

PD-AAZ-844

**STRENGTHENING OF DEMOCRATIC INSTITUTIONS  
TNE/RNP COMPONENT**

**FINAL REPORT**

**AID CONTRACT NO. 522-0296-C-8207**

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**DUAL & Associates, Inc.  
Two Colonial Place  
2101 Wilson Blvd. Ste. 600  
Arlington, VA 22201**

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# INTRODUCTION

## 1.1 General

This report was prepared in accordance with the requirements of USAID contract number 522-0296-C-8207, Strengthening of Democratic Institutions, TNE/RNP Component, issued by the Executive Office, Procurement Division, USAID/Honduras. The objective of this contract was to support the strengthening of one of the important democratic institutions in Honduras, the National Registry of Persons (RNP) of the National Elections Tribunal (TNE). DUAL and Associates, Inc., (DUAL) was responsible for the updating, verifying, microfilming, and computer listing of vital documentation, to consolidate and standardize the Civil Registry of the RNP. These vital documents included registries of birth, marriage, adoption, naturalization, divorce, and death. These documents are used for several purposes. One is to provide the basis for issuance of identification cards; another is to provide the information for preparing voter lists; and a third is for record review to help determine inheritances and solve other citizen information problems. Microfilming these documents and automating critical data provides long term protection and greater accessibility.

DUAL was hired by AID/Honduras to establish this special operation, which included constructing a management and administrative support system for the preparation of personnel and physical facilities, and for the identification of necessary equipment to be procured. This would allow the RNP to continue its current operations, while strengthening its operational capacity through the acquisition of material and the development of career professionals trained in the managerial and operational techniques associated with sustaining the developed system.

# SUMMARY OF ACCOMPLISHMENTS

## 2.1 Background

In broad terms, the goals of the project were to:

- a) establish a complete, updated registry on all Honduran citizens, and
- b) increase the capabilities of the National Elections Tribunal (TNE), and the National Registry of Persons (RNP), to maintain this registry. At the end of the project, the anticipated outputs and products were as follows:
  1. Approximately twenty-five million microfilmed documents, some five million of which were to be requests for identification cards.
  2. Data from these documents to be automated to provide the data base for the 1989 electoral lists.
  3. Identification of inconsistencies in citizen's records in order to allow resolution by the TNE/RNP.
  4. Employment and training of approximately 600 staff and supervisors for future use by the TNE/RNP.
  5. Equipment procured for the project to be donated to the TNE/RNP in order to upgrade their capabilities.
  6. Manuals on personnel and financial administration, technical aspects of the project, and procedures of every department.

in order to accomplish these goals, the contract called for the establishment of a comprehensive infrastructure to support project operations. Personnel had to be evaluated, selected, hired and trained; equipment had to be evaluated, selected, procured and installed; facilities had to be selected and modified; local support had to be selected and contracted (i.e., maintenance, security and transportation, miscellaneous vendors and services, etc...), and a vast administrative system had to be implemented to account, monitor and manage all aspects of project operations.

While the project had the short-term objectives of an updated microfilmed and automated registry, its long-term goals were to develop a system that the TNE/RNP could sustain after technical assistance was completed.

In the first instance, Honduran nationals hired for the managerial, supervisor, and staff (administrative and technical) positions would be an invaluable resource upon project completion, allowing for an efficient transition and to sustain the operation, once under Honduran management and control.

Secondly, sustainability would be further enhanced by coordination among all participating entities, allowing for an integrated process of design and implementation as the project was executed.

Lastly, the technical and administrative methods for attaining these short and long-term goals would be documented in a set of procedural manuals. These would describe how the various project activities operated on a day-to-day basis and would serve as guidance for future operations.

The following section addresses specific accomplishments as defined by the contract Work Statement. Each item in the Work Statement is summarized for reference and addressed separately. The complete Work Statement is included in Attachment A.

## **2.2 Work Statement Performance**

### **A. Project Objectives, Approach, and Anticipated Outputs (Section B.2.a)**

DUAL and Associates received an authorization to proceed on January 28, 1988, at which time efforts were undertaken to select and hire the key in-country personnel who would assist in the hiring of the project staff and the identification of project requirements, design/definition of required resources, and implementation/execution of the tasks. Starting on February 22, this staff began a detailed review of the draft scope of work and letters of implementation, and began meeting with AID to present and discuss DUAL's technical approach.

As early as April 5, 1988, DUAL briefed Mr. Sanbrailo, USAID Honduras Mission Director, on the project implementation plan, as well as on potential obstacles foreseen at this time. DUAL was instructed to and subsequently met with Mr. John Kelly, USAID IRM, on April 9, 1988, to present the project implementation outline and specifics on DUAL's technical approach. On April 8 and 9, 1988, DUAL met with Messrs. R. Murphy, A. Palacios, and A. Volbrecht, in Tegucigalpa, in order to brief them on the technical issues of the project. A following meeting on April 15, 1988, resulted in written permission from Mr. R. Murphy to proceed with the procurement of the required equipment.

The project plan was complete on April 28, 1988, and DUAL had its first formal meeting with the TNE on this subject, on May 6, 1988, at which time the project plan, design, equipment, personnel, and anticipated deliverables as per the contract work statement, were discussed. A translated copy of this presentation was submitted to the President of the TNE

on May 9, 1988, and further discussions were held relative to specific issues regarding the term "actualization" of registered documents and equipment selection and procurement. Additional meetings were held with the TNE's Information Commission (InfoCom) on May 11 and 16, 1988, to discuss the plan and similar issues.

On May 18, 1988, DUAL received the TNE's objections to the technical approach, and during subsequent meetings held on May 19, 23, and 27, 1988, further definition and agreement on specific technical issues was achieved. During this period, presentations and written responses to TNE inquiries were continuously prepared in order to clarify technical aspects of the project and thus obtain approval of the project's technical plan. After these meetings, no others were held on the subject, no further questions were raised, and on June 6, 1988, DUAL requested from USAID approval of the project automation components in order to avoid any more critical project delays.

B. Examine Existing Resources (Section B.2.b)

Despite the lack of assistance by the TNE, DUAL proceeded with meetings with the RNP beginning in early March 1988, in order to obtain inventories and conduct requirements analyses of personnel, facilities, and equipment necessary to operate and support the proposed system. In addition, RNP employees were interviewed in order to determine personnel and equipment capabilities as related to the data entry aspects of the project. These were used to further define productivity projections and performance parameters necessary for identifying quantity and quality of material and human resources.

As part of this effort, DUAL identified potential vendors and equipment availability. All these variables were utilized in the analysis that determined the proposed project (and specifically, equipment) configuration, which was documented in the Project Plan.

C. Assess Similar Projects (Section B.2.c)

This effort was eventually abandoned by AID due to the time constraints imposed on the project. In one instance, as a result of a meeting with Mr. J. Kelly, USAID, on April 9, 1988, DUAL, in conjunction with USAID Honduras, researched available documentation on a similar project conducted in El Salvador. This documentation dealt with the methodology, equipment configuration, and report generated software for a particular aspect of the automated process. USAID attempted to obtain copies of the software programs (e.g. SOUNDEX) utilized in that effort but was unsuccessful due to their unavailability.

D. Selection of Facilities and Modification Thereof (Section B.2.d)

A concerted search for and selection of the work site began in late February 1988, immediately upon the hiring of the project manager. He arrived in country on February 22. On March 11, 1988, Messrs. Murphy, Volbrecht and Palacios, USAID Honduras, were taken to visit Edificio Simon, the eventual project site.

This site was found most advantageous due to the availability of sufficient contiguous space, overall building security, proximity to the TNE and RNP offices, availability of public transportation, and relative night security. While other sites continued to be studied, none were found offering the amount of space required nor any of the advantages of the Simon building. The building was inspected and approved by a representative of the Embassy's Regional Security Office on March 29, 1988, and approved for the project by both AID and DUAL.

Although there was an agreement and a contract drawn, the TNE did not sign (the lease contract) until October 7, 1988. Expecting his signature, and hoping for a long term commitment, the building owner allowed DUAL to occupy the site in May to begin project work. Without a signed lease, however, DUAL could not begin any physical modifications. In addition, funds were not available for this purpose until the end of September, when AID approved \$75,000.00 for building modifications. The renovations began on October 1, 1988 and the site was ready for operations in late November 1988.

E. Technical Specification (Section B.2.e)

In conjunction with the technical plan, DUAL prepared a technical specification for the total system as envisioned for project implementation, and sent this document to ten information systems suppliers in the U.S. on March 22, 1988. The technical specification was for a "turn-key" system. USAID circulated in Honduras a separate technical specification for a mainframe computer with 100 terminals to function as work stations, and peripheral devices which included some microfilm equipment. DUAL subsequently briefed the five vendors USAID had selected in Honduras on exactly the same system specification that was provided to U.S. based suppliers.

F. Financial Management and Administrative Systems (Section B.2.f)

The Administration and Financial Management manual was approved by the TNE and AID in November, 1988. Automated financial management and administrative programs were developed in conjunction with the Auditor General of the TNE and were transferred to the TNE along with the project's transition in June 1989. These programs included:

- a) accounting systems comprised of financial statements, expenditure reports, balance sheets, and complete counterpart financial reports; and
- b) administrative programs comprised of payroll lists, and complete material resources inventory.

G. Financial Management Assistance to TNE/RNP (Section B.2.g)

DUAL worked in conjunction with the Auditor General of the TNE in all daily financial activities, and in the design and implementation of all financial systems. These personnel were

provided office spaces within the Administrative Department. DUAL also provided personnel (Oscar Ordonez and Ciro Ortez) to manage all activities required to execute funding tasks, and coordinate and conduct liaison with all pertinent entities (i.e. Ministry of Hacienda (Treasury), TNE, AID, and miscellaneous vendors).

H. Personnel Manual (Section B.2.h)

A preliminary personnel manual containing position descriptions was submitted in November, 1988. This became a working document as the project advanced and was modified as needed. The final personnel manual was submitted on June 29, 1989, in two volumes, i.e., Administration and Technical Direction.

I. Work Plan (Section B.2.i)

A translated copy of the work plan was submitted to the TNE on May 9, 1988. As further discussed in paragraph A, meetings were held (and presentations were given) through April, May and June, to clarify aspects of the plan and further define specific issues raised primarily by the TNE. A subsequent plan, addressing the new phase of the project as implemented in January 1989, was delivered on June 29, 1989.

J. Local Security (Section B.2.j)

DUAL identified and solicited bids from four security firms. A contract was signed by the TNE with Empresa Hondurena de Seguridad, S. de R.L., which eventually (February, 1989) was changed to SISTEC. In addition, DUAL requested AID assistance for additional security and continuously assisted the TNE in contracting military security services (Cobras) to supplement these efforts.

K. Military Assistance for Document Transport (Section B.2.k)

This requirement was changed by the TNE to be solicited on an as needed basis. It was never required during the execution of the project.

L. Military Assistance for Document Transport from Remote Areas (Section B.2.1)

Same as paragraph K.

M. Selection of Local Contracting by the TNE (Section B.2.m)

All these efforts were undertaken either through warranties, or formed part of the project which was funded by counterpart. For example, building maintenance and custodial services were part of General Services under Administration and were staffed by project personnel.

N. Procedural Manual (Section B.2.n)

Preliminary procedural manuals were completed prior to the start of project operations. These were used as guidelines and living documents as the project progressed. Final manuals, including the changes implemented in January 1989 (i.e., Emergency Plan), were delivered on June 29, 1989. Procedural manuals were developed for every section within the Administrative and Technical departments.

O. Production (Section B.2.o)

DUAL's contractual scope of work defines a technology, associated deliverables, and a timeframe for accomplishment of specific tasks. During the progress of the contract, a variety of delays were experienced, outside the control of the DUAL team. These resulted in the curtailment of DUAL's implementation activities and overall execution of the contract. These delays can be grouped as follows:

1. **Approval of Technical Plan.** As discussed in sections A and I above, questions and miscellaneous inquiries on DUAL's plan, and general approach and methodology were resolved in June 1988. No further inquiries of any nature were made by the TNE after that date. DUAL assumed acceptance and approval when a) funds were made available in November 1988; b) the first employee candidate lists were sent in August 24; and c) the lease contract was signed on October 7, 1988.
2. **Work Site Modifications.** As discussed in section D, the project site was selected and approved in March 1988, but the TNE did not sign the lease contract until October 7, 1988, and funds for modifications were not available until late September of the same year. The principal impact of these delays was to postpone the remodeling of the work site until October which meant that virtually no equipment could be installed until that time.
3. **Funding Availability.** Although the TNE had project funds available as early as June 1988, they were not transferred nor legal authority for their use (by the registration of the TNE treasurer's signature) given until October 1988. The first check cleared on November 8, 1988.
4. **Party Lists of Prospective Employees.** Project employees were hired from lists provided by each political party. Each party was to be represented by 25% of the available positions. DUAL requested personnel lists in May 1988, however, the first lists were not forwarded by the TNE to the project until August 24, 1988. As of February 1989, the project was still short of personnel due to this serious lack of cooperation. Moreover, on several occasions, large numbers of employees (60 in one instance)

were arbitrarily replaced by a member political party of the TNE, further delaying evaluation and training. The TNE requested that the project substantially reduce the basic qualifications of personnel to help them fulfill their quotas. These initiatives were undertaken over DUAL's objections since the qualifications were already at a minimum level as previously agreed by all participating entities. Even when faced with these shortcomings, the TNE refused to allow DUAL to obtain these resources freely in the marketplace. The approximately 850 personnel added by the TNE when they implemented manual transcription (the Emergency Plan, January 1989), were of such poor quality that the project had to be suspended and these people trained for approximately two months in order to bring them to an acceptable working level. Lastly, the TNE had to approve DUAL's own technical team personnel. In several instances they rejected Dual personnel or delayed their approval, further compromising the timely start of project operations.

**5. Letters of Commitment.** By late April 1988, all key project equipment had been selected, and although DUAL was given written authorization to proceed with procurement on April 15, 1988, none of the vendors were willing to initiate shipment based on Letters of Intent. Letters of Commitment were required and these arrived at DUAL on June 14, 1988, on which date DUAL also received cabled approval of equipment and selected technology from AID/IRM. On June 22, 1988, the AID Honduras Contracting Officer and Comptroller requested that DUAL act as freight forwarder and take responsibility for equipment shipment instead of having each vendor make its own arrangements. A letter of modification for shipping was not issued until July 27. DUAL agreed and a contract modification was eventually issued.

**6. Access to RNP Registry Books.** Beginning with the earliest meetings and presentations to the TNE, DUAL emphasized the criticality of obtaining registry books in a timely fashion. The books were the project's raw materials and in a very real sense their availability drove production. Because these books are sensitive, they contain the original and often only copy of basic civil information on the Honduran citizenry, their use requires special permission. These requirements were well understood by all participating entities, however, the TNE did not provide the legal decrees that would have allowed DUAL to obtain and process the books until February 1989. Even after this hurdle was overcome, obtaining books from the RNP always required extensive lobbying. As late as May 1989, when the project had been modified and personnel trained by RNP supervisors, we managed to obtain approximately 1000 birth registry books but a week later the RNP requested their return, effectively shutting down the project's operation.

**7. Miscellaneous Delays.** Added to the principal obstacles mentioned above, were a variety of shorter, but at times persistent delays. First, the TNE and RNP never approved a set of procedures for the verification and acceptance of microfilmed rolls. Moreover, they never agreed on a method to be implemented for the unbinding and binding of books, although DUAL worked closely with them in selecting a contractor and executing a test of possible methods. This lack of decision severely constrained microfilm production. Secondly, DUAL's company registration in Honduras or the TNE's extension of their own juridical status in order to process counterpart funds or allow either party to enter into contractual agreements, was a long debated issue. In either case, TNE actions were necessary, in conjunction with the Ministry of Hacienda. Lastly, the bombing of the Mission in April 1988 caused a dangerous situation in-country, forcing the U.S. Government to impose a travel advisory, at a time when DUAL support from Washington, D.C. was critical for the definition and presentation of project methods and approaches, and eventually, the technical plan.

All of the above had the unfortunate effect of not allowing the project infrastructure to be completed until November 1988 and the project to be ready for operations until December/January when tests were conducted and production runs planned for verification. On January 18, 1989, the TNE initiated project modifications to institute manual transcription, which caused further delays. Production methodology had to be changed and an additional 850+ employees were hired. This process took approximately one month to complete and production started in March 1989. Soon after, however, it became apparent to all parties involved in the project, that these new TNE personnel produced unacceptable levels of work and of extremely poor quality, therefore additional training was implemented during the latter part of March and April 1989, to bring their capabilities to acceptable project levels. Production began again in the first week in May; however, on May 17, the RNP requested the return of all books, which was accomplished on the following day. Outside of transcribing 40,000 death documents for the RNP, after the books were returned, project production had stopped. By this time, DUAL had been officially informed of contract termination effective the contractual date (June 30, 1989), and thus the month of June was used to effectively complete all pending efforts, close out contractual requirements, and transition the project to the TNE. All these activities were completed by June 30, 1989.

As discussed in the previous paragraphs (and the ones that follow), DUAL completed all the requirements necessary to implement and sustain

project operations. A comprehensive and effective infrastructure that included approximately 1300 trained personnel, complete facilities, equipment, and material support was transitioned at the end of the project. In spite of the critical delays described above, approximately 350,000 documents were manually transcribed, 2430 books were microfilmed into 366 rolls with duplicates, and 300,000 documents entered into the data base. In addition, approximately 425,000 manual transcriptions previously done by the RNP were entered into the data base. Unfortunately, upon verification they were found of extremely poor quality and had to be manually transcribed again.

P. Financial Arrangements (Section B.3)

All financial arrangements were established as per direction from AID and the TNE. Expenditures records and accounting reports were submitted in accordance with the schedule and as requested by AID and the TNE. Final documentation and reconciliation of all project accounts were submitted on June 29, 1989. Pending reports will be included in the contract close-out documentation.

Q. Technical Assistance (Section B.4)

DUAL hired key in-country personnel in February and March 1988, including the Project Manager, the Technical and Administrative Directors, and a small staff. These personnel then hired the remainder of the DUAL team that consisted of the Section Chiefs, and Technical and Administrative staffs. Although the TNE subsequently objected to several candidates, most of these personnel were hired and in place by July 1988, at which time they undertook the design and development of their respective areas, including drafting preliminary manuals, identifying required material and human resources, and developing action plans and schedules.

R. Personnel Contracts (Section B.5.a)

Every individual that worked in the project had a contract, in accordance with Honduran government requirements and regulations, and established pay levels. All these procedures were established in conjunction with and approved by, the TNE.

S. Performance Incentive Programs (Section B.5.b)

Incentive programs were not implemented since AID could not participate in any program resulting in wage enhancements. In Honduras, such programs are outside of accepted practice except in industrial projects. In addition, the TNE imposed strict salary caps for each position.

T. Political Contributions (Section B.5.c)

No project funds were used nor any salary deductions made for any political activity and/or contribution.

U. Training Programs (Section B.5.d)

Most of the approximately 500 project personnel completed orientation and technical training in procedures unique to their assigned departments. On-site training began on November 7, 1988 and continued through December 30, 1988. The schedule by department was as follows:

Document Control and Transportation	November 7 through 29
Data Entry	November 14 through December 30
Verification	November 14 through December 30
Microfilm	November 23 through December 21

Additional, specialized training in document handling techniques was conducted by an archivist from the University of Honduras for the Microfilm and Document Control departments. Lastly, INFOP, the Government Institute for Human Resource Training, conducted a two weeks Supervisory and Interpersonal Relations Skill Seminar for supervisors.

V. RNP Personnel (Section B.5.e)

Personnel were not only hired based on TNE/RNP recommendations but were hired with their approval. On several instances, qualified personnel were not hired because of RNP objections.

W. Personnel Evaluations (Section B.5.f)

Work standards were established along with the design and technical plan of the project. These guidelines were used for the system of monthly evaluations conducted throughout the duration of the project. In addition, a manual for Evaluation of Personnel was developed and delivered on June 29, 1989, for continued guidance.

X. Personnel Terminations (Section B.5.g)

On several instances, DUAL attempted to terminate project personnel but found it impossible due to the political nature of environment. Employees fought and/or the TNE would oppose any termination because of political patronage. On the other hand, the TNE on several occasions terminated employees arbitrarily, without regard for performance or the impact of such action on the project.

Y. Manuals (Section B.5.h)

Preliminary personnel manuals were prepared by November 1988 and updated throughout the duration of the project, in particular in January 1989 when the project was modified. These manuals were delivered on June 29, 1989.

Z. Commodity Procurement (Section B.6)

All procurements were in keeping with USAID and GOH guidelines and approved by USAID and the TNE.

AA. Commodity List for Procurement (Section B.7.a)

The commodity list was completed on April 25, 1988. Prior to that date, DUAL conducted an evaluation of potential equipment configurations and vendors, including asset availability and in-country support. Official requests for bid were also sent to US suppliers on March 22, 1988. AID issued DUAL a written authorization to proceed with procurement on April 15, 1988, since many of the items had been identified by that time. The final commodities list was completed on April 25, 1988, and AID reviewed every request for procurement, and approved every item that was procured.

BB. Specification Approval (Section B.7.b)

This item refers to AID and TNE required actions.

CC. Procurement Actions (Section B.7.c)

Contracting local services was done in accordance with AID and GOH regulations, and with the approval of AID and the TNE. No subcontracts were signed by DUAL, except CADERH for personnel evaluation and selection. In every single other instance, subcontracts, although coordinated and monitored by DUAL, were signed by AID or the TNE.

DD. Monitoring and Evaluation (Section B.8)

Quarterly plans were postponed throughout 1988 because of the delays in the project and lack of "go-ahead" by the TNE prevented DUAL from establishing working schedules, actions and milestones. Progress reports were prepared internally on a weekly basis and submitted to AID. A management information system was implemented that tracked all project activities but was not used due to the lack of production in 1988 and the changes to the project implemented in January, 1989. Monitoring and evaluation was conducted through a system of action chits that tracked all open issues and problem areas. All section chiefs participated in Tuesday morning meetings that reviewed the action chits; the TNE (InfoCom) was invited to attend each session and participated on occasion.

# METHODS OF WORK

## 3.1 General

DUAL's work methods for the project were based on a careful understanding of the requirements of the contract. Project requirements were defined and evaluated; technical and administrative processes designed and implemented; and project activities executed and monitored.

Although iterative in nature, and prone to overlap due to the nature of the work, these work methods basically coincide with the three critical stages of the project. The following sections address these methods.

## 3.2 Definition

DUAL first established a team of senior management and technical personnel to define the specific task and administrative support requirements necessary to fulfill the scope of work. These personnel were based in Washington, D.C., and were composed of corporate program managers, administrators, and technical experts in the areas of management information systems (MIS), automated data base development, microfilm technology and applications, mainframe computer technology and applications, personnel training, government procurement regulations and procedures, and finance.

These personnel were selected to assist in the definition of project requirements, the design of the system, and the identification of equipment and personnel project requirements. In addition, some of these personnel performed liaison with Honduran government and AID personnel to define and evaluate contractual and technical design matters. As this stage concluded, the senior team selected the in-country directors responsible for the implementation and execution of the work.

## 3.3 Design and Implementation

Once the outline and basic requirements of the project were defined by the senior management team, efforts were undertaken immediately to staff the project and proceed with detail design and implementation. The senior management team, discussed in section 3.2, was supplemented by a team of senior in-country personnel, composed of the project manager, the administrative and technical directors, and a small staff. This team adhered to the following methodology in the design and implementation of the system.

Upon an evaluation of project goals and objectives, as defined by the participating entities and as stated in the Work Statement, the team proceeded to identify, evaluate and quantify specific task requirements.

These included:

- quantity, structure, condition, and location of registry books
- production rates required to meet target dates
- skill levels as per different equipment alternatives and production rates
- technological requirements and alternatives
- facilities and installation
- schedules and milestones
- administrative support structure

In addition, the team evaluated possible constraints that further defined design parameters, and could affect the performance of the effort. These included:

- Honduran labor laws
- access to vital documentation
- quantity and quality of labor skills
- material and labor resources availability
- geography and weather

The process of definition and evaluation was iterative since all these factors were interdependent. Each iteration helped to further focus on each project area, coordinate the different tasks and requirements, and eventually optimize the system in its entirety. The result at this point was a general design and outline of the project that concentrated on the major technical and administrative areas. The definition of goals, task requirements, and constraints allowed the team to proceed to the next step in the project methodology.

The next step in the methodology required the team to:

- define specific tasks and methods to perform the work, including the project organization, and design, milestones, goals and procedures for each technical area.
- prepare a plan of action that defined all major milestones, production rates, and completion dates.

identify all resources, human and material, required for the project, such as facilities, type and quantity of labor skills, and equipment requirements by department.

These efforts culminated in the final project design, the definition of its accompanying infrastructure, and the selection of required equipment.

Implementation of the system required two parallel methodologies, as appropriate for human and material resources. Personnel were recruited in equal numbers from each political party, subjected to testing and evaluation, and then selected for a specific project position. The personnel were then hired and trained in procedures unique to their assigned departments and associated tasks. The equipment, on the other hand, was selected by the DUAL team and procured through AID Letters of Commitment. DUAL then ensured that the equipment was shipped and installed in a timely and proper manner.

The next step in the methodology was to merge these resources in preparation for project execution (operation). This merge represented the integration of all areas of the project: personnel were trained and in place; equipment was installed and functioning; computer programs were completed; facilities were prepared; and administrative support established in order to ensure the continuous effective operation of the project. This part of the methodology ended with a series of verification tests that confirmed the project could operate in an integrated and coordinated manner, as designed.

### **3.4 Execution**

During this stage of the project, the principal work methods centered on continuous monitoring and evaluation, to ensure production efforts were sustained as required, related problems were quickly resolved, and the product was delivered. Several management tools were implemented for these purposes:

- an automated management information system (MIS) was developed to track all activities and major milestones by department, integrate these at the system level, and monitor their performance.
- an automated personnel system was developed to track project positions, employee status, and payroll records.
- automated financial and accounting systems were developed to track all project expenditures (in particular counterpart funding), and produce balance sheets, financial statements and specific statements of individual accounts.
- an automated action chit system was developed to track specific problem areas and their resolution. This system was supplemented by weekly management

meetings with section chiefs and TNE personnel, that discussed the issues, alternatives, and assigned responsibilities to each item.

a weekly status reporting system was implemented that included project progress, and technical, administrative and equipment status.

### **3.5 Summary**

Throughout the performance of the work effort, continuous liaison was conducted with AID and participating Honduran government entities. This was performed in order to keep these agencies informed, clarify and/or obtain approval on any issue or decision, and assist in the conduct of a coordinated team effort. The latter point was most critical due to the complex nature of the project and the number of involved personnel, vendors, and agencies. DUAL, for instance, selected, coordinated and supervised all local and U.S. procurements, and assisted the TNE with all their functions (technical and administrative), such as personally working with the Ministry of Hacienda and the Central Bank to have all funds, approved, transferred and acted upon. Moreover, all internal procedures were implemented along with Honduran government personnel, in order to facilitate the essential transition and take-over by local personnel.

# RECOMMENDATIONS

## 4.1 General

This section of the report addresses recommendations regarding program continuation, not only in the narrow sense of the potential or future value of the project for AID and the government of Honduras, but also by applying lessons learned during the duration of the effort. In this fashion, the completion of the original task or the implementation of a new familiar project may avoid some of the pitfalls encountered during this project's performance.

The recommendations are grouped into four general categories: requirements analysis, coordination and integration, monitoring and control, and program continuation. The principal purpose of these recommendations is to suggest a set of initiatives that will allow all participating entities to maintain a more focused review of project progress; increase awareness of problem areas, as well as initiatives that may be incorporated; avoid inaccurate information and maximize information flow; and, ultimately, instill and promote confidence in the work efforts and the project as a whole.

## 4.2 Requirements Analysis

This project and others of this type require a detailed requirements analysis or feasibility study as a stand-alone first "phase" or separate contract that once accepted would trigger the approval of the design implementation and execution of the work. The scope, complexity and sensitive nature of the project requires the establishment of a concrete set of specifications, in particular when several entities participate in the effort. Unless these specifications are clearly defined, too much time and effort is spent discussing and redefining basic requirements during the design and implementation stages of the project, resulting in a weakening of the effort at a time when concrete steps should be taken. In addition, this lack of definition allows too much room for self-serving personal and political party interests to be injected into the process. Establishing these concrete parameters should be a three to six month effort ideally performed by an impartial third party or AID itself. Although performed in conjunction with, and certainly approved by the participating entities, this effort would further promote impartiality, and a more focused technical influence.

## 4.3 Coordination and Integration

A system of periodic mandatory meetings must be implemented in a project of this type, particularly since several entities are directly involved in the decision making process. This system should include a specified senior management team with assigned membership, duties and responsibilities; purpose, format and objectives of the meetings themselves; and a defined schedule that includes periodic meetings, as well as key sessions tied to specific milestones in the project. This system should form the basis for a clear chain of command or what constitutes a quorum if decisions must be approved by several participants, and, most

importantly, a consistent set of documentation procedures that would serve as the official log and reference for all official decisions on the project. These procedures must be strictly adhered to, or too much room will be available to sabotage decisions and/or initiatives by claims of lack of knowledge or misunderstanding as to the "official" nature of some decisions. Participants must be informed and, moreover, must have consistent information in order to focus in the same direction, while at the same time they must be accountable for their actions.

#### **4.4 Monitoring and Control**

A system of task monitoring and control should be implemented that is closely tied to the coordination and integration efforts discussed above. Periodic official in-process reviews should be held throughout the period of performance, that include computer programming, test runs, and actual sampling of the product. These should be scheduled in accordance with design and production targets, and be progressively decreased (or increased) based on project performance. In addition, preliminary or partial deliverables should be required at specified timeframes in order to ensure the quality and timeliness of the product. These efforts also help to identify problem areas, before they seriously impact the project in its entirety.

A Critical Path Method (CPM) should be implemented to assist in the control of the effort. This tool is particularly helpful in projects containing interdependent tasks and decision points. Furthermore, it can help to identify and manage different options when milestones are not completed or delayed. Monitoring and control of efforts with technical components should be performed by technical personnel, in addition to program managers. In particular for projects of this nature, these technical evaluators should be U.S. nationals with no vested interest in the project but knowledgeable of the local environment, in order to properly assess the impact of outside influences on the performance of the effort.

#### **4.5 Program Continuation**

The original concept and objectives of the project are still valid even though the work was interrupted and replaced with different efforts. It is imperative that the work not be performed during an election year, however. Moreover, the experience obtained during the performance of this effort should be utilized to rescope the effort, in particular the rates of production. The work should proceed in a very deliberate manner, after the elections, concentrating on quality, until all participating entities attain a high level of confidence in the project and a solid sense of teamwork. These two developments are the most critical ingredients before any meaningful production can be sustained.

**ATTACHMENT A**  
**CONTRACT WORK STATEMENT**

## WORK STATEMENT

OBJECTIVE AND SCOPE OF WORKA. Objective:

The objective of this contract is to support the strengthening of one of the important democratic institutions in Honduras, the National Registry of Persons of the National Elections Tribunal. The Contractor will be responsible for updating, verifying, microfilming and computer listing of all vital documentation and existing registration lists to consolidate and standardize the Civil Registry of the National Registry of Persons.

B.. Scope of Work:1. Background:

The National Elections Tribunal (TNE) is an autonomous governmental entity organized as part of the Executive Branch, with dependencies at the Departmental and Municipal levels throughout the Republic. The ruling body of the TNE is composed of one representative of each of the four political parties and one representative of the Supreme Court.

The TNE is responsible for all elections for governmental positions. It registers voters and candidates, establishes the times and places for voting, supplies all equipment and materials (ballots, ink, ballot boxes), trains poll workers, tabulates the voting and documents and legitimizes the results.

The National Registry of Persons (RNP), a dependency of the TNE, is responsible for the establishment and maintenance of a complete and up-to-date registry on all Honduran citizens. Registry of all Hondurans with the RNP is required by law. After being registered at birth, each citizen at age eighteen is issued an official identity card, which is essential credential for all official and personal transactions in Honduras. The official identity card is used during an election as a means of identification, and is matched against an electoral list prepared by the RNP.

The TNE and RNP perform critical mechanical and political functions, without which a democratic process would not be possible in Honduras. Without an efficient voter registration process and well-run elections, the people of Honduras and international public opinion will not accept the premise that the wishes of the population have been legitimately expressed in election results. If mechanisms for registering and voting appear politicized, improvised or ineffective, the credibility of the country's democratic process will be questioned. An open, honest, fraud-free, systematic electoral mechanism is essential if the people of the country are to believe in, and support, democracy. If registration and voting are managed professionally and efficiently, the democratic process will have an opportunity to mature and become a permanent part of the Honduran political, cultural and institutional life. If the electoral process functions in an erratic and unpredictable fashion, the results of elections will be suspect, and the present popular support for democracy will erode.

The two electoral institutions - the TNE and the RNP - have adequately designed workable structures. The relatively successful national voter registration drive and the 1985 general presidential election demonstrated that the TNE and RNP are capable of carrying out their assigned functions.

2. Specific:

The Contractor will update and verify, through the automation process, all vital documents, and microfilm the registers of the National Registry of Persons. The vital documents will include registry of birth, marriage, adoption, naturalization, divorce, and death. Other necessary and pertinent documents for the completion of the up-dating and verification process will be amended to this list following the assessment period.

Prior to the initiating of updating, verification, microfilming and computerization of materials, the Contractor will construct a management and administrative support system for the preparation of personnel and physical facilities, and for the identification of necessary equipment to be procured. During the assessment and planning procedure as well as throughout the life of the project, the Contractor will:

- a) review with the TNE/RNP and with appropriate A.I.D. personnel the project objectives, the project approach and anticipated outputs;
- b) examine and inventory the existing resources (i.e. personnel, facilities, equipment) that are currently available to the project;
- c) assess the requirements, operation and results of similar projects in other countries;
- d) select physical facilities for the project, and arrange for any needed modifications;
- e) prepare technical specification for the procurement of computer hardware and software, microfilming and other equipment;
- f) design appropriate financial management and administrative systems to handle project and counterpart funds;
- g) assist the TNE/RNP in the design and establishment of appropriate financial, management and procedural systems to handle project and contract funds;
- h) develop a personnel manual, which will include recruitment, testing, procedures for contracting of personnel by the TNE, performance evaluations, work incentives, etc.;
- i) develop a detailed work plan, specifying physical facilities, equipment, personnel, security, logistical and financial requirements;
- j) identify and select a local security firm capable of providing the necessary security throughout the life of the project; arrange for the contracting, by the TNE, of the selected firm;
- k) coordinate with the TNE the arrangement for COH military security assistance during the transport of documents to and from project work site;

- l) coordinate with the TNE the arrangement for GOH military assistance for the transport of documents to and from remote and/or inaccessible areas;
- m) arrange for selection of the contracting by the TNE of: building maintenance, vehicle maintenance, custodial services, local equipment maintenance, etc., and identify other personnel support needs;
- n) prepare procedural manuals for project activities. Such manuals will require approval by the TNE/RNP and appropriate A.I.D. personnel;
- o) exercise all supervisory and technical responsibility on all project funded activities. The TNE shall be responsible for the delivery of all civil registry documents to the contractor at the project work site. For the transport of these documents, the Contractor will provide assistance to the TNE in the following manner: provide necessary project funding for the transport of approximately 46,000 registers located in 289 Honduran municipalities, and for their return, and for the collection and return of birth certificates and dossiers from the municipal judges; purchase or lease of necessary vehicles; employment costs and per diem for drivers, and per diem for TNE accompanying personnel; vehicle costs; coordination of the physical security of the documents during transit.

The Contractor will update, verify, and microfilm approximately 20,000,000 documents contained in the Civil Registry books. These documents include birth, marriage, adoption, control of foreign residents, naturalization, death and other pertinent documents (i.e. request for identification card, photographic file of identification card), to be determined during the assessment period.

If necessary, the Contractor will coordinate with the TNE the delivery of the documents for the Control of non-Honduran residents.

The Contractor will prepare transcriptions of all documents to data entry forms and computerization, and subsequent microfilming of original documents and/or certified true copies.

The Contractor will microfilm all of the updated and verified Civil Register books. Upon completion of the microfilming, all documentation will be classified and prepared for storage according to municipality and department. Documents will be returned to the TNE for their return to the municipalities.

The Contractor will input a copy of unverified transcribed Civil Registry data into the RNP computer system on a periodic basis to be determined during the assessment. A copy of all data, with the exception of inconsistencies, will be entered into the RNP system at the end of the project. This process will lead to the preparation of electoral lists which are drawn from the Civil Registry. These lists have to be ready at least six months in advance of the next Presidential Election scheduled for November 1989.

### 3. Financial Arrangements:

Financial arrangements covering the release of funds, the reimbursement for funds expended, and the appropriate accounting of funds will be covered in Project Implementation Letters from the Project Office to the appropriate GOH office, and in Project Correspondence between the Project Office and the Contractor.

#### 4. Technical Assistance:

The Contractor will provide technical assistance to implement the updating, verification, microfilming and computerization activities. Approximately 15 person-months of non-Honduran technical advisory services in Honduras will be provided. The Contractor will have the responsibility to recruit and select up to twenty-five Honduran technical and supervisory personnel. These positions will be technical and non-political. Salary payment for these personnel will be made directly by the Contractor, using project funds, and will be in Lempiras. Salary scales for the technical and supervisory personnel will be in accordance with A.I.D. and GOH regulations.

All other local personnel will be contracted by the TNE. Selection will be by the Contractor from lists of candidates provided by the TNE.

Individuals with relevant experience are currently working under temporary contracts with the RNP and will be available for incorporation under this contractual arrangement.

Non-Honduran technical assistance provided by the Contractor may not include nationals from other Central American countries. Selection of these individuals should be based upon technical qualifications, practical experience and evidence of a collaborative working style. Those provided should be experienced in the implementation and administration of similar type activities, either in the U.S. or other areas of the world.

The Contractor will work concurrently with a second contractor funded under the Strengthening Democratic Institutions Projects. However, there will not be a duplication of effort, but some consultation may be required. Tasks cited in the Scope of Work delineate the respective Contractor responsibilities with regard to project activities detailed in the attached Memorandum of Understanding.

#### 5. Personnel:

During the initial technical assessment to be conducted by the contractor, a personnel schedule will be developed, and will provide the basis for contracting, managing and supervising the operational personnel.

Operational Personnel will be utilized in the following manner:

- a) Personnel will be hired on a contract basis, according to Government regulations and pay levels. All personnel will be required to sign a certificate of availability for Life of Project.
- b) On approval of performance incentive programs by the TNE and A.I.D., the Contractor will provide financial training and social benefits to outstanding individuals and sections.
- c) The TNE/RNP and the Contractor will assure that no project funds are used for direct contributions to partisan political activities.
- d) The Contractor will develop management and technical training programs to increase the capabilities of the operational staff.

e) The Contractor may accept personnel who have been seconded by the RNP. All project personnel will be subject to the supervision of the Contractor.

f) Minimum work standards will be established under the personnel guidelines. The Contractor will submit monthly work evaluations reflecting compliance with these guidelines, for authorization of salary payment, and continued employment.

g) The Contractor may request that the TNE terminate employment for reasons of performance or ethical conduct. These requests will be acted upon within seven days.

h) Two months prior to the completion of the project, the Contractor will provide the TNE/RNP with all personnel manuals and with recommendation for use of trained personnel.

#### 6. Commodity Procurement:

The Contractor will procure commodities needed to accomplish the updating, verification, microfilming and computerization. A.I.D. has developed a tentative list of equipment, materials and supplies required, which may be used as a reference for establishing project needs. While the Contractor will manage and monitor the procurement, payment for the commodities procured will be through A.I.D. Letters of Commitment. The budget included in this Contract will provide funding for commodity procurement services, but not for the commodities themselves. All procurement will be in accordance with USAID and GOH regulation. If not in conflict with the USAID and GOH regulations, the following guidelines will apply:

a) Items costing less than Lps. 250 and procured locally may be purchased off the shelf.

b) Items costing more than Lps. 250 and less than Lps. 5,000 will require three quotations.

c) Competitive bidding is required for items costing more than Lps. 5,000.

#### 7. Offshore Procurement:

a) The Contractor will prepare an initial descriptive commodity list for procurement of necessary equipment and supplies.

b) The TNE and A.I.D. will approve these specifications within seven working days of their submission.

c) Upon receipt of approval, the Washington office of Dual & Associates will initiate the procurement actions, utilizing letters of credit from USAID/Honduras.

Completion of project activities may require sub-contracting for services from Honduran firms or individuals. The general procedures will be as follows:

a) The Contractor will initiate a subcontract arrangement either on a quarterly plan or by special request.

b) Sub-contractual procedures will be in accordance with A.I.D. and GOH regulations.

c) Supervision of any necessary subcontractors will be the responsibility of the Contractor.

8. Monitoring and Evaluation:

The quarterly plans and the progress reports will form the basis for monitoring and evaluation. To prepare the progress reports, the Contractor will develop an information system to track the flow of resources and the outputs against the project's implementation schedule. Internal evaluations will be part of the action plans.