & Imp.
Marcelo Fernandez, Assistant DI Officer, Office of Project Devel. & Imp.
Stephen Allen, Regional Legal Officer
Steve Smith, Office of Development Planning and Evaluation
Sonia Aranibar, Office of Development Planning and Evaluation
Bernard Packer, AIFLD Country Program Director
Eduardo Rodriguez Veltze, ILANUD/Bolivia
Antonio J. Cisneros, ILANUD/Bolivia
Jose Valdivia, ILANUD/Bolivia
Mauro Broussa, World Bank, SAFCO Project Coordinator
Carlos Zubieta, Member, National Electoral Court

CHILE

Charles A. Gillespi, Ambassador
Arnold Chacon, Political Officer
Nancy Mason, Labor Attache and Human Rights Reporting Officer
James T.L. Dandridge II, Public Affairs Officer
Paul Fritz, AID Representative
Vivian H. Gillespi, Assistant to the AID Representative
Norman Schipull, AIFLD Country Program Director
Monica Jimenez de Barros, Executive Director of PARTICIPA
Gonzalo Sanchez, Deputy Director of CEAL
Amelia Dondero, Training Officer of CEAL
Enrique Canales, Liaison with the Congress for CEAL
Clay H. Wellborn, Congressional Research Service

COSTA RICA

John Hamilton, Political Officer
Doug Tinsler, Deputy Mission Director, USAID
Carl Cira, RAJO
Richard Burge, Program Officer
Linn Hammergen, RAJO
Efrain Arguedas, CAPEL
Pedro Nikken, Rep. to CAPEL, Central Uni. of Venezuela
Roberto Cuellar, Assistant Director, CAPEL
Vinicio Herrera, Director of Administration, ILANUD
Henry Issa El Dhowry, Representative from the Ministry of Justice to ILANUD
Rodolfo Osorio, Director of Planning, ILANUD
Jorge A. Montero, Director General of ILANUD
Emilia Gonzalez, Projects Officer, ILANUD
Ana Isabel Larita, Projects Officer, ILANUD

HONDURAS

Cresencio Arcos, Ambassador
Terry Kneebone, Acting DCM
Kathy Barman, Political Section
Al Barr, Political Section
Linda Cower, Political Section
Mark Mayfield, Political Section
Geoffrey Pyatt, Economics Section
Elizabeth Adair, PAO
Mike Kuntz, DEA
Carlos Matus, RSO
John Myers, RSO
Major Al Horton, MILGROUP
Major Chris C. Maxfield, MIGROUP
John Sanbrailo, Mission Director, USAID
George Wachtenheim, Deputy Mission Director
Emily Leonard, HRD
Roberto Figurero, HRD
Lee Arbuckle, RUD
Mario Pita, RUD

PANAMA

Dean Hinton, Ambassador
David Beal, Deputy Chief of Mission
Tom Maertens, Political Counselor
William Barr, PAO

Captain Pete Dukis, Commander Military Group
Col. James Steele, Commander MSG
Richard Lang, Director ICITAP
Thomas Stukel, Mission Director, USAID
Kevin Kelly, Deputy Mission Director
Harry C. Dorcus, USAID Controller
Deborah McFarland, Democratic Initiatives Officer
Carol Hornig, Democratic Initiatives Officer
James Shay, AIFLD Country Program Director

PERU

Mike Fitzpatrick, Political Section
William Watson, USIS
Chick Kiefer, DEA
Col. Patrick D. McCasin, Military Group
Craig Buck, Mission Director, USAID
Idilberto Alarcon, Division Chief, Private Sector and DI Division
Mark Visnik, Project Manager AOJ Project, Private Sector and DI Division
Cesar Fonseca, ILD Project Coordinator, Private Sector and DI Division
Rodolfo Salinas, Private Sector and DI Division
William Bimms, Chief of Special Projects Division
Elvira Varillas, Program Office
Elizabeth Visnick, International Programs, ILD
Javier Sbugattas, Advisor, Social Emergency Program
Augusto Blocker Miller, Director, La Moneda Consulting Group
Jaime Crosby, Former Director, PAS

AGENCY FOR INTERNATIONAL DEVELOPMENT

James Michel, Assistant Administrator, LAC Bureau
Fred Schieck, Deputy Assistant Administrator
Bastiaan Schouten, Office of Development Programs
Helene Kaufman, Office of Development Programs
Jack Francis, Office Development Programs
Cecile Adams, Controller Staff
Terry Brown, Office of Development Resources
Elena Brineman, Office of Development Resources
Elizabeth Mills, Executive Management Staff
Norma Parker, Director, DI Staff
William Schoux, Director DI Staff
Maria Mamlouk, Deputy Director, DI Staff
Sharon Isralow, DI Staff
Karen Otto, DI Staff
Roma Knee, DI Staff
James Wesberry, DI Staff

Peter Sellar, DI Staff
Travis Corel, PPC/PDPR

AMERICAN INSTITUTE FOR FREE LABOR DEVELOPMENT

William Doherty, Director
Jessie Friedman, Deputy Director
Sam Haddad, Deputy Director
James Holway, Social Projects Director

CENTER FOR DEMOCRACY

Allen Weinstein, President
Mary Donaldson
Caleb McCarry
Alian Raphael

DEVELOPMENT ASSOCIATES INC.

Joel Jutkowitz
James Rousch

FLORIDA INTERNATIONAL UNIVERSITY

Luis Salas, Center for the Administration of Justice
Allan Rosenbaum, Legislative Development Project
Gerald Reed, Legislative Development Project
Charles Green, Central America Development Project

ICITAP

David C. Kriskovich, Director
Raquel Mann
Roger Yolhelson

NATIONAL DEFENSE UNIVERSITY

Erik Kjonnerod

NATIONAL DEMOCRATIC INSTITUTE

Kenneth Wollack, Deputy Director
Mark Feierstein
Larry Garber

NATIONAL ENDOWMENT FOR DEMOCRACY

Carl Gershwin, President
Barbara Haig
Adelina Reyes-Gavilan

NATIONAL REPUBLICAN INSTITUTE

Ann Bradley
Robert Henderson
Edward B. Stewart
Staci Sticht

STATE DEPARTMENT

Faye Armstrong

ANNEX 2

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BOLIVIA

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DI

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ANNEX 3

THE LOGICAL FRAMEWORK

The Logical Framework approach assumes that a development project is an instrument of change, and that it was selected from among alternative instruments as the most potentially cost-effective approach to achieving a desired result. It is a way to organize information and activities so that a number of different analytic perspectives can be brought to bear on a problem simultaneously. These perspectives include:

- Program Management
- Basic Scientific Method
- Systems Analysis

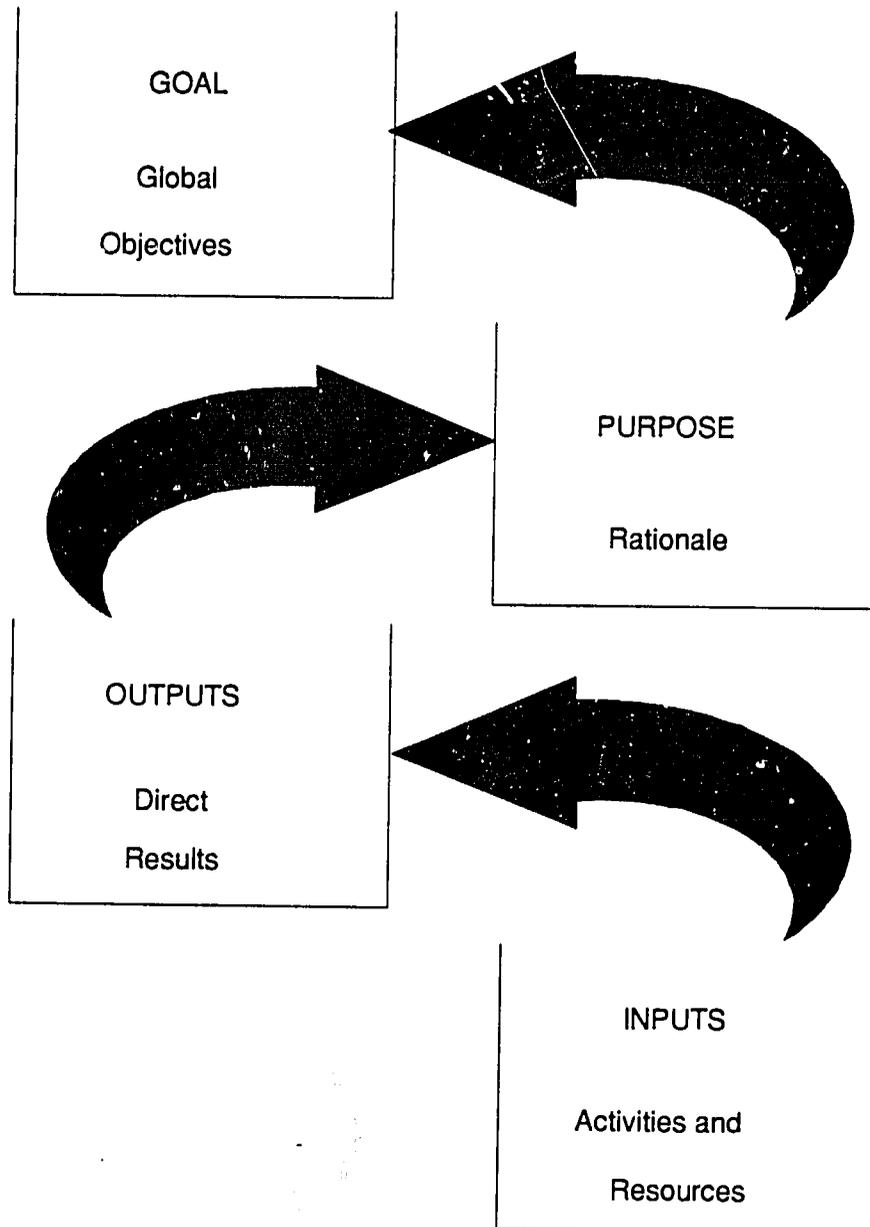
Program Management: To simplify programs, three basic levels of program responsibilities are designated:

- **INPUTS:** resources consumed and activities undertaken.
- **OUTPUTS:** the things managers are committed to produce. These must be stated as results. If those results fail to be produced, then the manager should be able to show why expectations were not met.
- **PURPOSE:** the reason for producing the OUTPUTS, that is, the higher-level objective expected to result from producing the OUTPUTS. For example, if the OUTPUTS are products, then the PURPOSE be profit. If the OUTPUTS are social services, then the PURPOSE might be that these services be used effectively by a particular target population.

Basic Scientific Method: It can be stated as follows: All human activities are uncertain. Therefore, a project should be viewed as a set of interlocking hypotheses: if INPUTS, then OUTPUTS; if OUTPUTS, then PURPOSE. Note that what varies between these two levels is the probability of success. It is within the ability of a responsible manager to ensure that INPUTS result in OUTPUTS; and he/she should be held accountable. On the other hand, the hypotheses-if OUTPUTS, then PURPOSE-is problematic. The project manager must do what a reasonable person would do to realize the PURPOSE, but he/she is not held accountable for that result.

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HIERARCHY OF OBJECTIVES



Systems Analysis: The third viewpoint important to the Logical Framework is too often neglected in both conventional management and operations research approaches. Systems analysis requires that a system should not be specified until the relationship the system bears to some larger system has been specified.

To do this, a fourth, superior level called GOAL is added to the three-level management hierarchy. The GOAL is defined as the higher-level objective immediately above project PURPOSE. GOAL thus relates the project to the aspirations of those for whom the project's activities have no intrinsic interest. If the PURPOSES are agency-level, then the projects' GOAL transcends the agency and relates the program to larger-scale objectives-objectives that may be common to multiple agencies. Given the many uncertainties in the connection between PURPOSE and GOAL, the final element of the project/program logic is viewed as a testable hypothesis (if PURPOSE, then GOAL).

Hierarchy and Linkage: In sum, the Logical Framework breaks a project down into four separate and distinct levels of objectives with a definite hierarchical order. At the lowest levels are the project INPUTS. These are the activities to be undertaken that will in turn result in the second level of objectives called OUTPUTS. OUTPUTS are the results that are directly accomplished by management of the INPUTS. For example, an education project can produce trained teachers, a constructed and equipped school building and trained administrators by managing a specific set of INPUTS. Yet the OUTPUTS are not valuable for their own sake and are not the justification for the project. What is really sought is an improvement in education. This then represents a higher level of objective called PURPOSE. The PURPOSE is what is expected to result from having achieved the OUTPUTS.

The fourth level in the Logical Framework is a higher-order objective called the GOAL. The project is one of the necessary conditions for achieving this GOAL, but typically will not be sufficient by itself to achieve the GOAL. Using the same example of an education project, if the specific project PURPOSE is improved education, the GOAL might be that certain manpower needs of local industry are met. In order to achieve this GOAL, other projects also may have to be undertaken. Just as it is essential to identify all the OUTPUTS necessary to achieve the PURPOSE, so must all the PURPOSES (projects) be identified which are necessary to achieve the GOAL.

The hierarchy of objectives as discussed above may be shown as follows:

Assumptions: Each time a hypotheses is made, i.e.,:

- if the INPUTS are managed properly, then the OUTPUTS will be produced;
- if the OUTPUTS are produced, then the PURPOSE will be achieved;

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- if the PURPOSE is achieved, then this will contribute to achievement of the GOAL;

it is necessary to accept a degree of uncertainty. The amount of uncertainty increases as one reaches higher up the project hierarchy of objectives. It therefore becomes important to clarify the nature of this uncertainty so that a design that has the highest probability of success can be selected. This is done by including in the project design those factors necessary for achieving success that are beyond the control of the project manager. These additional factors are called assumptions.

The important aspect about assumptions is that, at any one level, all the necessary and sufficient conditions must be defined. Those elements within the project manager's control constitute the project's central hypothesis; those outside his/her control are the assumptions that need to be in place in order to achieve the next level objective. The Logical Framework requires that at each "level" the activities or results planned plus assumptions at that level constitute sufficient conditions to achieve the next higher level.

Managing Change: Assumptions are useful not only during the design stage of the project but also during the course of the project and its evaluation. To develop assumption statements it is useful to ask the question: "What could happen to make this assumption invalid?" Once the project begins, a good project manager monitors assumptions regularly so that corrective action can be taken in a timely manner. Assumptions are also important during an evaluation because their examination can provide insight as to why the project has or has not succeeded in achieving its objectives.

Indicators: The statements of GOAL, PURPOSE, OUTPUTS and INPUTS frequently are subject to misunderstanding or open to different interpretations by those involved with the project. GOAL and PURPOSE level statements, in particular, tend to be ambiguous and are frequently interpreted to mean as many different things as there are people involved in the project.

Visualizing and articulating exactly how to recognize "success" at each project level enables the project manager to sharpen his/her focus on the project objectives and have confidence that all those concerned with the project share the same picture. Indicators are the means for establishing what conditions will signal successful achievement of the project objectives. In this way indicators can be used to clarify exactly what is meant by the narrative statement of objectives at each of the project levels.

Indicators demonstrate results. They are not the conditions necessary to achieve those results. The number of indicators necessary to measure success is that minimum number that gives the project manager confidence that their existence will in fact demonstrate achievement of the project objectives and, in addition,

give him/her a clear target to aim at achieving. Only when the objectives are clearly targeted in terms of quantity, quality, and time can the project manager judge whether or not the conditions at one level in the project are sufficient to achieve the next higher level objective.

EOPS: Because the project PURPOSE is of major concern, the set of indicators at the level has been given a special name: End of Project Status (EOPS). This is because the PURPOSE is the main thrust of the project, and because the PURPOSE is frequently extremely complex involving such factors as organizational viability, net improvement in complex (e.g., human) systems, and so forth. For complex objectives, it is frequently the case that no single indicator suffices.

The Logical Framework encourages the project designer to define clearly and explicitly what will indicate that the project can be considered a success. Included directly in the project design is the set of conditions that will signal successful achievement of the project PURPOSE.

In general, operationally useful targets and indicators: (1) measure what is important, (2) are plausible, (3) are targeted, (4) are independent. However, the value of an indicator is limited by the means available to verify it. Finding data for some indicators may require just a quick review of project records whereas other indicators require sophisticated data collection and analysis for verification, which should then be planned for and included in the project INPUTS. To clarify such issues, the Logical Framework adds a column called **Means of Verification** forcing designers to indicate how data will be found and analyzed for each key indicator.

Ease of Evaluation: The discipline of using the Logical Framework in the design process facilitates the production of an evaluable design in which objectives are clearly stated, the development hypotheses are understood and indicators of success at each level of the project hierarchy have been established. Calling in the evaluators during the design phase to ascertain if the needed data can be collected, at a reasonable cost, helps clarify the project design still further. Most importantly, the indicators express what the designers are willing to call success; thus the evaluation task is simply to collect the data for those key indicators and "evaluate" the project against its own pre-set standards of success.

Finally, it is important to note that project designers and managers should expect to change the Logical Framework frequently during design and implementation. The Logical Framework should be expected to change during the design process as use of the concepts constantly raise important questions and force the manager to continually refine the design until a high confidence in its validity can be ensured. It is much better to make mistakes on paper than in practice.

The basic form used for preparing a Logical Framework is shown on the following page.

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LOGICAL FRAMEWORK FOR SUMMARIZING PROJECT DESIGN

Project Title: _____

Date of this Summary: _____

DEVELOPMENT HYPOTHESES

MANAGEABLE INTEREST

	NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
If Purpose, Then Goal	Program Goal: The broader objective to which this project contributes:	Measures of Goal Achievement:		Concerning long-term value of program/project:
If Outputs, Then Purpose	Project Purpose:	Conditions that will indicate purpose has been achieved: End of project status.		Affecting purpose-to-goal-link:
If Outputs, Then Outputs	Outputs:	Magnitude of Outputs necessary and sufficient to achieve purpose.		Affecting output-to-purpose link:
If Inputs, Then Outputs	Inputs: Activities and Types of Resources	Level of Effort/Expenditure for each activity.		Affecting input-to-output-link:

ANNEX 4

LIST OF ACRONYMS

A.I.D. - Agency for International Development
ADN - Accion Democratica Nacionalista
AIFLD - American Institute for Free Labor Development
AOJ - Administration of Justice
AOSC - Agency Occupational Specialty Code
ATA - Anti-Terrorism Assistance
CAFJ - Center for Administration of Justice, Florida International University
CAPEL - Center for Electoral Promotion and Assistance
CDT - Confederation of Democratic Workers
CEAL - Centro de Estudios y Asistencia
CIEL - Centro de Informatica y Estudio Legislativos
CPD - Country Program Director, AIFLD
CLP - Country Labor Program, AIFLD
CPU - Cooperacion Promotorio de Universidades
DAEC - Development Assistance Executive Committee, LAC Bureau
DCM - Deputy chief of Mission
DDG - Peru program of ILD
DEA - Drug Enforcement Agency
DI - Democratic Initiatives
DI Staff - Democratic Initiatives Staff
EOPS - End-of-Project Status
ESF - Economic Support Funds
FIU - Florida International University
FUSEP - Honduras Police
FY - Fiscal Year
GDP - Gross Domestic Product
ICITAP - International Criminal Investigation Assistance Program
IIDH - Inter-American Institute of Human Rights
ILACO - Implementation of the Law of Systems Administration and Control
ILANUD - The U.N. Latin America Institute for Prevention of Crime and
Treatment of the Offender
ILD - Institute for Liberty and Development
INCAE - Instituto Centro Americano Ciencias, Administrativa y Economicas
LAC - Latin America and Caribbean
MILGROUP - Military Assistance Group
MIR - Movimiento de la Izquierda Revolucionaria
MIS - Management Information System
MNR - Movimiento Nacionalista Revolucionario
MRTA - Tupac Amaru Revolutionary Movement
MSG - Military Liaison Group
MSI - Management Systems International

NAU - Narcotics Awareness Unit
NED - National Endowment for Democracy
NGO - Non-Governmental Organization
NPD - New Project Description
PAO - Political Affairs Office
PAS - Programa de Apoya Social
PDF - Panama Defense Force
PID - Project Implementation Document
PIO - Project Implementation Order
PP - Project Paper
PTJ - Panama Judicial Technical Police
PVO - Private Voluntary Organization
RNP - National Registry of Persons
RSO - Regional Security Office
RHUDO - Regional Housing and Urban Development Office
SAFCO - Government Systems Administration and Control
SAR - Semi-Annual Reports
SDI - Strengthening Democratic Institutions
SUNY - State University of New York
TNE - National Electoral Tribunal
U.S.A.I.D. - U.S. Agency for International Development
UCV - Catholic University of Valparaiso
USIS - U.S. Information Service

ANNEX 5

GUIDELINES FOR AN IN-DEPTH ANALYSIS OF AN ELECTORAL PROCESS

Election observer missions, as the term has been used in the Guidelines, are not dispatched to conduct a comprehensive academic analysis of the political system of a foreign country. Nonetheless, in certain instances, various aspects of the electoral process may warrant an in-depth examination because they may affect the overall fairness of the process. This Appendix is designed to assist observers in identifying problems that may be present in an electoral process.

The Appendix is organized in outline form. With respect to most of the subjects covered by the Appendix, there is no prescribed procedure for ensuring a fair election. This reflects the cultural and historical diversity that make the development of one ideal electoral system a practical impossibility. Observers must rely on their own judgment in evaluating whether a particular procedure in the context of an election in a particular country is unfair and, to the extent that the procedure is unfair, its impact on the overall process.

I. Evaluation of the Electoral Law

A. The Election Administrators

1. Who are the administrators? (e.g. civil servants, party appointees, political independents, etc.)
2. How are the election administrators appointed?
3. What is the specific authority of the election administrators?

B. Parties

1. What are the formalities for registering parties, if any?
2. Do the formalities operate to exclude certain parties from participating in the political process?
3. If parties are excluded, are there nonetheless electoral choices between candidates either within a prescribed party or between parties that are legally authorized to participate in the process?
4. Do the electoral laws govern internal party activities such as the nomination of candidates?
5. What is the role of parties in administering the election?

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C. Voter Registration

1. Is pre-registration required?
2. If registration is required, how is it accomplished? (e.g. is it a continuing list? is it automatic upon reaching a certain age? etc.)
3. If pre-registration is not required, how is voter eligibility determined? (There are circumstances where pre-registration may be inappropriate, in such instances, the authorities must develop means to prevent double-voting and voting by those not eligible to vote).
4. Who is excluded from voting? (e.g felons, military personnel, citizens outside the country, etc.)

D. Election of Candidates

1. How are candidates elected? (majority or plurality vote per constituency or by some form of proportional representation.)
2. Does the system effectively disenfranchise voters in a discriminatory fashion?

E. Constituencies

1. Where constituencies are used, how are they established?
2. Do the constituency delineations respect consistent principles such as: equality of voting power; geographic contiguity; and tradition?

F. Administration of the election at the local level

1. Who appoints local electoral officials? (e.g. the incumbent authorities, an independent electoral administrator, the parties.)
2. How are local officials trained?

G. Challenges

1. Who is authorized to file challenges? (e.g. voters, party poll watchers).
2. What are the procedures for reviewing initial decisions made by local election officials?

H. Other aspects of electoral law

1. Are there provisions pertaining to media access?
2. Are there provisions pertaining to campaign financing?
3. Are there provisions pertaining to the holding of political meetings or rallies?

II. The Political Campaign

A. Political Parties

1. Background information (should be provided to observers prior to arrival in host country)
 - a. name of parties;
 - b. political orientation;
 - c. participation in previous elections or governments;
 - d. leaders of parties;
 - e. sources of political support--e.g. ethnic, religious, education level, economic class;
 - f. affiliations within host country and with parties outside country.
2. Party participation in election
 - a. Are all political parties and political personalities participating in the electoral process?
 - b.