

A.I.D. EVALUATION SUMMARY - PART I

PD-ABM-936

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

IDENTIFICATION DATA

A. Reporting A.I.D. Unit: MDDI/USAID/H Mission or AID/W Office: USAID/HONDURAS (ES# FY 95 - 5 Municipal Development & Democratic Initiatives Office	B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan? Yes <input checked="" type="checkbox"/> Slipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY 95 Q 2	C. Evaluation Timing Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <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	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
522-0340	Municipal Development	06/29/90	06/28/97	\$10,000	\$9,344

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
<p>Action(s) Required (Actions to be taken on Recommendations)</p> <p><u>Strengthen Municipalities</u></p> <p>The Municipal Development Project (MDP) will support the design of a program in which the Fundación para el Desarrollo Municipal (FUNDEMUN) will continue to provide technical assistance to the participating municipalities in basic cadastre techniques.</p> <p><u>Improve Participation</u></p> <ul style="list-style-type: none"> <li>- The MDP through FUNDEMUN will prepare a strategy for expanding democratic processes and popular participation. The strategy will be implemented in the participating MDP municipalities and will include technical assistance in organizing a process for holding <i>cabildos abiertos</i>, training in participatory democracy, and the establishment of a municipal information system.</li> <li>- The MDP, through the Universidad Tecnológica Centroamericana (UNITEC), will design short courses in popular participation, community development and democratic processes for municipalities willing to participate in the project. A course in popular participation and democratic processes will be included in the UNITEC Intermediate Career programs.</li> </ul>	<p>Municipal Development Project Manager</p> <p>USAID Community Empowerment Specialist</p> <p>Municipal Development Project Manager</p>	<p>Completed 10/19/94 Included in Coop. Agreement signed with FUNDEMUN Oct. 1994</p> <p>Completed, June 30, 1995</p> <p>Completed, June 30, 1995</p>

APPROVALS

F. Date of Mission Or AID/W Office Review Of Evaluation: (Month) (Day) (Year)  
 11 23 94

G. Approvals of Evaluation Summary And Action Decisions:

	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission of AID/W Office Director
Name (Typed)	Sigifredo Ramirez	N/A	M. Chambrana, L. Simard	Elena Brineman
Signature				
Date	8/10/95		8/18/95	6/5/96

**CONTINUATION SHEET FROM PAGE 1**

E. Action Decisions Approved By Mission or AID/W Office Director	Name of Officer Responsible for Action	Date Action to be Completed
<p><u>Promotion of Legislation</u></p> <p>The MDP will encourage Asociación de Municipios de Honduras' (AMHON) submission to the Congress of an amendment to the Municipal Law, to address the removal of restrictions on the authority of municipalities to collect certain taxes.</p> <p><u>Strengthen Intermediate Organizations</u></p> <ul style="list-style-type: none"> <li>- The MDP will assist in restructuring the FUNDEMUN Board of Directors. MDP to participate in deliberations of the Board for a prudent period of time.</li> <li>- Advisory Council to be established in AMHON to coordinate technical assistance and training provided to municipalities by both the MDP and the Board for a prudent period of time.</li> </ul> <p><u>Promotion of Legislation</u></p> <ul style="list-style-type: none"> <li>- The MDP will encourage AMHON's undertaking of a study of the laws, legislation and other legal instruments or actions necessary to secure protection for municipal employees from politically-motivated dismissals.</li> </ul> <p><u>Management and Design</u></p> <ul style="list-style-type: none"> <li>- The USAID staff will hold semiannual meetings with MDP municipalities, FUNDEMUN, AMHON, UNITEC, and Fondo Hondureño de Inversión Social (FHIS) to review progress and plan implementation.</li> <li>- MDP will conduct regular meetings as needed with major Other Donors to avoid duplication of effort and conflicts in scheduling Technical Assistance (TA) and training and to organize support of issues such as central government transfers of funds, support for administrative careers free from political dismissal, the decentralization of public services, and increased municipal autonomy.</li> </ul>	<p>MDP Project Manager</p>	<p>June 30, 1996</p> <p>March 31, 1996</p> <p>March 1996</p> <p>June 1996</p> <p>First meeting took place on March 2-3, 1995</p> <p>First meeting to take place May, 1996</p>

**ABSTRACT**

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

The Project Purpose is to enhance the participation of the Honduran populace in the local democratic process and to improve the operational capacities of municipalities to respond to land, infrastructure and public services needs of their constituents. The project is being implemented by participating municipalities with the help of a private local university, a private foundation for municipal development, an advocacy group of the municipal sector, and a government foundation for social investment. The midterm evaluation was to determine the views and perceptions of the many participants in the project through the stakeholders analysis, a highly participative evaluation methodology. A two-person team was provided by the contractor, Management Systems International (MSI), to carry out the five week effort in the field. The team conducted personal interviews and held two workshops; one at the municipal level; one at the central government level.

The evaluation determined that:

- Stakeholders felt that the project components were appropriate and helpful. They wanted no component dropped and wanted several expanded.
- The project is accomplishing its intended results in improving democratic processes and strengthening municipalities, local participation, and intermediate organizations.
- The design and the management of the project have resulted in a project which is an effective vehicle for municipal development and local participation in Honduras.

**COSTS**

**I. Evaluation Costs**

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
Dwight Bunce Chief of Party	Management Systems International (MIS)	30	63,000	Project 522-0340
Dr. Edgar Nesman	Management Systems International (MIS)	24		

2. Mission/Office Professional Staff      10  
Person-Days (Estimate) \_\_\_\_\_

3. Borrower/Grantee Professional      4  
Staff Person-Days (Estimate) \_\_\_\_\_

## 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:

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| <ul style="list-style-type: none"> <li>● Purpose of evaluation and methodology used</li> <li>● Purpose of activity(ies) evaluated</li> <li>● Findings and conclusions (relate to questions)</li> </ul> | <ul style="list-style-type: none"> <li>● Principal recommendations</li> <li>● Lessons learned</li> </ul> |
|--|--|

Mission or Office USAID/Honduras Municipal Development Office	Date This Summary Prepared: <p style="text-align: center;">August 1995</p>	Title And Date Of Full Evaluation Report: Midterm Evaluation of the Municipal Development Project of Honduras – August 1994
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### ***I. Purpose of the Evaluation and Methodology***

The purpose of the evaluation is to attempt to build consensus among the project stakeholders regarding what they perceive the project to be doing, what the problems are that need to be resolved, and what the next steps should be in the project process. The purpose is not to have the evaluators judge the effectiveness of the project, but to look at and assess the project activities from the stakeholders' point of view.

The methodology used was the "Fourth Generation" approach which gathers the perspectives of the people involved in the project, "the stakeholders", and depends upon the perceptions of these people to define the claims and issues to be resolved. The purpose is to build consensus as described above. The approach assumes that the reality of any situation differs according to the perspective of individual stakeholders and can only be understood by putting together all the various perspectives. Thus, the evaluator must go from stakeholder to stakeholder and collect their concerns and issues to build up a complete understanding of the project and its issues. After dialogue and discussion of these perceptions, the findings are applied to a reorientation of the project. The reorientation is also done with assistance from the stakeholders.

The evaluation team worked five weeks in Honduras and, in addition to stakeholder interviews, held two stakeholder workshops; one at the municipal and one at the national level.

### ***II. Purpose of the Municipal Development Project***

To enhance the participation of the Honduran populace in the local democratic process and to improve the operational capacities of municipalities to respond to the land, infrastructure, and public services needs of their constituents.

### ***III. Findings and Conclusions***

At this midpoint of the project, the Municipal Development Project (MDP) is seen by the stakeholders as being very successful. They want it to continue and to have its life extended.

The stakeholders, in the main, call for the MDP to continue what it has been doing, to give more emphasis to some elements of the project, broaden the project by giving assistance to more municipalities, and to extend the life of the project. They did not advocate dropping any of the major project objectives.

The evaluators acknowledge that full implementation of all of the stakeholders recommendations would cost much more money and take much more time than the MDP has, even with the proposed additional \$2 million and a one-year extension of the Project Assistance Completion Date (PACD).

**IV. Accomplishments****1. In Democratic Processes:**

- a. Local organized groups and Chambers of Commerce have participated actively in specific projects for community betterment.
- b. The "separate vote" that was practiced for the first time in the last election gave the community an opportunity to select their mayor rather than have him/her elected as part of the presidential slate.
- c. Some of the mayors and staff have found it very helpful to visit the communities periodically so that they can become better acquainted and they can work together on common problems.
- d. The MDP has been able to work with the municipalities and give help to specific *patronatos* as they work on improving their community services.
- e. As the MDP has strengthened the administration of the municipalities, it in turn has helped them to be of more help to the local communities.
- f. Mayors and *regidores* had a fuller vision of what municipal government can do.

**2. Strengthening Municipalities and Local Participation:**

- a. The passage of the Municipal Law of November 19, 1990, and two sets of amendments, one in 1991 and one in 1993.
- b. The adoption by law of a formula-based revenue sharing through which each municipality is to receive transfers of funds from the Central Government.
- c. The approval by the Government of Honduras and municipalities of an arrangement through which municipalities channel a fraction of their Central Government transfers directly to Asociación de Municipios de Honduras (AMHON) as membership dues.
- d. The strengthening of the Municipal Advisory and Technical Assistance Directorate (DGAATM) in Gobernación as the center within the Central Government for the advancement of municipal matters.
- e. Dialogue between the Presidential Commission for Modernization of the State and USAID/Honduras.
- f. The creation and early functioning of the Valle de Sula Metropolitan Zone (VSMZ).
- g. The provision of a separate ballot for mayors in the November 1993 national elections.
- h. Municipalities became organized to deal with the development problems of their citizens and areas.
- i. Municipalities modernized their internal administrations.
- j. Technical staff of the municipalities were more capable of carrying out their responsibilities.
- k. Cadastral systems were improved and tax revenues increased.
- l. External funding of municipal development projects increased, in spite of the fact that the contemplated MDP-sponsored Municipal Development Support Fund to finance base infrastructure investments and to increase municipal revenue, such as updating municipal cadaster in participating municipalities, was eliminated from the project early on.

## SUMMARY (Continued)

### 3. Strengthening Intermediate Organizations:

- a. AMHON has emerged as an effective voice for the political agenda of the municipalities. The political agenda of AMHON goes beyond party differences.
- b. AMHON has developed a means for self-support through the check-off system of payment from the municipalities.
- c. The seminars that have been offered by the training and technical assistance agencies have helped a great deal in municipal strengthening. The training modules and related written materials prepared by the universities for the weekend classes have also helped.
- d. The two universities, the Central American Technological University and the University of San Pedro Sula (UNITEC and USPS respectively) offering the classes have been strengthened in their outreach to the communities.
- e. Training programs have been initiated that can lead to the professionalization of public administration at the municipal level.
- f. Regional organizations have been formed by municipalities working together on common problems.
- g. Fundación para el Desarrollo Municipal (FUNDEMUN) has been created as a Honduran NGO that has capacity to give technical assistance to the municipalities.
- h. The same municipalities that have been helped the most by the Project are working together with the smaller ones that are nearby on technical assistance and training problems.

### 4. Design and Management of the Project:

- a. That stakeholders view the MDP as a successful project, both at the national and municipal levels.
- b. The pragmatic USAID/Honduras management of MDP mobilized resources from the USAID budget, directed activities, and, as circumstances changed, altered the mix of output objectives from that set forth in the Project Paper's Logical Framework.
- c. Organizations such as International City/County Management Association (ICMA), FUNDEMUN, UNITEC, and USPS were used by MDP to deliver technical assistance and training at the national and municipal levels. AMHON was strengthened and began to be an effective advocate of the political agenda of municipal development. Non-MDP USAID programs, such as for training and infrastructure, were utilized to complement the MDP resources, thus achieving synergy and contributing to the impacts that project has had in its first four years.

In short, the MDP, as designed, funded, and managed, has proved to be an effective vehicle for municipal development and local participation in Honduras.

## V. Principal Recommendations

The evaluators cite 66 recommendations made by stakeholders on five major issues; however, the number is reduced in a synthesis which reflects the degree of emphasis assigned to the recommendations by the stakeholders and eliminates recommendations made by only one or two persons.

SUMMARY (Continued)

The major areas commented upon by stakeholders were:

1. Strengthening the operational capacity of municipalities.
2. Improving the participation of the population in the local democratic process.
3. Promoting national legislation and policies which strengthen municipalities and local participation.
4. Strengthening and utilization of organizations which are intermediate between the municipalities and central government.
5. Design and management of the project.

The principal recommendations in each area were:

1. Strengthening Municipalities

Assist intermunicipal associations to update and institutionalize cadastres; train mayoral candidates; establish a career path for municipal employees; modernize municipal government, including finances; increase the percentage of municipal budget going to investment; institutionalize the cadastres at the municipal level; and continue and deepen assistance being provided for cadastre while promoting alternative financial mechanisms to accelerate institutionalization; increase and simplify funding of development projects.

2. Improving the Participation of the Population in the Democratic Process

Selection of a strategy for community participation; promotion of community participation as a long-term process; provision of training manuals and courses for community groups; the addition of a Community Empowerment Specialist to the MDP; co-funding by the MDP of community projects; and, expanding the number of municipalities beyond the 22 currently targeted by the MDP.

3. Promoting National Legislation and Policies which Strengthen Municipalities and Local Participation

Protection of municipal employees from firing for political reasons; promote legislation supporting municipal taxing authority; promote legislation and policies in favor of decentralization of central government authority, strengthening municipal autonomy, and expanding the role of local government; seek automatic, fully-funded and prompt transfers of funds from central government to the municipalities.

4. Strengthening and Utilization of Intermediate Organizations between the Municipalities and Central Government

Seek sustainability of UNITEC, FUNDEMUN and AMHON.

5. Design and Management of MDP Activities

Improve coordination between technical assistance and design activities; increase coordination and consultation on decision-making, both among USAID, the intermediate organizations and the communities, and between USAID and the other international donors; improve information systems in intermediate organizations.

## ATTACHMENTS

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

Attachment A: Outline of Basic Project Identification Data.

Attachment B: Full List of Recommendations.

Attachment C: Midterm Evaluation of the Municipal Development Project of Honduras, Project Number 522-0340.

## COMMENTS

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

### Observations on the Fourth Generation Evaluation - Mission Comments

#### a. **Process**

The participatory process of the methodology used for fourth generation evaluations was ideally suited for a project with so many participants; municipal governments, communities, intermediate organizations, central government institutions, etc.

The stakeholders' perceptions sometimes reveal areas of resistance to, or support of, the project which would never be described in a traditional type of evaluation.

While the process, as such, does not lead to a series of specific, prioritized recommendations made by the evaluators, their winnowing of the primary recommendations from 66 to about 22 and ordering the 22 in a decision tree was of great assistance in placing the recommendations in a manageable format.

#### b. **Results**

The findings and recommendations, in most cases, served to reconfirm the judgment of the project managers that there was general satisfaction with the design and implementation of the project components. The recommendations did reveal a concern for more communication and a need for a greater emphasis on community participation throughout the project. The project team reviewed the recommendations in the decision-tree format and accepted or rejected the recommendations after discussion and debate. The recommendations selected for action were then put into a format which specified action to be taken, by whom and when (see Section E).

#### c. **Reservations**

The only reservation expressed by the Review Committee was that the evaluation had not adequately addressed the gender issues raised by at least two of the stakeholders, and that the attention given to gender issues in the project implementation and in new documentation for future action is not fully reflected in the findings or the accomplishments sections of the final report.

#### d. **Lessons Learned**

Very subjective and personal perceptions of project components can only be uncovered through a "nontraditional" type of evaluation process which goes beyond examination of numbers of things accomplished and amounts of revenues earned, to a much more personal level of examining and comparing views and opinions on the part of project participants.

A well-developed information and communications system is essential to keep a large number of project participants informed on implementation, objectives, resource use and progress in a fairly complex undertaking.

**CONTINUATION SHEET No. 1 FOR PAGE 7 (Lessons Learned)**

The development of democratic institutions and processes and the securing of wide spread popular participation in those processes will take far longer than the absorption of new technical approaches to administration, finances, etc., and, in the end much should be given much more time, effort and resources if these processes are to have a lasting effect on society.

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**ATTACHMENT B  
SUMMARY OF EVALUATION  
RECOMMENDATIONS AND MISSION RESPONSE**

<b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b> <b>RECOMMENDATION</b>	<b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b> <b>MISSION RESPONSE</b>
<b>1. STRENGTHENING THE OPERATIONAL CAPACITY OF MUNICIPALITIES</b>	
<p><b>A. Three recommendations:</b></p> <p><b>A.1</b> Before the next election day, training should be provided to mayoral candidates of different political parties of selected municipalities.</p> <p><b>A.2</b> The MDP should terminate assistance to some of the present pilot municipalities and undertake assistance to others.</p> <p><b>A.3</b> Municipalities should form inter-municipal associations to deal with common problems that cross municipal boundaries.</p>	<p>1. The next elections for mayors will come in 1997. We are prepared to train mayoral candidates at that time if the PACD is extended. 2. Contingent upon the planned MDP Amendment, USAID will increase the targeted number of participating municipalities to 30. Furthermore, short-course training and the intermediate Career Program offered through UNITEC are open to representatives of all 293 municipalities. 3. Although MDP resources are too limited to provide financial assistance to intermunicipal associations, we will encourage AMHON to promote and assist intermunicipal associations as far as its own resources will permit. <b>Accepted within limits set forth above. To be completed by the PACD.</b></p>
<p><b>B.</b> Municipalities, with help from the MDP, should emphasize improving their financial administration, obtaining more revenues from local taxes, and increasing the share of spending going to investment, as contrasted with current expenditures.</p>	<p>Modernization of government, including finances, is a central focus of the MDP and improving efficiency, increasing the percentage of municipal budget going to investment, expanding the financial base, and improving financial and administrative controls are a continuing part of the TA and training provided by FUNDEMUN. They are also key components of the training offered by UNITEC. <b>Action taken, expected to be closed by the PACD.</b></p>
<p><b>C.</b> In order to generate local revenues, institutionalize the cadastre at the municipal level. Continue and deepen the assistance currently being provided by the MDP. Give municipalities the opportunity to contract directly for cadastral services.</p>	<p>We fully recognize the importance and priority of municipal cadastres, especially their significance in terms of revenue; however, carrying out a complete cadastre is an extremely complex, long and expensive undertaking. We will continue to provide financing for training to municipalities through FUNDEMUN for gathering of basic cadastral data, but municipalities will have to seek financing from other sources to carry out complete cadastral surveys. <b>Action taken, expected to be completed by the PACD.</b></p>

<u>MUNICIPAL DEVELOPMENT PROJECT</u> RECOMMENDATION	<u>MUNICIPAL DEVELOPMENT PROJECT</u> MISSION RESPONSE
D. Help municipalities to obtain, on time, the full amounts of their transfers from the Central Government.	AMHON is negotiating automatic transfers of the financing due to municipalities from central government. All of the approvals for the automatic transfers have been secured. The only remaining step is President Reina's signature on the agreement. <b>Action taken; this is an ongoing process expected to be completed by the PACD.</b>
E. The MDP should promote the establishment of an administrative career path for municipal employees with protection against being fired for political reasons.	A reformed Article 2 of the Civil Service Law, and Article 101 of the Municipal Law, contemplate providing civil service protection to municipal employees and other municipal authorities, which are not elected by the public, to guarantee stability. Furthermore, the MDP will encourage AMHON to undertake the necessary actions to prevent politically-motivated dismissals, so that continuity of training being provided by UNITEC can be protected. <b>Action taken. An amendment of the Municipal Law also covering this issue is expected to be presented to the Congress by 06/96.</b>
<b>2. IMPROVING PARTICIPATION OF THE POPULATION IN THE LOCAL DEMOCRATIC PROCESS</b>	
A. Consider community involvement as part of long-range planning and not something that can be done in a short time.	The strategy for popular participation has already been written and was approved by Mission Director prior to the evaluation. To the degree that resources permit, the strategy is being implemented. Community participation has always been conceived of, and promoted as a long-term effort by the Mission. The recently signed FUNDEMUN CA contains a strong component on the development of community participation. <b>Action taken, to be completed by the PACD.</b>
B. Emphasize the importance of community participation by adding a specialist to the USAID/Honduras Project Team.	A Community Empowerment Specialist has been added to the MDP. <b>CLOSED, 8/94.</b>

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<p style="text-align: center;"><b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b></p> <p style="text-align: center;"><b>RECOMMENDATION</b></p>	<p style="text-align: center;"><b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b></p> <p style="text-align: center;"><b>MISSION RESPONSE</b></p>
<p>C. Two recommendations:</p> <p>C.1 Work with and through FUNDEMUN and the universities to develop training courses and manuals focused on: a) increasing community participation in community groups, and b) understanding of the new municipal law.</p> <p>C.2 Training courses in community participation should be provided for mayors, municipal administrators, and community leaders.</p>	<p>MDP is supporting FUNDEMUN's provision of training courses and manuals to individuals and community groups. FUNDEMUN is already providing technical assistance to community groups and to municipal leaders in organizing community groups and town meetings (<i>cabildos abiertos</i>), and improvement of municipal administration through understanding and enforcement of the Municipal Law. UNITEC will provide mandatory courses in community development to municipality-sponsored students in the Intermediate Career Program. It will also offer training on bridging between municipal employees and community leaders. <b>Action taken. To be completed by the PACD.</b></p>
<p>D. Provide funds that can be requested by community groups for small projects that offer the opportunity for maximum community participation (combined efforts).</p>	<p>Funds for co-financing of projects in Municipal Investment Plans requested by municipalities are available from a number of MDP sources, including ESF counterpart funds under the FHIS/MDP activity. However, setting up co-financing at the level of community organizations, as recommended by some stakeholders, is beyond the scope of the MDP. <b>NOT ACCEPTED.</b></p>
<p>E. Clarify project objectives and corresponding indicators of success in the area of community participation.</p>	<p>The project strategy clearly states that it is focusing on moving toward the development of a constituent-based decision-making process. Active involvement of community groups (<i>patronatos</i>) in local-government dialogue, municipalities analyzing and planning solutions with help of the citizenry through <i>cabildos abiertos</i> are indicators in measuring progress toward the objective.</p>

<p style="text-align: center;"><b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b></p> <p style="text-align: center;"><b>RECOMMENDATION</b></p>	<p style="text-align: center;"><b><u>MUNICIPAL DEVELOPMENT PROJECT</u></b></p> <p style="text-align: center;"><b>MISSION RESPONSE</b></p>
<p><b>3. PROMOTION OF NATIONAL LEGISLATION AND POLICIES TO STRENGTHEN MUNICIPALITIES AND PARTICIPATION</b></p>	
<p>A. The MDP should promote a change in the law to remove restrictions on the collection of taxes by municipalities. The municipalities should also by law be allowed to give tax exemptions to industries as an incentive to locate in given locations.</p>	<p>AMHON is seeking, through legal action and legislation, acknowledgement and approval of the authority of municipalities to offer fiscal incentives to attract industry and commerce and to levy taxes. Local actions submitted to the Congress by AMHON in 10/94. <b>Action taken, expected to be completed by 6/96.</b></p>
<p>B. The MDP should continue to support the separate ballot for <i>diputados</i> and the separate ballot for mayors.</p>	<p>The separate ballots for mayors (Decree No. 180-92) and diputados (Decree No. 270-93) was an accomplished fact at the time of the evaluation. The latter was approved on 12/93.</p>
<p>C. The MDP should promote national legislation and policies which favor municipal autonomy.</p>	<p>Pressing directly for national legislation is out of the MDP's scope. However, the MDP is assisting AMHON with information and publicity campaigns and with financing for legal defense actions to reinforce the principle of municipal autonomy and to defend and expand the role of local government, calling for and supporting the process of "convergence" with the participation of institutions from the Executive and Legislative Branches. <b>In process, expected to be completed by 06/96.</b></p>
<p>D. The MDP should promote a decentralization of the central government in which municipal sector activities are coordinated with the programs and goals of the national government.</p>	<p>Such a broad recommendation is beyond the means of the MDP. However, we will coordinate with AMHON, and with other USAID offices such as education and health, on clarification of GOH decentralization policies, as well as gathering information on <i>ad hoc</i> actions being taken by the various dependencies of the GOH to decentralize public services.</p>

<u>MUNICIPAL DEVELOPMENT PROJECT</u> RECOMMENDATION	<u>MUNICIPAL DEVELOPMENT PROJECT</u> MISSION RESPONSE
<b>4. STRENGTHENING AND UTILIZATION OF INTERMEDIATE ORGANIZATIONS</b>	
<p>A. Continue to give backing to the intermediate organizations that are presently offering training and technical assistance to the municipalities.</p> <p>B. Search for additional ways of insuring that the intermediate organizations will be sustainable after the project is over.</p>	<p>The sustainability of UNITEC and FUNDEMUN has been discussed since the initiation of activities with both organizations and the decision was made to let UNITEC develop the market for its intermediate career courses and short courses as far as possible over the next three years. If the market for these two offerings is there when USAID financing is completed, the courses will be sustainable; if not, we are not interested in continuing a training activity for which there is no real, i.e. paying, market. The same decision applies to FUNDEMUN. The USAID financing provided over the three-year activity will allow FUNDEMUN to show the municipalities what it has to offer. If the technical assistance generates income for the municipalities, FUNDEMUN's services should be in demand in the future. Additional actions on restructuring the FUNDEMUN Board of Directors and establishing an Advisory Committee in AMHON are set out in Section E above. <b>Action taken, expected to be completed by the PACD.</b></p>
<b>5. DESIGN AND MANAGEMENT</b>	
<p>A. In the remaining years of the project, USAID/Honduras should communicate more and more frequently with stakeholders concerning what the MDP is doing and why.</p>	<p>The information, communication, and evaluation systems in place at FUNDEMUN, and recently at UNITEC, are being improved and expanded to provide stakeholders and project management a broader range of data for programming, monitoring and evaluation purposes. <b>Action taken, expected to be completed by the PACD.</b></p>
<p>B. At this mid-point in the life of the MDP, objectives and indicators should be updated to provide a current view of what the project is pursuing.</p>	<p>The Project Logical Framework will be revised and updated in the upcoming MDP Project Paper Supplement. <b>Action taken, expected to be completed by 03/96.</b></p>
<p>C. The MDP should give more emphasis to involving women in all aspects of the project.</p>	<p>Women are involved in all aspects of the project, their participation in training activities has increased significantly, providing for a better representation of their interests. Also, this issue will be covered in the upcoming MDP Project Paper Supplement. <b>Action taken, expected to be completed by the PACD.</b></p>

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**FINAL REPORT  
OF THE  
MID-TERM EVALUATION  
OF THE  
MUNICIPAL DEVELOPMENT PROJECT OF HONDURAS**

**Project Number: 522-0340**

**for the  
OFFICE OF MUNICIPAL DEVELOPMENT AND INFRASTRUCTURE  
OF USAID/HONDURAS**

**Tegucigalpa, Honduras**

**August 1994**



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**EVALUATION OF THE  
MUNICIPAL DEVELOPMENT PROJECT OF HONDURAS**

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## ACRONYMS

AMHON	Asociacion de Municipios de Honduras
BANMA	Banco Municipal Autonomo
CABILDOS ABIERTOS	Open Town Meetings
CO-GESTION	Joint Sponsorship or Management
DGAATM	Direccion de Asesoría y Asistencia Tecnica Municipal, Ministerio de Gobernacion y Justicia
ENEE	Empresa Nacional de Energia Electrica
FUNDEMUN	Fundacion Para el Desarrollo Municipal
FHIS	Fondo Hondureno de Inversion Social
FY	Fiscal Year
ICMA	International City/County Managers Association
IDB	Interamerican Development Bank
MSI	Management Systems International, Inc.
MDP (PDM)	Municipal Development Project (Proyecto de Desarrollo Municipal)
NGO	Non-Government Organization
PACD	Project Agreement Completion Data
PATRONATOS	Local community groups
PDM (MDP)	Proyecto de Desarrollo Municipal (Municipal Development Project)
PVO	Private Voluntary Organization
RHUDO	Regional Housing and Urban Development Office, USAID/Honduras
SANAA	Servicio Nacional de Acueductos y Alcantarillados
SECPLAN	Secretaria de Planificacion, Coordinacion y Presupuesto
UNITEC	Universidad Tecnologica de Centroamerica
USPS	Universidad de San Pedro Sula
USAID	Agency for International Development, U.S. Government
VSMZ	Valle de Sula Metropolitan Zone

## EXECUTIVE SUMMARY

### Introduction

This report presents the results of the participatory (or "fourth generation") midterm evaluation of the Municipal Development Project (MDP) of Honduras. The evaluation was conducted by Management Systems International, Inc.

### Approach

One of the principal elements of this evaluation was the use of The "Fourth Generation" approach as the conceptual framework for the design. In this approach to evaluation, "the evaluator facilitates resolution of project stakeholder issues, rather than determines whether the project is achieving its objectives".

The evaluation team worked five weeks in Honduras, interviewing stakeholders and conducting two Stakeholder Workshops.

### Project Design

The MDP has two purposes as stated in the Logical Framework in the Project Paper:

- To enhance the participation of the Honduras populace in the local democratic process; and
- To improve the operational capacity of municipalities to respond to the land, infrastructure and public service needs of their constituents.

To achieve these purposes the project design envisioned a host of outputs at the national level and at the municipal level. The MDP would supply inputs, including technical assistance and training, to generate the outputs.

USAID\Honduras officials stated that the two MDP purposes are still valid but the mix of outputs has varied and will continue to evolve in response to changing circumstances.

### **Stakeholder Perceptions of Issue #1: Strengthening the Operational Capacity of Municipalities**

Recommendation 1.1: In order to generate local revenues, institutionalize the cadastre at the municipal level. Continue and deepen the assistance currently being provided by the MDP. Give municipalities the opportunity to contract directly for cadastral services.

Recommendation 1.2: The MDP should consider promoting alternative financial mechanisms to accelerate the institutionalization of municipal cadastre. Consideration should be given to a payback by municipalities which would help capitalize *Fundación para El Desarrollo Municipal* (FUNDEMUN).

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Recommendation 1.3: Before the next election day, training should be provided to mayoral candidates of different political parties of selected municipalities. ✓

Recommendation 1.4: The MDP should promote the establishment of an administrative career path for municipal employees with protection against being fired for political reasons.

Recommendation 1.5: Municipalities, with help from the MDP, should emphasize improving their financial administration, obtaining more revenues from local taxes, and increasing the share of spending going to investment, as contrasted with current expenditures.

Recommendation 1.6: Help municipalities to obtain, on time, the full amounts of their transfers from the Central Government.

Recommendation 1.7: Help municipalities obtain funding for development projects from USAID, other international donors, and the Government of Honduras.

Recommendation 1.8: Red tape should be cut in the development project cycle.

Recommendation 1.9: The MDP should continue to provide training and technical assistance to municipalities and to elected municipal officials.

Recommendation 1.10: With the help of the MDP, municipalities should continue to modernize.

Recommendation 1.11: Municipalities should form inter-municipal associations to deal with common problems that cross municipal boundaries.

Recommendation 1.12: MDP should terminate assistance to some of the present pilot municipalities and undertake assistance to others.

Recommendation 1.13: MDP should continue to assist the present 22 pilot municipalities, especially with their cadastral systems.

## **Stakeholder Perceptions of Issue #2: Improving the Participation of the Population in the Local Democratic Process**

Recommendation 2.1: There should be an increased emphasis in community participation in the future.

Recommendation 2.2: Emphasize the importance of community participation by adding a specialist to the USAID/Honduras Project Team.

Recommendation 2.3: Clarify project objectives and corresponding indicators of success in the area of community participation.

Recommendation 2.4: Consider community involvement as part of long-range planning and not something that can be done in a short time.

Recommendation 2.5: Strengthen the work at the community level through *patronatos*, *cabildos abiertos*, civic and other NGO groups, school involvement, and municipal work commissions.

Recommendation 2.6: Work with and through FUNDEMUN and *Asociación de Municipios de Honduras* (AMHON) in the local communities to help develop a culture of participation to help displace the dependency relation that now exists with the municipality.

Recommendation 2.7: Training courses in community participation should be provided for mayors, municipal administrators, and community leaders.

Recommendation 2.8: Work with and through FUNDEMUN and the universities to develop training courses and manuals focused on: 1) increasing community participation in community groups, and 2) understanding of the new municipal law.

Recommendation 2.9: Work with mayors to find ways to improve transparency in municipal operations as a way of increasing community participation.

Recommendation 2.10: Work with donating agencies to clarify and simplify the procedures for getting external help so that local people do not lose interest and withdraw their backing of community improvement projects.

Recommendation 2.11: Provide funds that can be requested by community groups for small projects that offer the opportunity for maximum community participation (*co-gestión*).

Recommendation 2.12: Promote the use of private sector service delivery through community based organizations.

### **Stakeholder Perceptions of Issue #3: Promotion of National Legislation and Policies which Strengthen Municipalities and Local Participation**

Recommendation 3.1: National legislation is needed to protect municipal employees from being fired for political reasons, thus promoting the continuity of technical capacity at the municipal level.

Recommendation 3.2: The MDP could provide assistance to *Gobernación* as it seeks more cooperation with SECPLAN in efforts to coordinate central government policies toward the municipal sector.

Recommendation 3.3: More coordination is needed of the training and technical assistance provided by the MDP and mechanisms for providing it should be considered.

Recommendation 3.4: The MDP should promote national legislation and policies which favor municipal autonomy.

Recommendation 3.5: The MDP should promote a decentralization of the central government in which municipal sector activities are coordinated with the programs and goals of the national government.

Recommendation 3.6: On a very selective basis, the MDP should help the central government decentralize.

Recommendation 3.7: The MDP could assist in the decentralization of the potable water sector at the national and municipal levels. A starting point might be for interested parties at the national, municipal, and community levels to discuss functions and institutional roles together in some structured fashion. The MDP could also provide limited technical assistance and training to a few municipalities which are taking over water system responsibilities from SANAA.

Recommendation 3.8: The MDP should promote the separate ballot for *diputados* and to continue to back the separate ballot for mayors.

Recommendation 3.9: The MDP should promote a clarification of the functional roles of the *Departamentos* and the *Gobernadores*.

Recommendation 3.10: The MDP should promote a change in the law to remove restrictions on the collection of taxes by municipalities. The municipalities should also by law be allowed to give tax exemptions to industries as an incentive to locate in given locations.

Recommendation 3.11: The MDP should promote at the national level the development of national demographic policies.

Recommendation 3.12: The MDP should promote the understanding at the national level that the decentralization of services is a process that takes time and agreements need to be negotiated between the central government and municipalities.

Recommendation 3.13: A presidential level commission should be formed to coordinate the activities of the project with other national and international organizations.

#### **Stakeholder Perceptions of Issue #4: Strengthening and Utilization of Organizations which are Intermediate Between the Municipalities and the Central Government**

Recommendation 4.1: Continue to give backing to the intermediate organizations that are presently offering training and technical assistance to the municipalities.

Recommendation 4.2: Search for additional ways of insuring that the intermediate organizations will be sustainable after the project is over.

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Recommendation 4.3: Continue to emphasize training throughout the life of the project.

Recommendation 4.4: Provide technical assistance to all of the selected municipalities in the same way without preferential treatment for some.

Recommendation 4.5: Assist in the creation of an effective forum that will coordinate the different technical assistance and training activities that are sponsored by the project.

Recommendation 4.6: Work with the technical assistance and training agencies to develop a closer relationship between the two areas.

Recommendation 4.7: Use project resources to help in the establishment of regional centers of technical assistance.

Recommendation 4.8: Provide technical teams to the municipalities that can help with training, municipal administration, and maintenance of services that are decentralized.

Recommendation 4.9: The MDP should continue to assist the municipalities in the establishment of regional associations for purposes of training and technical assistance to small municipalities and to deal with regional problems such as water and waste management.

Recommendation 4.10: The MDP should provide a list of scholarship sources.

Recommendation 4.11: The MDP should help in making the municipal law more completely understood.

Recommendation 4.12: Use project resources to help the training organizations develop a community level training program.

Recommendation 4.13: Work through AMHON to motivate the mayors to make even greater use of the available training facilities.

Recommendation 4.14: The MDP should work with other entities that are working in municipal development to define the roles of each one.

### **Stakeholder Perceptions of Issue #5: Design and Management of the Project**

Recommendation 5.1: The MDP should in its remaining years give more emphasis to interventions at the community level.

Recommendation 5.2: The MDP should in its remaining years give more emphasis to interventions at the municipal level.

Recommendation 5.3: The MDP should in its remaining years support the formation and operation of selected inter-municipal associations.

Recommendation 5.4: The MDP should in its remaining years give more emphasis to interventions at the national level, including institutional strengthening for *Gobernación*.

Recommendation 5.5: The MDP should concentrate on its present pilot municipalities.

Recommendation 5.6: The MDP should expand its coverage of municipalities, either by helping clusters of municipalities centered on existing MDP municipalities or by taking on municipalities in other areas.

Recommendation 5.7: Recognizing its limited resources and tenure, MDP should be selective in its undertakings.

Recommendation 5.8: At this mid-point in the life of the MDP, objectives and indicators should be updated to provide a current view of what the project is pursuing.

Recommendation 5.9: In the remaining years of the MDP, USAID/Honduras should provide strong direction to the MDP in the setting of objectives and allocation of resources.

Recommendation 5.10: In the remaining years of the project, USAID/Honduras should communicate more and more frequently with stakeholders concerning what the MDP is doing and why.

Recommendation 5.11: In the remaining years of the project, other stakeholders, besides USAID/Honduras, should participate more actively in the management of the project, perhaps through some sort of project committee. There should be more dialogue and closeness (*acercamiento*) between USAID/Honduras and the central government in the use of funds.

Recommendation 5.12: The MDP should give more emphasis to involving women in all aspects of the project.

Recommendation 5.13: In pursuing its municipal objectives, the USAID/Honduras should continue to seek opportunities for synergy and consistency in its projects and programs. Opportunities may exist with regard to training programs, funding of infrastructure projects, policy dialogue on decentralization, and institutional reform of the potable water sector.

Recommendation 5.14: The MDP should be extended beyond 1997.

## Conclusions

### Reprogramming of the Project

At present USAID/Honduras is reconsidering the design and activities of the MDP, with the possible increase in the USAID budget allocation by \$2 million to \$12 million and a possible extension of the Project Agreement Completion Date to June 30, 1998. The present evaluation is an input into the Mission's on-going reprogramming process.

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The stakeholder recommendations, by and large, call for the MDP to keep on doing what it has done, give more emphasis to some elements, broaden the MDP by giving assistance to more municipalities, and extend the life of the project significantly. The project to date is generally perceived by stakeholders as having been very successful; they want it to continue, to be expanded, and to have its life extended.

Full implementation of all the stakeholder recommendations would cost much more money and take much more time than the MDP has, even with the additional \$2 million and one year extension in the PACD. Choices will have to be made.

**Management Approach**

In general leadership requirements vary over the life span of development projects. A strong and directive type of leadership is often required in the early stages so the project can get up and moving. As the project becomes well established, a more participatory approach may need to be incorporated if growth is to continue.

Four broad kinds of leadership and decision-making may be identified, as shown below.

**Four Stages in Directive and Participatory Project Leadership**

1	2	3	4
Strong Direction by Project Sponsors	Information- Sharing	Consultations on Decision-Making	Participation in Decision-Making

The levels of participation would start at a point of providing more information, from there it could move on to including more input for project decision making, and finally to the point of joint decision making. The management approach to date of USAID/Honduras to the MDP has been a combination of all four of these elements.

The recommendations that many MDP stakeholders have made for the future suggest a desire to move toward a management approach weighted even more toward information sharing and consultation. It is not an "all or nothing" choice. USAID/Honduras mission managers could choose to continue to use a mix of elements of all four stages, tailored to particular aspects and decisions of the MDP.

In summary, the recommendations of the stakeholders for the management approach during the remaining years of the Project favor more sharing of information and more consultation with stakeholders on decisions. The degree and mechanisms should be considered during the current reprogramming of the MDP.

## Concluding Observations

The MDP is generally regarded by stakeholders, both at the municipal and national levels, as very successful. They want the Project continued and expanded. The present mid-point in the MDP's life is a good time for course adjustments to be made.

Hard choices face the MDP. There are good cases to be made for giving priority to each of the major areas of the MDP. There are also trade-offs, as well as some complementarity, in devoting resources to activities that promote sustainability as well as the realization of outputs during the life of the project. Coordination of technical assistance and training is needed, but no consensus exists with regard to its scope and institutional mechanism. Finally, in the last half of the MDP existence, there are advantages to be gained by giving increasing weight in the management approach to the sharing of information and to consultation.

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## I. INTRODUCTION

The present report presents the results of the participatory (or "fourth generation") midterm evaluation of the Municipal Development Project (MDP) of Honduras (USAID Project Number: 522-0340). The scope of work for the evaluation is presented in Annex 1.

The evaluation was conducted by Management Systems International, Inc., (MSI) under a contract with USAID/Honduras. The work was carried out principally by Chief of Party Dwight Bunce and Dr. Edgar Nesman. After initial Team Planning Meetings at the MSI office, they spent five weeks in Honduras conducting the evaluation, from June 27 to July 30, 1994.

MSI takes this opportunity to thank USAID/Honduras for its support to the evaluation team. Officials of the Municipal Development and Infrastructure Office and of other USAID/Honduran offices made themselves available for stakeholder interviews. MSI also appreciates the broad cooperation from all the stakeholders (see Annexes 4, 5, and 8), who participated in individual interviews and in Stakeholder Workshops.

Preceding this chapter was the Executive Summary, which included the specific recommendations made by stakeholders. The next chapter on the Approach presents the methodology and activities of the evaluation. Chapters IV through VIII then summarize the stakeholders views of project accomplishments and recommendations for five major issues. Chapter IX, Conclusions, presents a synthesis of the evaluation's results.

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## II. APPROACH

After describing the participatory methodology of the evaluation, the chapter continues with a chronology of the evaluation activities. The chapter concludes with observations about the Stakeholder Dialogue which the evaluation engendered.

### A. Methodology

The methodology used in the evaluation of the MDP followed the guidelines outlined in the Scope of Work (See Annex 1, Scope of Work). One of the principal elements of this evaluation was the use of The "Fourth Generation" approach as the conceptual framework for the design. Descriptive information on this type of evaluation provided by USAID/Honduras is presented in Annex 2.

In this approach to evaluation, "the evaluator facilitates resolution of project stakeholder issues, rather than determines whether the project is achieving its objectives" (Annex 2, p. 1). The description of this approach goes further to suggest ways that it differs from the usual evaluation of AID projects:

Fourth generation evaluation does not begin with a "model of the project," such as that depicted by A.I.D.'s logical framework and then go the project site and judge whether the model has worked in reality. Instead, fourth generation evaluation begins from the perspective of the PEOPLE involved in the project and depends upon the perceptions of those people to define the claims, concerns, and issues which the evaluation will attempt to resolve. The purpose of the evaluation is not to judge the effectiveness of the project, therefore, but rather to attempt to build consensus among the project stakeholders regarding what they perceive the project is doing, what the problems are that need to be resolved, and what the next steps should be in the project process. The evaluation plays the primary role of "facilitator" rather than "judge." Furthermore, the participation of key stakeholders in the evaluation is considered absolutely essential for success. (Annex 2, p. 2)

This approach also gives some guidelines as to the type of evaluation activities that should be used. One of the assumptions in this approach is that reality differs according to the perspective of the different stakeholders and the only way to get the whole (and complete) picture of reality is go from stakeholder to stakeholder and collect their perceptions. As these perceptions are brought together in a setting that provokes dialogue and discussion, the new and more complete reality is achieved.

The "Fourth Generation" approach is participatory so that the standard elements of evaluation (sample selection, content items, data gathering, data processing and analysis, and reporting findings) must be treated in a different manner. The selection of the sample for interviewing (key stakeholders) is achieved with stakeholder assistance; the selection of the content of the evaluation (key issues) is done with stakeholder assistance; the gathering and interpretation of information is done with stakeholder assistance; and finally, the application of the findings for reorientation of the project is also done with their assistance.

The present evaluation was conducted in a participatory manner which fostered dialogue and resolution of differing views with respect to the entire range of MDP objectives. As Chapter IX notes, stakeholders as a whole did not advocate dropping any major project objectives; quite the contrary, the challenge is to continue to pursue multiple objectives with limited time and resources.

In the Fourth Generation Evaluation the evaluators concentrate on presenting the views of stakeholders rather than their own views. An evaluator in this context has the responsibility to promote a "collaborative" process and to be an "historian and illuminator."<sup>1</sup> Accordingly, although the evaluators did exercise some professional judgment, even the concluding synthesis in Chapter IX continues to reflect the views of the stakeholders themselves.

## **B. Evaluation Activities**

- **Team Planning Meeting:** Before traveling to Honduras, the team met in Washington on June 23-24, for a two day planning session to review the work plan, to discuss the implications of the application of a participatory methodology, to schedule activities, and to make preliminary task assignments.

### **Week One**

- The team arrived in Honduras on June 26th and initiated work on Monday the 27th.
- **Meetings with USAID/Honduras (MDP) Managers:** these meetings served as a general orientation for the evaluation team and to initiate scheduling of future activities.
- **Review of Project Documents:** Some documents were provided even before team arrival in Honduras and continued to be collected and reviewed all through the work period.
- **Determination of Key Issues:** Suggested issues were included in the Statement of Work. These were clarified during the meetings with USAID MDP managers (key stakeholder) and with preliminary talks with other key stakeholders during the first few days in Honduras.
- **Determination of Key Stakeholders:** Suggested stakeholders were included in the Statement of Work. These also were clarified in meetings with USAID MDP managers and during the first stages of interviewing. (See Annex 4, List of People Interviewed)
- **Preparation and Approval of a Plan of Work:** At the termination of the first week in country the evaluation design and Plan of Work were prepared and approved.

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<sup>1</sup> Egon G. Guba and Yvonna S. Lincoln, Fourth Generation Evaluation, 1989, p. 264.

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- **Participation in Meetings with Mayors (*Encuentro Presidencial con Alcaldes y Gobernadores*):** The evaluation team's arrival coincided with the week scheduled for the annual concentration of mayors. By this means it was possible to contact most of the mayors that were participating in the Project, schedule a time to visit their municipality and get their perception as to the key issues that should be included in the evaluation as well as who they felt were stakeholders that should be contacted.

### Week Two

- **Interviews with stakeholders:** In the second week interviews were initiated with stakeholders at the national level, including the central government institutions. Also interviewed were those in the national mayor's organization, AMHON, and those furnishing training and technical assistance to the municipalities.

### Week Three

- **In-Country Interviews at Municipality Level:** During the third week in country interviews were conducted at the municipality level, in the local communities in the North Coast area, and at the University of San Pedro Sula. Other interviews were scheduled later to fill out the stakeholder list.
- **Municipal Level Workshop:** At the end of the third week, on July 15, an all-day workshop was held for discussion of the findings at the municipal level. All of the perceptions from the interviews were summarized in document form (see Annex 6) so that they could be discussed in work groups. The summary included the perceptions of Project accomplishments as well as problems.

The discussions were focussed on recommendations for needed changes in Project operation for the remaining 2.5 years. There were 32 people who took part in the workshop, mostly mayors and municipal personnel. (See Annex 5, List of Participants in Municipal Level Workshop and Annex 7, *Percepciones y Recomendaciones de los Participantes en el Taller de Seguimiento al Proyecto de Desarrollo Municipal*). At the end of the workshop participants filled out a questionnaire. (See pages 2 and 3 of Annex 10.)

- **Trainees in NDP at University of San Pedro Sula:** On Saturday, July 16, a meeting was held with trainees in the municipality program at the University of San Pedro Sula. They responded to a questionnaire. (See the first page of Annex 10.)

### Week Four

- **National Level Workshop:** At the end of the fourth week in country a half-day Stakeholder Workshop was held for national level stakeholders. The findings from the interviews were presented as well as a synthesis of the results from the first workshop. The purposes of the Workshop were to discuss the observations from the July 15

Stakeholder Workshop, to obtain the views of national level stakeholders, and to develop recommendations. The discussion focused on the following key issues:

- *La coordinación de la asistencia técnica y capacitación suministrada por distintas entidades; opciones institucionales a largo plazo, tales como un instituto municipal*
- *La municipalización del catastro y la capitalización de FUNDEMUN*
- *Despidos por motivos políticos de los cuadros técnicos de las municipalidades*
- *Descentralización y municipalización: agua potable y las cuencas*
- *La participación de la mujer*
- *El papel de diputados en asuntos municipales y el voto separado para diputados*
- *La participación del Gobierno de Honduras en el PDM y el manejo del PDM*

There were 17 people present at this workshop. (See Annex 8, List of Participants in National Level Workshop. A summary of the Workshop is presented in Annex 9, *Informe de Seminario-Taller de Encuentro con Evaluadores del PDM*.)

- **Stakeholders at Choluteca:** During the week municipal level stakeholders were interviewed in Choluteca.

### **Fifth Week**

- **Preparation and Presentation of Summary Report:** During the fifth and final week in country, the evaluation work team prepared and presented to USAID/Honduras the preliminary report of the results of the evaluation.

### **C. Stakeholder Dialogue During the Evaluation**

In applying the methodology, the team found it useful to assure stakeholders that their individual views would be treated with confidence. Particular views would not be attributed to particular individuals. This promoted a frank expression of views. Similarly, the USAID/Honduras decided not to have any of its personnel presented at the two Stakeholder Workshops to encourage a free airing of views.

The evaluation was a dynamic process with feedback of information from stakeholders to stakeholders. The five major issues, or issue areas, identified early in the process, continued to have validity but their content was increased and additional variety obtained as the evaluation proceeded. As individual points were made by stakeholders in the interviews, they were then "fed forward" to other stakeholders. That is, stakeholders later in the process were

asked what they thought of points raised by earlier stakeholders. For example, the emphasis given by stakeholders early in the process to municipal cadastre led to more questioning on the topic of the later stakeholders.

The two Stakeholder Workshops were important elements in the stakeholder dialogue. The municipal level Workshop at the end of Week Three focussed on topics which had been previously raised by stakeholders. Similarly, the national level workshop at the end of Week Four benefitted from the individual interviews as well as the points raised in the first Workshop. Indeed the information gathered before the second Workshop enabled it to concentrate in a very efficient way on key national topics.

Consistent with the methodology, the primary objective of the interviews and of the Stakeholder Workshops was to obtain and interrelate the views of the stakeholders with regard to the accomplishments of the MDP and their ideas for improvements. Through the process and activities described above, the stakeholders themselves identified the issues. Stakeholder inputs contributed to the agendas of the two workshops and to the content of the questionnaires (see Annexes 6 and 10).

During the evaluation the views of stakeholders were identified and juxtaposed with those of other stakeholders. This process resulted in the unearthing of the 66 recommendations that are presented in the five issue chapters later in this report. Thus the views of different stakeholders on many of the same points were obtained and reported.

Although the evaluation was rich in stakeholder dialogue, time did not permit there to be a full reconciliation or a clear closure on all the issues. Since USAID/Honduras stakeholders did not participate in the two Stakeholder Workshops, USAID/Honduras officials did not have the opportunity of direct dialogue with the other stakeholders in the Workshops.

Further communication among Honduran stakeholders as well as between them and USAID/Honduras could lead to some narrowing of differences (for example, with respect to which municipalities the project should assist in the future). Even with further dialogue, however, there would in all likelihood continue to be divergent views on some individual issues. The content of the evaluation could be utilized in the preparation of an agenda for further dialogue.

#### **D. Presentation of Stakeholder Views**

The philosophy of the "fourth generation" evaluation requires that the evaluation report present in a lucid fashion what the stakeholders had to say. It is also of interest to present information concerning who, or what category of stakeholder, expressed particular views, while protecting the identity of individual stakeholders. The content of stakeholder views and information concerning the corresponding stakeholders are contained in the report, as follows:

- Sixty-six recommendations of stakeholders concerning the five issues are given in Chapters IV through VIII.

- The explanatory text accompanying the specific recommendations in Chapters IV through VIII in many cases provides information concerning the type and number of stakeholders who made the recommendations.
- At the beginning of section of stakeholder recommendations (Section B, Chapters IV through VIII) summary information is provided concerning the categories and numbers of stakeholders responsible for recommendations.
- The list of people interviewed and the lists of participants in the two Stakeholder Workshops (Annexes 4, 5, and 8) identify individual stakeholders, although not their individual views.
- The Discussion Summaries and Materials from two Stakeholder Workshops together with the list of participants (Annexes 5 through 9) provide a good sense of the views of municipal level stakeholders (the first Workshop) and of national level stakeholders (the second).
- The synthesis chapter, Chapter IX, Conclusions, reflects the preponderance of stakeholder views. For example, the reprogramming choices given in Chart 3 were selected on the basis of the emphasis assigned to them by stakeholders; if only one or two persons mentioned an item, it was excluded from the Chart.

The evaluation report thus transmits to the reader as full an understanding as possible of the views of the stakeholders of the MDP of Honduras.

### III. PROJECT DESIGN

This chapter briefly describes the design of the MDP of Honduras (USAID Project Number: 522-0340). The design of the Municipal Development Project (MDP) is presented in the Project Paper, which was signed by the USAID/Honduras Mission Director on June 29, 1990.

The goal of the project is "to strengthen democracy in Honduras." In the Mission's FY 1995-96 Action Plan, the MDP fits under Strategy Objective 4, which is "More Responsive Democratic Processes with Greater Citizen Participation."

The MDP has two purposes, as stated in the Logical Framework in the Project Paper<sup>2</sup>:

- to enhance the participation of the Honduras populace in the local democratic process; and
- to improve the operational capacity of municipalities to respond to the land, infrastructure and public service needs of their constituents.

To achieve these purposes the project design envisioned a host of outputs at the national level and at the municipal level. The MDP would supply inputs, including technical assistance and training, to generate the outputs.

The project objectives are summarized in Chart 1 on the following page, the levels of which correspond to the Logical Framework.<sup>3</sup> The arrows and connecting lines suggest the principal relationships of cause and effect. Basically, the project envisioned three sets of interventions at the national level--strengthening municipal support organizations, decentralization of selected national functions, and promotion of increased income for municipalities. These combined with the direct actions of the MDP at the municipal level were intended to lead to the accomplishment of the two project purposes.

The design of the MDP called for USAID to contribute \$10 million over the life of the project. The Government of Honduras was to contribute \$15 million, which was to be used to fund the creation of a Municipal Development Support Fund. Further description of the MDP may be found in Background section of the Scope of Work (Annex 1).

By and large, the original design of the project remains intact, with a two notable exceptions:

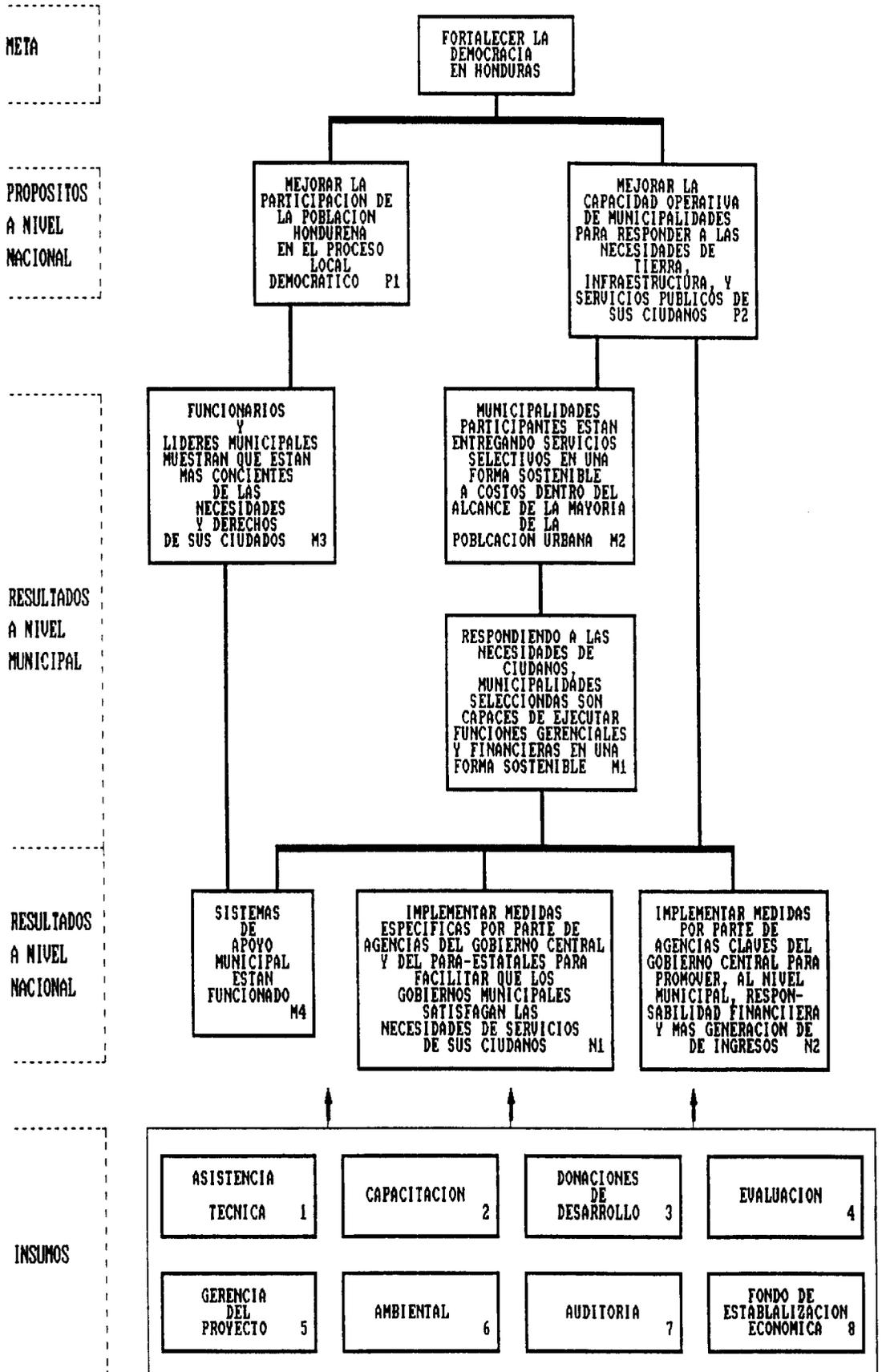
- Early on the Municipal Development Support Fund was removed from the project design because USAID changed its policy with regard to such direct lines of credit.

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<sup>2</sup> United States Agency for International Development, Municipal Development Project Paper (# 522-034), Washington, D.C., 1990.

<sup>3</sup> The chart was prepared in Spanish and was used in discussions with stakeholders during the evaluation.

CHART 1  
 PROYECTO DE DESARROLLO MUNICIPAL DE HONDURAS  
 OBJETIVOS EN EL MARCO LOGICO DEL DISENO



- The passage of the new Municipal Law just as the MDP was getting under way advanced the municipal agenda considerably. The MDP was then able to present itself as the vehicle which was helping municipalities to fulfill their responsibilities under the new, and little understood, law.

The evolution of the project is reflected in the description of the accomplishments given at the beginning of the five chapters on issues, Chapters IV through VIII. USAID/Honduras says that the two MDP purposes are still valid but that the mix of outputs has varied and will continue to evolve in response to changing circumstances.

At present the USAID/Honduras is considering further changes to the design, including the addition of \$2 million to the USAID budget allocation and an extension of one year in the Project Agreement Completion Date. The present evaluation provides further information, from the viewpoint of the stakeholders, as to alternative changes which could be made.

#### IV. STAKEHOLDER PERCEPTIONS OF ISSUE #1: STRENGTHENING THE OPERATIONAL CAPACITY OF MUNICIPALITIES

As with the issues addressed in the following four chapters, stakeholders thought that there were MDP accomplishments as well as areas for improvement. The following section lists accomplishments and the second and last section presents and discusses stakeholder recommendations for the future.

##### A. Accomplishments

Stakeholders agreed that much had been accomplished with the help of the MDP in strengthening the operational capacity of municipalities. The technical assistance, training, infrastructure support, and other inputs of MDP contributed to achievements in many of the pilot municipalities in various ways:

- Mayors and *regidores* had a fuller vision of what municipal government can do.
- Municipalities became organized to deal with the development problems of their citizens and areas.
- Municipalities modernized their internal administrations.
- Technical staff of the municipalities were more capable of carrying out their responsibilities.
- Cadastral systems were improved and tax revenues increased.
- External funding of municipal development projects increased, in spite of the fact that the contemplated MDP-sponsored Municipal Development Support Fund was eliminated from the project early on.
- MDP provided technical assistance and training of high quality through the International City Managers Association (ICMA), FUNDEMUN, and two universities.

The accomplishments of the project were reported in the semi-annual reports of USAID/Honduras in the form of narratives and indicators. The indicators chosen by the Mission have evolved with the project over the years. Some indicators have been eliminated, others modified, and yet others added.

The indicators used for the six month period ending September 30, 1993, show significant cumulative progress toward Life of Project targets in the areas of Annual Programming and Budgeting; Public Service Delivery, Systems and Procedures; and Technical Urban Planning, Land Use and Development Policies.

The revised indicators currently in use also show that progress has been made with respect to Issue #1. The indicators show cumulative progress through March 31, 1994, for the proportion of municipal budgets going to capital projects; percent increase in coverage: provision of water, sewerage and refuse collection; and number of persons attending training events. By March 31, 1994, MDP had already exceeded by a third the Life of Project target of 2,040 persons attending training events; targets for the training of both men and women were surpassed.

## **B. Recommendations**

Stakeholders at the municipal level gave strong support to updating and institutionalizing the municipal cadastre, providing training to mayoral candidates, and establishing an administrative career path for municipal employees (Recommendations 1.1, 1.3, and 1.4). Many municipal officials, elected and appointed, concurred in the need for more training and technical assistance (Recommendation 1.9). Other recommendations reflected the views of some of the municipal level stakeholders; national level stakeholders were generally supportive of strengthening the operational capacity of municipalities but were less specific about how to do so.

Many municipal level stakeholders recognized that there was a need for other cities to benefit from training and technical assistance but there was a divergence of opinion concerning how to utilize MDP in this regard. Some favored making sure that the existing cities had fully internalized the reforms (Recommendation 1.13); others advocated extending the coverage of MDP to other cities (Recommendation 1.12).

**RECOMMENDATION 1.1: In order to generate local revenues, institutionalize the cadastre at the municipal level. Continue and deepen the assistance currently being provided by the MDP. Give municipalities the opportunity to contract directly for cadastral services.**

Of all the recommendations made by municipal level stakeholders with respect to Issue # 1, the institutionalization of the cadastre was made the most frequently.

In some of the pilot MDP cities, much progress has been made and revenues have increased. In general there remains much potential revenue to be collected:

- Rural as well as urban properties need to be entered into the municipal property base.
- Valuations need to be updated to current market values and thereafter periodically updated as the law requires.

Municipal level stakeholders agreed that municipal autonomy required a strong local tax base and the municipal capability to assess property and to levy and to enforce collection of taxes. Besides the kinds of training and technical assistance already being provided by MDP, some

stakeholders would like the MDP to purchase vehicles as well as computer hardware and software.

In order to have more direct control over the quality of cadastral services being rendered to the municipalities, some stakeholders recommended that the municipalities themselves become direct parties to the contracts which are to provide these services.

**RECOMMENDATION 1.2: The MDP should consider promoting alternative financial mechanisms to accelerate the institutionalization of municipal cadastre. Consideration should be given to a payback by municipalities which would help capitalize *Fundación para el Desarrollo Municipal* (FUNDEMUN).**

In one of the MDP cities, informed stakeholders said revenues could be more than doubled to over three million Lempira per year should the full potential of the tax base be exploited at the current millage. Their estimated costs to upgrade the city's property tax system were much less than the potential additional revenue.

Although the nature and amount of unrealized property tax collections vary among the 22 pilot cities, the views of municipal level stakeholders suggest that, for many cities at least, the additional revenues would markedly exceed the costs of institutionalizing the property tax system at the local level. It would generate net revenues within one to three years; it would be a "*buen negocio*."

When the net revenues appear particularly promising, it could be worthwhile for the municipality to borrow money from a commercial bank. Given their overall weak financial position and lack of credit-worthiness, however, some municipalities might not be able to obtain such financing. The municipalities themselves, as well as bankers, may also be reluctant to undertake the venture, giving more weight in their evaluations to the risks they perceive. The mayor of one pilot municipality said he was working to pay off previous indebtedness and did not want to borrow more money.

Of course MDP municipalities would like to continue receiving free technical assistance and training, or, paying only part of the costs, as is now often the case with MDP. Unlike most other areas of municipal strengthening, the institutionalization of the cadastre frequently offers the prospects of significant revenue increases in the future, suggesting the potential for MDP assistance to be repaid.

One approach, that has been discussed on an exploratory basis with some MDP stakeholders, is to require the municipality to repay 100% of the costs of the assistance it received out of the increased taxes collected. (See Chart 2 on the following page.) For example, if it cost FUNDEMUN 250,000 Lempira to provide the technical assistance, the municipality would be obligated by a contract it would sign with FUNDEMUN to repay that amount in the following years. A formula could be negotiated for that repayment. Property tax revenue could be projected on the assumption that the cadastre was not to be improved through MDP interventions. Some fraction (say, one-third) of the increment above that projection actually

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received in subsequent years would be used to repay FUNDEMUN. Paybacks would be made annually until the entire amount was paid.

**From the point of view of the municipality,** it would be in effect receiving a low risk, in-kind, interest free loan to modernize its cadastre. If the help did not increase revenues within a stipulated period, the municipality would owe nothing to FUNDEMUN. But the municipality would have an incentive to make the improvements work: even during the repayment period, the municipality would keep part (say, two-thirds) of any net increase in revenues.

**From the point of view of FUNDEMUN,** it would have a strong interest in doing as good a job as possible. Once properly working, the municipality would repay FUNDEMUN. One possibility would be for these funds to be added to the net worth of FUNDEMUN, increasing its prospects for sustainability and its potential to expand its services to other municipalities.

**From the point of view of USAID,** the development benefits of its assistance would be multiplied. FUNDEMUN would use the repayments to finance other municipal development activities in Honduras and the prospects improved for the sustainability of a key MDP-fostered, municipal support organization.

Although there were positive expressions by some stakeholders with respect to this possible approach, there are a number of potential problems that may be encountered. First some cities may have much more potential revenue to attain than others. Second, how could FUNDEMUN enforce its claim for repayment should some municipality (say, its newly elected government) refuse, contrary to its contract, to do so? Third, there is the question as to whether and how FUNDEMUN could assist the municipality in obtaining related commodities, such as computers and vehicles. These aspects would have to be treated with due care should MDP wish to implement this payback mechanism.

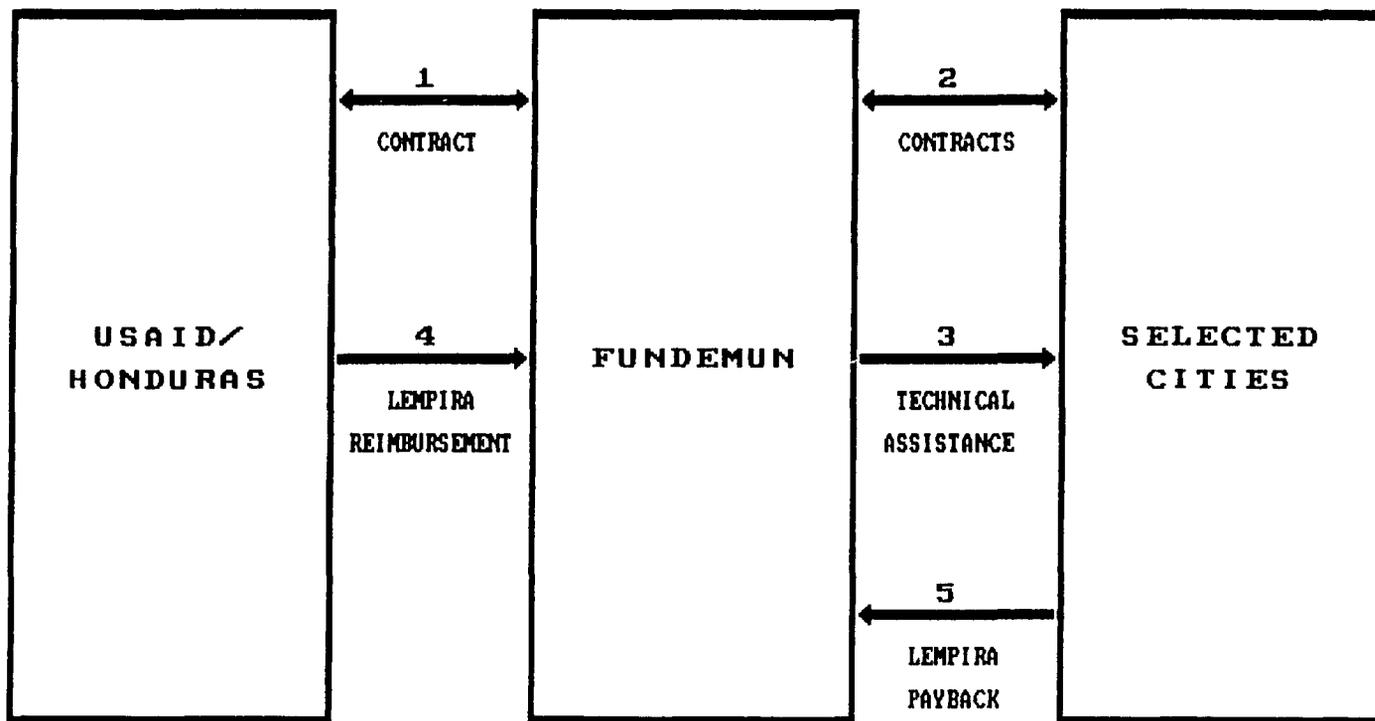
**RECOMMENDATION 1.3: Before the next election day, training should be provided to mayoral candidates of different political parties of selected municipalities.**

The recommendation is basically to repeat the training provided to mayoral candidates by MDP before the last municipal elections. This training received rave reviews from participants, who are now mayors or *regidores*. The training opened up a vision as to what municipal government can be. By getting competing candidates out of the country, they saw themselves more as fellow Hondurans and saw more clearly the benefits of cooperating for the good of their communities. Since the election, some of the former competitors for mayor are now cooperating for the good of their communities. In some cases, the losing candidates are now *regidores*, who actively and constructively participate in municipal affairs.

The training may have contributed significantly to the understanding by some of the new mayors of how to go about their job in an organized and participatory fashion. The training may have helped mayors understand the roles of the technical staff and have reduced in some instances the replacement of qualified staff by political supporters.

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**CHART 2: SCHEMATIC OF A PAYBACK MECHANISM TO FINANCE MUNICIPAL CADASTRE AND TO CAPITALIZE FUNDEMUN IN THE CONTEXT OF THE MUNICIPAL DEVELOPMENT PROJECT OF HONDURAS**



**STEPS**

1. A CONTRACT IS NEGOTIATED BETWEEN USAID/HONDURAS AND FUNDEMUN ESTABLISHING THE FRAMEWORK OF THE PAYBACK MECHANISM.
2. WITHIN THIS FRAMEWORK, FUNDEMUN NEGOTIATES SEPARATE CONTRACTS WITH SELECTED MUNICIPALITIES, INCLUDING A FORMULA FOR THE FUTURE PAYBACK OF THE COSTS OF THE CADASTRAL ASSISTANCE. THE FORMULA COULD STIPULATE THAT A SHARE OF ADDITIONAL TAX COLLECTION WOULD BE USED FOR THE PAYBACK.
3. FUNDEMUN PROVIDES TECHNICAL ASSISTANCE AND OTHER HELP TO THE MUNICIPALITIES TO UPDATE AND INSTITUTIONALIZE THE CADASTRE AT THE MUNICIPAL LEVEL.
4. USAID/HONDURAS REIMBURSES FUNDEMUN FOR THE COSTS INCURRED IN HELPING THE MUNICIPALITIES.
5. IN SUBSEQUENT YEARS THE MUNICIPALITIES PAY FUNDEMUN BACK THE COSTS OF THE ASSISTANCE PROVIDED IN ACCORDANCE WITH THE FORMULA.

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**RECOMMENDATION 1.4: The MDP should promote the establishment of an administrative career path for municipal employees with protection against being fired for political reasons.**

Many stakeholders, at the municipal and national levels, are concerned that in-coming municipal governments will fire municipal workers wholesale, replacing them with political supporters. The establishment of a career path would include general job descriptions for technical positions (treasurer, community development officer, etc.) and set forth recommended qualifications. MDP training could result in the awarding of diplomas or certificates for knowledge acquired in particular specialties.

The MDP, perhaps working through AMHON, could promote the drafting and passage of *estatutos* which would protect municipal employees from being fired, without, said some stakeholders, creating inefficient municipal bureaucracies. [See Recommendation 3.1 in Chapter VI] When stakeholders were asked if in return employees should have their partisan political activities restricted, there was no clear response.

Stakeholders did not have an agreed upon view as to which municipal positions should enjoy such civil service type protection. One view was that only a few key positions, such as department heads, should be protected. Another view was that certain top positions, such as the *Gerente Administrativo*, should be political appointments. Yet another view was that all employees of the Municipal Corporation should be protected. Finally, another view was that priority should be given to the protection of middle managers.

**RECOMMENDATION 1.5: Municipalities, with help from the MDP, should emphasize improving their financial administration, obtaining more revenues from local taxes, and increasing the share of spending going to investment, as contrasted with current expenditures.**

Although some progress has been made in these areas, much remains to be done. Improved budgeting and tax collection would permit municipalities to devote more of their spending to investment.

**RECOMMENDATION 1.6: Help municipalities to obtain, on time, the full amounts of their transfers from the Central Government**

The full and prompt receipt of central government transfers is a continuing concern by stakeholders at the municipal level.

**RECOMMENDATION 1.7: Help municipalities obtain funding for development projects from USAID, other international donors, and the Government of Honduras.**

Municipalities, many stakeholders observed, do not have enough money to fund needed development projects. The elimination of the MDP-sponsored Municipal Support Fund from the design of the project removed one anticipated funding source. Many stakeholders at the municipal level said they needed more money and more direct control of its use. They

wanted to receive the money directly, instead of having it handled by intermediary organizations.

**RECOMMENDATION 1.8: Red tape should be cut in the development project cycle.**

Some municipal level stakeholders complained that the current MDP process, from definition of the development project through construction and beginning of operation, takes too long. There were too many steps in the process and citizens became impatient. (See Recommendation 4.7 in Chapter VII.)

**RECOMMENDATION 1.9: The MDP should continue to provide training and technical assistance to municipalities and to elected municipal officials.**

In general training and technical assistance are needed to help the municipalities attain objectives, such as the development of infrastructure projects, modernization of municipal administration, financial planning, and tax collection. Training is needed for mayors and *regidores* in leadership and decision-making. (See Recommendation 4.1 in Chapter VII.)

**RECOMMENDATION 1.10: With the help of the MDP, municipalities should continue to modernize.**

Modernization is needed across the board for the administration of the municipalities, including the use of manuals and computers.

**RECOMMENDATION 1.11: Municipalities should form inter-municipal associations to deal with common problems that cross municipal boundaries.**

Stakeholders identified a number of situations where an inter-municipal approach would be appropriate. In the Valle de Sula a regional approach is needed to obtain and distribute water to several municipalities. The supply of potable water and the protection of watersheds were mentioned by various stakeholders as being good candidates for an inter-municipal approach. Besides the regional nature of water and environmental problems, a large organization could have more political power and employ technical staff (e.g., civil engineers) that smaller municipalities could not afford.

Another role for inter-municipal associations is to serve as the implementing agency for national or regional goals. For example, municipalities which include the watershed of the *El Cajón* dam are forming an association which would fight to reverse deforestation. They are planning to ask for the approval of the President of Honduras for the association to be given enforcement powers--for example, the power to stop or regulate commercial and military loggers. Similarly, an inter-municipal association could deal with coastal problems in the *Golfo de Fonseca*.

Considered more broadly, the inter-municipal associations are a decentralization alternative to the Central Government's implementation of programs. In a bottoms-up evolution, the associations could begin to work as Councils of Government, at least with respect to certain

functions which are presently handled by ministries or national agencies. (See Recommendation 4.3 in Chapter VII.)

**RECOMMENDATION 1.12: The MDP should terminate assistance to some of the present pilot municipalities and undertake assistance to others.**

One reason for "graduating" some pilot cities is the assessment by some stakeholders that these cities have already benefitted from technical assistance and training, and those benefits are sufficiently internalized to permit them to make it on their own.

Another reason is to release technical assistance and training resources of the MDP so that they could be used to spread the benefits of MDP to other cities. Some stakeholders would continue assisting the medium-sized tier of cities; others would reorient MDP toward the numerous small municipalities.

**RECOMMENDATION 1.13: The MDP should continue to assist the present 22 pilot municipalities, especially with their cadastral systems.**

Many stakeholders at the municipal level emphasized the fragility of the strengthening of the operational capacity of the municipalities. Much remains to be accomplished in developing the capacity for long-term planning, instituting financial controls, and in working effectively with local communities. Some stakeholders are concerned that should MDP help be terminated prematurely, much of the progress gained to date could be lost.

The cadastral systems were a prominent example. Many problems were cited with the updated urban cadastral data which the MDP had helped provide to selected municipalities. In the view of many, those problems should be corrected, the coverage extended to the rural parts of the municipalities, and the capacity to update the property registry and valuations institutionalized at the municipal level. These objectives should be fulfilled before MDP assistance terminates.

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## V. STAKEHOLDER PERCEPTIONS OF ISSUE #2: IMPROVING THE PARTICIPATION OF THE POPULATION IN THE LOCAL DEMOCRATIC PROCESS

### A. Accomplishments

There were a number of accomplishments mentioned by the stakeholders in the area of improved participation by the local people in the democratic process as a result of the municipal Project:

- The population in the municipalities that are participants in MDP represents approximately 46% of the population of the whole nation.
- Local organized groups such as *patronatos* and the Chambers of Commerce have participated actively in specific projects for community betterment.
- The "separate vote" that was practiced for the first time in the last election gave the community an opportunity to select their mayor rather than have him/her elected as part of the presidential slate.
- Some of the mayors and staff have found it very helpful to visit the communities periodically so that they can become better acquainted and they can work together on common problems.
- The MDP has been able to work with the municipalities and give help to specific *patronatos* as they work on improving their community services.
- As the MDP has strengthened the administration of the municipalities, it in turn has helped them to be of more help to the local communities.

At the same time that there have been some accomplishments in the area of community participation, it was also the opinion of many stakeholders that it is an area where increased emphasis is needed in the remaining years of the MDP.

### B. Recommendations

There was remarkable coincidence of view that community participation needed to be given increased emphasis in the MDP. Stakeholders at the national level, including those in the central government, as well as municipal level elected and appointed officials agreed on this priority, which is expressed below as Recommendation 2.1.

In both individual municipal level interviews as well as in the first Stakeholder Workshop there was considerable emphasis given by many stakeholders to the importance of the *cabildos abiertos*, the involvement of local *patronatos*, and training in participation for municipal staff and community leaders (Recommendations 2.5 and 2.7). Other recommendations for community participation arose from the diverse views of stakeholders,

such as for adding a specialist to the MDP team (Recommendation 2.2), improving municipal transparency (Recommendation 2.9), and MDP co-financing of community (as contrasted with municipal) projects (Recommendation 2.11).

**RECOMMENDATION 2.1: There should be an increased emphasis in community participation in the future.**

National and municipal level stakeholders agreed on this recommendation.

There has been a recognition of MDP personnel as well as in the municipalities that this has been an area that needs more emphasis. It has been suggested that there has been a "culture of dependency" that needs to be modified if decentralization and local democracy are to flourish at the community level.

**RECOMMENDATION 2.2: Emphasize the importance of community participation by adding a specialist to the USAID/Honduras Project Team.**

It is suggested that this educational process deserves the assistance of a specialist for the remaining years of the Project.

**RECOMMENDATION 2.3: Clarify project objectives and corresponding indicators of success in the area of community participation.**

"Community participation" by its very nature is seen as being hard to describe and measure. The perception of the stakeholders at different levels is that the objectives and indicators in the MDP project documents are not clear. For example, the output measure used in the latest Project Status Report is listed as "Average attendance per town meeting", yet the number of meetings held is not reported. The impression from talking to municipal level stakeholders is that these meetings are sporadic and not yet institutionalized. Before moving too far ahead in this area, there needs to be clearer objectives and indicators so that both the people at the municipal and community level as well as those taking part in the training can have some targets toward which to work.

**RECOMMENDATION 2.4: Consider community involvement as part of long-range planning and not something that can be done in a short time.**

Many of the stakeholders felt that many of the changes that have taken place in municipal strengthening have happened rather rapidly. At the same time, the participation of local people in municipal decision making will be a slow process that starts with some form of limited participation, and after seeing positive results, then being willing to participate at a deeper level. It is felt that this will take time and should be planned that way.

**RECOMMENDATION 2.5: Strengthen the work at the community level through "patronatos", "cabildos abiertos", civic and other ngo groups, school involvement, and municipal work commissions.**

There have been a number of experiments that have already been tried in the municipalities and these, in the view of several of the municipal level stakeholders, can be the basis for more concrete recommendations of how the increased community participation can be fostered.

**RECOMMENDATION 2.6: Work with and through FUNDEMUN and *Asociación de Municipios de Honduras* AMHON in the local communities to help develop a culture of participation to help displace the dependency relation that now exists with the municipality.**

This recommendation deals with the agencies that the MDP can work through to reach the local communities. Mayors, municipal personnel, and intermediate organizations saw AMHON and FUNDEMUN as effective agencies to help the municipalities with this task.

**RECOMMENDATION 2.7: Training courses in community participation should be provided for mayors, municipal administrators, and community leaders.**

There was broad agreement among municipal level stakeholders that training and technical assistance would be needed at the community level if changes were to be expected. It was also suggested that training in community participation is needed for the mayors and other municipal administrators if it is to happen. It was also suggested that the training should focus on the development vs. dependency issue.

**RECOMMENDATION 2.8: Work with and through FUNDEMUN and the universities to develop training courses and manuals focused on: 1) increasing community participation in community groups, and 2) understanding of the new municipal law.**

The use of training modules and manuals for mayors, municipal administrators, and local leaders was specifically mentioned by several municipal and university level stakeholders. Both FUNDEMUN and the Universities were mentioned as the ones that would be expected to help in this task.

**RECOMMENDATION 2.9: Work with mayors to find ways to improve transparency in municipal operations as a way of increasing community participation.<sup>4</sup>**

This recommendation was mentioned by the mayors as well as the other stakeholders. It was felt that unless the people knew what was going on, they would have little motivation to

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<sup>4</sup> The term "transparency," or "*transparencia*" in Spanish, in the context of the MDP refers to the ability of citizenry and others to see what the municipalities are doing. Indicators of transparency would include the availability of information about municipal finances and the decision-making process. Lack of transparency can lead to doubts and suspicions about the correctness and honesty of municipal operations.

participate. Knowledge of long range Municipal plans and budgets were part of the transparency that was suggested.

**RECOMMENDATION 2.10: Work with donating agencies to clarify and simplify the procedures for getting external help so that local people do not lose interest and withdraw their backing of community improvement projects.**

One of the frequently heard complaints at the municipal level was that it was not always easy to know what help was available from the MDP and other sources and just how to go about getting it. Further, that the procedures (*trámites*) were so detailed and time consuming that the community backing for the project was often lost in the process. For increased community participation, it was felt that this process needed to be clearer and quicker. (See also Chapter V, Recommendations 1.7 and 1.8)

**RECOMMENDATION 2.11: Provide funds that can be requested by community groups for small projects that offer the opportunity for maximum community participation ("co-gestion").**

This was suggested by some municipal level stakeholders as one way to get more community participation by providing a mechanism for small projects that would serve local needs as well as foster the participation process.

**RECOMMENDATION 2.12: Promote the use of private sector service delivery through community based organizations.**

This recommendation included such services as water (through the *juntas de agua*), trash collection, and other special tasks that might be contracted as needed. There was not full agreement on this recommendation and some felt that it would only cause problems for the municipality. (See Recommendation 3.7 in Chapter VI.)

## VI. STAKEHOLDER PERCEPTIONS OF ISSUE #3: PROMOTION OF NATIONAL LEGISLATION AND POLICIES WHICH STRENGTHEN MUNICIPALITIES AND LOCAL PARTICIPATION

### A. Accomplishments

At the national level, the MDP is perceived by many stakeholders as having contributed, in varying degrees, to various accomplishments:

- The passage of the Municipal Law of November 19, 1990, and two sets of amendments, one in 1991 and one in 1993.
- The adoption by law of a formula-based revenue sharing through which each municipality is to receive periodic transfers of funds from the Central Government.
- The approval by the Government of Honduras and municipalities of an arrangement through which municipalities channel a fraction of their Central Government transfers directly to AMHON.
- The strengthening of the *Dirección de Asesoría y Asistencia Técnica Municipal* (DGAATM) in Gobernación as the center within the Central Government for the advancement of municipal matters.
- Dialogue between the *Comisión Presidencial para la Modernización del Estado* and USAID/Honduras.
- The creation and early functioning of the Valle de Sula Metropolitan Zone (VSMZ).
- The provision of a separate ballot for mayors in the November 1993 national elections.

Although the MDP continues to advocate decentralization of central government functions, there was limited progress in the actual devolution of services to the municipal level.

### B. Recommendations

At the municipal level there was strong agreement among stakeholders for various measures to promote municipal autonomy and operational capacity; understandably there was more divergence of opinion at the national level. Municipal officials advocate legislation to protect municipal officials from being fired for political reasons (Recommendation 3.1), support decentralization of the Central Government (Recommendation 3.6), want to assume responsibility for urban water systems (Recommendation 3.7), and favor separate ballots for diputados (Recommendation 3.8). Municipal stakeholders look to AMHON to lobby for their political agenda at the national level.

National level stakeholders, while in general agreement with the principal of municipal autonomy, are more aware of the difficulties of achieving it. The central government did not set forth clear policies for decentralization and spoke of the need for coordination between national and municipal efforts, which potentially could conflict with municipal autonomy (Recommendation 3.5). On the other hand, both municipal and national level stakeholders agreed on the need for better coordination of municipal technical assistance and training (Recommendation 3.3).

**RECOMMENDATION 3.1: National legislation is needed to protect municipal employees from being fired for political reasons, thus promoting the continuity of technical capacity at the municipal level.**

Many stakeholders agreed that some municipal employees needed protection by law from being discharged for political reasons. The fear was that benefits of the training of present employees would be lost, should there be a change in the political party controlling the *alcaldia*. Many stakeholders thought that AMHON could take a lead role in promoting such legislation.

Stakeholders did not have an agreed upon view as to which municipal positions should enjoy such civil service type protection. One view was that only a few key positions, such as department heads, should be protected. Another view was that certain top positions, such as the *Gerente Administrativo*, should be political appointments. Yet another view was that all employees of the Municipal Corporation should be protected. (Chapter V, Recommendation 1.4)

When asked if the freedom of protected employees to engage in partisan political activity should be limited, there was not a clear response from stakeholders.

**RECOMMENDATION 3.2: The MDP could provide assistance to *Gobernación* as it seeks more cooperation with SECPLAN in efforts to coordinate central government policies toward the municipal sector.**

Stakeholders at both the municipal and national levels opined that clear national decentralization policies were lacking. At the municipal level, stakeholders simply did not have a sense of how certain functions were to be devolved to them. At the national level, stakeholders recognized that much more coordination and work was needed within and among key Central Government organizations (*Gobernación*, SECPLAN, *Hacienda*, *Comisión de la Modernización del Estado*, *Catastro Nacional*, SANAA, etc.). Consistent policies for decentralization need to be developed and applied.

One municipal stakeholder thought that all municipalities should have the same accounting system (chart of account, formats and periodicity of financial statements) so that *Gobernación* would be able to produce summary reports.

**RECOMMENDATION 3.3: More coordination is needed of the training and technical assistance provided by the MDP and mechanisms for providing it should be considered.**

There was broad agreement by stakeholders at the local and national levels that more coordination was needed of training and technical assistance. It was noted, for example, that different educational and technical assistance organizations could give contradictory information to the same municipality.

There are a number of concerns that were expressed by stakeholders that could be addressed:

- The overlap of technical assistance and training;
- The duplication of activities at the municipal level;
- The gaps in knowledge and skills at the municipal level;
- The quality of services offered;
- The availability of choice to municipalities in their obtaining technical assistance and training services; and
- The promotion of an adequate supply and demand for technical assistance and training services to encourage sustainability;

There was a lack of clarity and agreement by stakeholders as how coordination could be achieved. Suggestions included:

- Information sharing by training and technical assistance providers;
- A clearing house function being performed by AMHON, FUNDEMUN, or *Gobernación*;
- The establishment of a national training center (perhaps by FUNDEMUN in *Siguatepeque*); and
- The creation of a Municipal Institute, which would carry out the coordination among other tasks.

(Also see Recommendation 4.5 in Chapter VII.)

**RECOMMENDATION 3.4: The MDP should promote national legislation and policies which favor municipal autonomy.**

In the view of some municipal level stakeholders, it is important that national actions help municipalities become stronger. Municipalities need to have more money and technical

capability to carry out responsibilities assigned to them in the Municipal Law. The emphasis here is on "bottom-up development" in contrast to that cited in Recommendation 3.5.

Full and prompt funding of the transfers to municipalities from the central government was considered crucial by municipal stakeholders (See Recommendation 1.6 in Chapter IV.)

**RECOMMENDATION 3.5: The MDP should promote a decentralization of the central government in which municipal sector activities are coordinated with the programs and goals of the national government.**

Emphasis by some national level stakeholders was on "coordination." Municipal actions should fit into a clear national system of national priorities. Carried to an extreme, this approach could become "top-down" in contrast to that cited in Recommendation 3.4.

**RECOMMENDATION 3.6: On a very selective basis, the MDP should help the central government decentralize.**

A selective approach was recommended by some stakeholders given that decentralization is a large and complex subject and that the United Nations Development Programme is already assisting the Government of Honduras with decentralization on an across-the-board basis.

**RECOMMENDATION 3.7: The MDP could assist in the decentralization of the potable water sector at the national and municipal levels. A starting point might be for interested parties at the national, municipal, and community levels to discuss functions and institutional roles together in some structured fashion. The MDP could also provide limited technical assistance and training to a few municipalities which are taking over water system responsibilities from SANAA.**

In comments by national and local stakeholders, the importance of the potable water sector was stressed.

### **The National and Regional Levels**

What are truly national or regional functions with respect to the supply of potable water? What are functions best carried out at the municipal or *aldea* levels? Stakeholders (including USAID/Honduras) did not have a consistent or clear vision of what the long-term institutional arrangements should be in the potable water sector.

A starting point might be for interested parties at the national, municipal, and community levels to discuss functions and institutional roles together in some structured fashion. A possible next step could be the joint preparation of a scope of work for an institutional study to identify and analyze practical alternatives for the evolution of the potable water sector.

USAID/Honduras could provide technical assistance, perhaps through the MDP, to analyze and then implement reforms at the national level, including within SANAA, and coordinated efforts at the local level. USAID/Honduras may also wish to assist the regional approach

currently being contemplated for the Valle de Sula. (see Recommendation 1.11 in Chapter IV.)

USAID/Honduras is well-suited to promoting this dialogue and analysis, given its long history of assistance to SANAA<sup>5</sup>, its current work with SANAA through the Health Sector II, its planned coordination with the InterAmerican Development Bank in the reform of SANAA<sup>6</sup>, and the MDP's commitment to decentralization.

### **The Municipal and Community Levels**

Many municipal stakeholders said that water problems were their most urgent problem and the current management of SANAA has said it wants to "municipalize" the large urban systems it presently operates.

By helping a few cities like Choluteca to own and operate urban water systems, MDP would gain valuable insights at the local level as to what decentralization entails. The MDP could provide limited technical assistance and training to a few municipalities which are taking over water system responsibilities from SANAA.

It is noteworthy that there was less agreement among stakeholders concerning the rural water systems than the urban systems. Some municipal stakeholders wish to intervene actively with the *juntas de agua* to assure financial accountability and protection of water sources. Other municipal observers say they have their hands full with the urban system and have no desire to get involved with the rural systems. SANAA foresees a continuing role for technical assistance to the *juntas de agua* but also wishes for the municipalities to be involved.

These "bottom-up" efforts would complement steps taken at the national level. There are a host of very down-to-earth problems that decentralization of potable water systems entails and it would be useful to be aware of these simultaneous with the consideration of national level reforms.

### **RECOMMENDATION 3.8: The MDP should continue to support the separate ballot for *diputados* and the separate ballot for mayors.**

Many stakeholders, especially those at the municipal level, agreed that the separate ballot for mayors had played an important part in municipal autonomy and they wanted that separate ballot to be continued.

Some stakeholders also thought it would be useful for the *diputados* also to be elected on a separate ballot, as also provided by the law of Honduras. Their reasoning was that the

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<sup>5</sup> See, for example, Annex C, Rural Water Systems Projects [with SANAA], to Bossert, Thomas, T. Dwight Bunce, Carol Dabbs, Michael Favin, Lois Godiksen, and John Massey, The Sustainability of U.S.-Supported Health, Population, and Nutrition Programs in Honduras: 1942-1986, AID Evaluation Special Study # 58, Washington, D.C.: University Research Corporation, December 1988, pp. 103.

<sup>6</sup> USAID/Honduras, Action Plan USAID FY 1995-96, Tegucigalpa: USAID/Honduras, 1994, p. 23.

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*diputados* would then be more loyal to their constituents than to their political parties. Then both the mayors and *diputados* would have their primary allegiance to the voters and they would be more apt to work together well.

**RECOMMENDATION 3.9: The MDP should promote a clarification of the functional roles of the *departamentos* and the *gobernadores*.**

There was a lack of clarity among stakeholders as to what the functions of government are and should be at the Departamento level. Some thought that electing the Gobernadores would make them more responsive to citizens and more likely to cooperate with the municipalities.

**RECOMMENDATION 3.10: The MDP should promote a change in the law to remove restrictions on the collection of taxes by municipalities. The municipalities should also by law be allowed to give tax exemptions to industries as an incentive to locate in given locations.**

Some stakeholders said that municipalities labor under the limitations in their ability to impose taxes on local property owners. Some would also like to have the right to attract industry through tax incentives.

**RECOMMENDATION 3.11: The MDP should promote at the national level the development of national demographic policies.**

It was observed that long-term municipal planning is difficult in the absence of national demographic projects by areas of the country.

**RECOMMENDATION 3.12: The MDP should promote the understanding at the national level that the decentralization of services is a process that takes time and agreements need to be negotiated between the central government and municipalities.**

Some stakeholders said that, even with the new Municipal Law, dialogue and time will be needed for a successful decentralization process.

**RECOMMENDATION 3.13: A presidential level commission should be formed to coordinate the activities of the project with other national and international organizations.**

This commission would have executive powers to achieve coordination of national and international organizations.

## VII. STAKEHOLDER PERCEPTIONS OF ISSUE #4: STRENGTHENING AND UTILIZATION OF ORGANIZATIONS WHICH ARE INTERMEDIATE BETWEEN THE MUNICIPALITIES AND THE CENTRAL GOVERNMENT

### A. Accomplishments

There were a number of accomplishments mentioned by the stakeholders in the area of strengthening and utilization of organizations which are intermediate between the municipalities and the central government as a result of the project.

- The work of ICMA gave a solid base for training and technical assistance.
- AMHON has emerged as an effective voice for the political agenda of the municipalities. The political agenda of AMHON goes beyond party differences.
- AMHON has developed a means for self-support through the check-off system of payment from the municipalities. ✓
- The seminars that have been offered by the training and technical assistance agencies have helped a great deal in municipal strengthening. The training modules and related written materials prepared by the universities for the weekend classes have also helped.
- The two universities (UNITEC and USPS) offering the classes have been strengthened in their outreach to the communities.
- Training programs have been initiated that can lead to the professionalization of public administration at the municipal level.
- Regional organizations have been formed by municipalities working together on common problems.
- FUNDEMUN has been created as a Honduras NGO that has capacity to give technical assistance to the municipalities.
- The same municipalities that have been helped the most by the Project are working together with the smaller ones that are nearby on technical assistance and training problems.

This has been one of the strongest areas of the project according to the stakeholders. Based on the success that has been experienced, they have also made recommendations for improvements.

## **B. Recommendations**

There was strong agreement among national and municipal level stakeholders that the intermediate organizations (UNITEC, USPS, AMHON, and FUNDEMUN) should continue to be used by the MDP for the provision of technical assistance and training, and, in the case of AMHON, for advancement of the municipal agenda at the national level (Recommendation 4.1). The stakeholders concurred in the need for an appropriate forum for the coordination of MDP technical assistance and training, although opinions varied as to which particular forum would be best (Recommendation 4.5).

In general the stakeholders from the two universities and FUNDEMUN, and to a lesser extent, from the municipalities, were concerned about the sustainability of these organizations (Recommendation 4.2). On the other hand, national level stakeholders, including those from USAID/Honduras, tended to recognize that in the long run there are many potential sources of technical assistance and training, and it was also important to create a sustained effective demand for such services.

### **RECOMMENDATION 4.1: Continue to give backing to the intermediate organizations that are presently offering training and technical assistance to the municipalities.**

There was agreement at all levels that the training and technical assistance that has been offered should be continued. There is great concern that it will be ended too soon or that the present level will not be sustained.

### **RECOMMENDATION 4.2: Search for additional ways of insuring that the intermediate organizations will be sustainable after the project is over.**

The concern for sustainability was expressed by both the municipalities as well as the organizations themselves. Intermediate organizations in this context include AMHON, FUNDEMUN, UNITEC, and the Universidad de San Pedro Sula. Besides continued external support, marketing and capitalization are avenues to be investigated. (See Recommendation 1.2 and Chart 2 in Chapter IV).

The *bachiller* level training is especially useful in that many municipalities do not have enough money to hire those with associate university degrees.

### **RECOMMENDATION 4.3: Continue to emphasize training throughout the life of the project.**

Because of the number of small municipalities that have not been touched, the additional training needs at the community level, and the retraining needed because of personnel turnover; the job is seen as a long term enterprise and should continue to be a major concern of the Project.

**RECOMMENDATION 4.4: Provide technical assistance to all of the selected municipalities in the same way without preferential treatment for some.**

There was also an expression of the need for uniform agreements for technical assistance that would be the same for all municipalities, rather than giving preferential treatment for some.

**RECOMMENDATION 4.5: Assist in the creation of an effective forum that will coordinate the different technical assistance and training activities that are sponsored by the project.**

The creation of a good forum (*foro adecuado*) was mentioned by stakeholders at all levels. With the new law and the urgent needs in the municipalities, everything had to be done at once. To some, it has almost been a frenzy of activity that has not been well coordinated and not always made the best use of resources. The needs are still as great and the urgency still exists but now there is enough experience to consolidate some of the activities and at least prevent duplication.

Many different ideas have been proposed as to the most effective means of coordination. The central government agencies feel that they must have a part in the coordination if the national and international resources are to be used effectively. At the municipality level, and among some of the donor agencies, there is a strong feeling that the coordination should come up from the bottom and work through AMHON. All agree that there should be at least better communication among the training and technical assistance agencies and, it is hoped, enough coordination to prevent duplication and confusion in the municipalities. (See Recommendation 3.3 in Chapter VI)

**RECOMMENDATION 4.6: Work with the technical assistance and training agencies to develop a closer relationship between the two areas.**

Many expressed the need also for a closer connection between technical assistance and training. Those with a responsibility for technical assistance, such as FUNDEMUN, see the need to follow through with training. For example, technical assistance providers sometimes find it useful to conduct short training courses in order that beneficiaries can better make use of the technical assistance.

Those with training responsibilities, in particular UNITEC and USPS, see the need for on-the-job applications of what is taught in the classroom. As one stakeholder observed, there is a need to build the universities' "reactive capability."

Information should be shared among providers of training. As a minimum, there should be an agreement of the basic skills and procedures that are being taught and demonstrated. For example, teaching and training modules could be shared among MDP-sponsored providers of training.

**RECOMMENDATION 4.7: Use project resources to help in the establishment of regional centers of technical assistance.**

This recommendation came from both the municipalities as well as those involved in technical assistance. Tegucigalpa is a long way from most of the municipalities and it was felt that some kinds of technical assistance do not require daily supervision at all stages but do require frequent visits that are not economically feasible from Tegucigalpa.

**RECOMMENDATION 4.8: Provide technical teams to the municipalities that can help with training, municipal administration, and maintenance of services that are decentralized.**

Specific requests were made for availability of technical teams for training, municipal administration, and maintenance of services that are to be turned over to the municipalities.

**RECOMMENDATION 4.9: The MDP should continue to assist the municipalities in the establishment of regional associations for purposes of training and technical assistance to small municipalities and to deal with regional problems such as water and waste management.**

The concern for the municipalities that have not been part of the Project was frequently mentioned. It was evident in the recent Mayor's convention (*Encuentro Presidencial con Alcaldes y Gobernadores*) that the small municipalities feel that they have been left out of everything. The ones that have received benefits from the MDP have already started to work together with the others in their vicinity. The feeling is that this could be strengthened even more with MDP help.

**RECOMMENDATION 4.10: The MDP should provide a list of scholarship sources.**

People at the municipality level also expressed a need to have a list of available training and scholarship sources so that they could search for help on their own.

**RECOMMENDATION 4.11: The MDP should help in making the municipal law more completely understood.**

Another area that was mentioned is the need for more understanding and application of the Municipal Law.

**RECOMMENDATION 4.12: Use project resources to help the training organizations develop a community level training program.**

This was a topic of considerable discussion in both of the Stakeholder Workshops. Because of the political reality of turnover in municipal leadership every four years, some felt that the only thing that can give permanence to the municipal movement is citizen training. This is also related to the movement from dependency to participation at the community level that was mentioned earlier.

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**RECOMMENDATION 4.13: Work through AMHON to motivate the mayors to make even greater use of the available training facilities.**

In spite the great advances in training that have been made with the courses that have been offered, much is yet to be done. Many of the mayors are still not interested in sending municipal workers to the courses. This needs further investigation because there may be ways that the courses can be improved to meet the immediate needs of the municipalities. One mayor mentioned that it was difficult to lose valued workers every Friday and suggested that the courses might be offered on Saturday and Sunday. Others have suggested "hands-on" kind of training rather than general academic subjects.

**RECOMMENDATION 4.14: The MDP should work with other entities that are working in municipal development to define the roles of each one.**

Entities working in municipal development include AMHON, the various branches of the central government, universities, the private sector, international agencies, and NGOs and PVOs.

This recommendation was expressed in a number of different ways and at a number of different levels. In part, it came from the need to coordinate the efforts of MDP related agencies that are offering services to the municipalities. In a larger sense, it came from a need to see what unique contribution each of the many municipality-related agencies can offer in the development process. (See also Recommendation 5.11 in Chapter VIII.)

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## VIII. STAKEHOLDER PERCEPTIONS OF ISSUE #5: DESIGN AND MANAGEMENT OF THE PROJECT

### A. Accomplishments

That stakeholders view the MDP as a successful project, both at the national and municipal levels, is a credit to the design of the project and its management. Even Honduran national and municipal level stakeholders who were the most articulate in recommending changes in the MDP in its remaining years, acknowledged the positive contribution that MDP has made to the historic transformation of municipalities which occurred in the first half of the 1990's.

The pragmatic USAID/Honduras management of MDP mobilized resources from the USAID budget, directed activities, and, as circumstances changed, altered the mix of output objectives from that set forth in the Project Paper's Logical Framework.

Organizations such as ICMA, FUNDEMUN, the Universidad Tecnológica de Centroamerica, and the Universidad de San Pedro Sula were used by MDP to deliver technical assistance and training at the national and municipal levels. AMHON was strengthened and began to be an effective advocate of the political agenda of municipal development. Non-MDP USAID programs, such as for training and infrastructure, were utilized to complement the MDP resources, thus achieving synergy and contributing to the impacts that project has had in its first four years.

In short, the MDP, as designed, funded, and managed, has proved to be an effective vehicle for municipal development and local participation in Honduras.

### B. Recommendations

There was general agreement among national and municipal level stakeholders that the project should be continued (Recommendation 5.14) and that the major components of the MDP were worthwhile. But opinions varied according to which type of interventions deserved the most emphasis (Recommendations 5.1 through 5.4). No pattern emerged between the type of stakeholder and preference for emphasis. For example, some local stakeholders stressed the importance of the national agenda (Recommendation 5.4) and some national stakeholders emphasized the crucial role of community participation (Recommendation 5.1).

It was stakeholders at the national level who were best able to perceive of the MDP as a development vehicle, which could be shaped and directed, recognizing that MDP had limited resources (Recommendation 5.8). Some municipal level stakeholders were primarily focussed on the one-to-one relationship between their individual municipalities and the project.

While there was a consensus among stakeholders that in one way or another the benefits of the MDP should be extended to other municipalities (Recommendation 5.6), some of the stakeholders from existing MDP municipalities emphasized the fragility of the improvements and the need for continuing assistance in order to assure sustainability (Recommendation 5.5).

**RECOMMENDATION 5.1: The MDP should in its remaining years give more emphasis to interventions at the community level.**

Both local and national level stakeholders emphasized the importance of strengthening the participation of the communities in municipal matters and thought that MDP should give such participation more emphasis.

One stakeholder said that a forum should first be established for exchanging ideas on community participation approaches. Through the forum, MDP intervention mechanisms could be developed.

**RECOMMENDATION 5.2: The MDP should in its remaining years give more emphasis to interventions at the municipal level.**

Increased attention is necessary at the municipal level both to consolidate gains made in existing MDP pilot cities as well as to expand them to other municipalities. Municipal level activities will increase the prospects for sustainability of municipal autonomy, according to some stakeholders.

**RECOMMENDATION 5.3: The MDP should in its remaining years support the formation and operation of selected inter-municipal associations.**

Stakeholders identified a number of possible inter-municipal associations that MDP could support. Such associations are consistent with a "bottom-up approach" to the development of municipal government in Honduras. (See Recommendation 1.11 in Chapter IV)

**RECOMMENDATION 5.4: The MDP should in its remaining years give more emphasis to interventions at the national level, including institutional strengthening for *Gobernacion*.**

More emphasis in the MDP at the national level is needed. Some national level stakeholders supported the promotion of full and timely funding of the central government transfers to municipalities in order to encourage the decentralization process. The new national government seems committed to decentralization but it remains to be seen what it will actually do to carry it out.

Strengthening *Gobernacion*, in the view of some stakeholders, is important so that the national decentralization and municipalization policies can be developed and implemented.

**RECOMMENDATION 5.5: The MDP should concentrate on its present pilot municipalities.**

Continued work with existing MDP cities would help assure the sustainability of the improvements, observed some municipal level stakeholders. (See Recommendation 1.11 in Chapter IV.)

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**RECOMMENDATION 5.6: The MDP should expand its coverage of municipalities, either by helping clusters of municipalities centered on existing MDP municipalities or by taking on municipalities in other areas.**

Municipal and national stakeholders said that they would like the MDP to expand its coverage of municipalities. Some stakeholders from present MDP municipalities would like to help their neighboring municipalities; in fact in some cases they are already doing it on a limited basis. An alternative mentioned by other stakeholders was providing assistance to new medium-sized or little municipalities.

In general stakeholders recognized the importance of helping the little municipalities, although some did recognize that the original design of the MDP quite explicitly called for help to be targeted to the larger municipalities which had more potential for rapid development.

**RECOMMENDATION 5.7: Recognizing its limited resources and tenure, the MDP should be selective in its undertakings.**

Some national (including USAID/Honduras) stakeholders expressed concern that the project was dispersed and too broad. By trying to do too much, MDP could spread itself too thin.

**RECOMMENDATION 5.8: At this mid-point in the life of the MDP, objectives and indicators should be updated to provide a current view of what the project is pursuing.**

As the project has evolved, the design Logical Framework has become outdated. Project and program output indicators have been updated, but the narrative statements of objectives have not. Some stakeholders indicated that it would be useful to have a current view of what the project is trying to accomplish.

The process of updating the Logical Framework could serve to make explicit what outputs are expected in the remaining years of the project and what impacts are anticipated at the purpose level.

**RECOMMENDATION 5.9: In the remaining years of the project, USAID/Honduras should provide strong direction to the MDP in the setting of objectives and allocation of resources.**

In the past USAID/Honduras has given strong leadership to the MDP with good results. Strong management by USAID/Honduras has enabled MDP to respond quickly and effectively to changing circumstances, such as the passage of the new Municipal Law at the outset of the project and the increasing effectiveness of AMHON as an organization. USAID/Honduras could choose to continue to make key decisions concerning the MDP's direction and use of resources.

**RECOMMENDATION 5.10: In the remaining years of the project, USAID/Honduras should communicate more and more frequently with stakeholders concerning what the MDP is doing and why.**

Many local and national level stakeholders expressed appreciation for the opportunity that the present evaluation provided for their views to be made known to USAID/Honduras and to other stakeholders.

Some municipal and national level stakeholders said that they were not well informed about what the MDP was doing overall. National level stakeholders especially said they would like to be better informed and for there to be more sharing of information by the management of the MDP. Changes have been made on occasion by USAID/Honduras in budget items without consultation with the agencies concerned, it was observed.

**RECOMMENDATION 5.11: In the remaining years of the project, other stakeholders, besides USAID/Honduras, should participate more actively in the management of the project, perhaps through some sort of project committee. There should be more dialogue and closeness ("*acercamiento*") between USAID/Honduras and the central government in the use of funds.**

The dialogue carried out in the committee could promote better integration among the MDP, other programs and projects with international sponsorship, and the goals of the Government of Honduras. More coordination between USAID/Honduras and the Central Government could promote more access to MDP counterpart funding.

In views expressed individually and at the July 22 Stakeholder Workshop, it was suggested that some sort of vehicle (*instancia*) was needed to carry out the proposed coordination. A committee could be established to share information among MDP stakeholders and to facilitate more of their participation in MDP decision-making.

The coordinating committee could also make clear what the MDP was NOT doing. In this way, the Government of Honduras, other Honduran stakeholders, and other international donors could be aware of gaps that others would need to fill in the development of strong municipal governments in Honduras.

**RECOMMENDATION 5.12: The MDP should give more emphasis to involving women in all aspects of the project.**

A number of stakeholders expressed interest in having the MDP take steps to increase the participation of women. For example, MDP may be able to promote the participation of women at the community level and, through dialogue with the Association of *Alcaldesa*, in municipalities. One stakeholder suggested that participation of women be added as a feature in any MDP "*convenio*," such as those with the universities and FUNDEMUN.

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**RECOMMENDATION 5.13: In pursuing its municipal objectives, USAID/Honduras should continue to seek opportunities for synergy and consistency in its projects and programs. Opportunities may exist with regard to training programs, funding of infrastructure projects, policy dialogue on decentralization, and institutional reform of the potable water sector.**

The MDP in the past has successfully integrated resources from other USAID programs to complement those of the MDP. Training and infrastructure projects are notable examples. Some stakeholders suggested that continued integration of USAID efforts in the furtherance of MDP objectives would be useful.

Given the importance of the funding of the central government transfers to municipal autonomy, USAID/Honduras could consider elevating this question to be a part of the policy dialogue pursued with the Government of Honduras. One stakeholder suggested that USAID/Honduras might even consider conditioning some of USAID's general assistance to the Government of Honduras, if the transfers were not forthcoming.

In the potable water sector USAID/Honduras may wish to have an active dialogue across Mission offices to consider the Mission's objectives and consistency of approach with respect to potable water activities with SANAA and the municipalities. (See Recommendation 3.7 in Chapter VI.)

Given the high capital cost of modernizing the urban water systems to be turned over by SANAA to the municipalities, USAID/Honduras may not wish play a key financing role; the Mission, however, may be able to promote such financing by other international organizations and by the Government of Honduras. The current Action Plan indicates that USAID/Honduras is planning to cooperate with the InterAmerican Development Bank with regards to "water and sanitation improvements through (the) reform of SANAA."<sup>7</sup>

**RECOMMENDATION 5.14: The MDP should be extended beyond 1997.**

In general stakeholders agreed that MDP was successfully promoting national decentralization, municipal autonomy, and local participation. But so much needs to be done, that it is impossible for all to be accomplished by 1997. Many stakeholders propose an extension of the MDP well beyond 1997.

A consensus reached in the July 22 Stakeholder Workshop was that MDP is a successful project which needs to be consolidated and extended to other municipalities.

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<sup>7</sup> USAID/Honduras, Action Plan USAID FY 1995-96, Tegucigalpa: USAID/Honduras, 1994, p. 23.

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## IX. CONCLUSIONS

### A. Introduction

The preceding five chapters presented numerous recommendations for the MDP concerning five general issues. This chapter presents a synthesis of the recommendations in the following sections on Reprogramming of the Project, Coordination of Technical Assistance and Training, and Management Approach. The chapter ends with a few Concluding Observations.

### B. Reprogramming of the Project

At present USAID/Honduras is reconsidering the design and activities of the MDP, with the possible increase in the USAID budget allocation by \$2 million to \$12 million and a possible extension of the Project Agreement Completion Date to June 30, 1998. The present evaluation is an input into the Mission's on-going reprogramming process.

The stakeholder recommendations, by and large, call for the MDP to keep on doing what it has done, give more emphasis to some elements, broaden the MDP by giving assistance to more municipalities, and extend the life of the project significantly. The project to date is generally perceived by stakeholders as having been very successful; they want it to continue, to be expanded, and to have its life extended.

Full implementation of all the stakeholder recommendations would cost much more money and take much more time than MDP has, even with the additional \$2 million and one year extension in the PACD.

#### 1. Hard Choices Abound

Choices will have to be made. The choices are made more difficult because many of the recommendations are based on reasoning that their success will contribute to multiple objectives; for example:

- Promotion of community participation contributes directly to one of the two purposes of the project (Chart 1) and also builds a solid foundation on which municipal government rests.
- Strengthening municipal government, besides directly contributing to the other purpose level objective of the MDP, encourages community participation through the transparency of local government operations and the electoral process.
- Decentralization of the central government empowers municipal government and also makes the central government smaller and more efficient.

There are other obstacles to making the choices. Costs have not been estimated for many of the recommendations; for example, it is not known how much it would cost to update and institutionalize the urban and rural cadastral systems of the 22 pilot cities. In other areas of the MDP, preliminary decisions are needed concerning the MDP approach, before implementation activities can be designed and their costs estimated. For example, an MDP strategy for community participation needs to be developed. In the case of the inter-municipal associations, the MDP needs at the outset to select which ones are to receive assistance.

A summary of the major choices arising from stakeholder recommendations is presented in Chart 3 on the following page. The chart does not include the choices concerning coordination of technical assistance and training, and of the management approach, which are discussed later in this chapter.

The content of the chart is a composite of the views of national and municipal level stakeholders. In general municipal level stakeholders gave more emphasis to the activities or objectives listed under Community Participation and Strengthening of Municipalities as well as the items in the column of four boxes, the top one of which is "Fully Funded & Prompt Central Government Transfers." National level stakeholders in general were more concerned with the activities or objectives of Community Participation and of National Policies and Legislation.

Chart 3 generally follows the structure of a decision tree. A decision-making process would result in the "Set of Programmed Activities" shown at the top; these activities should be consistent with the term and resources of the MDP.

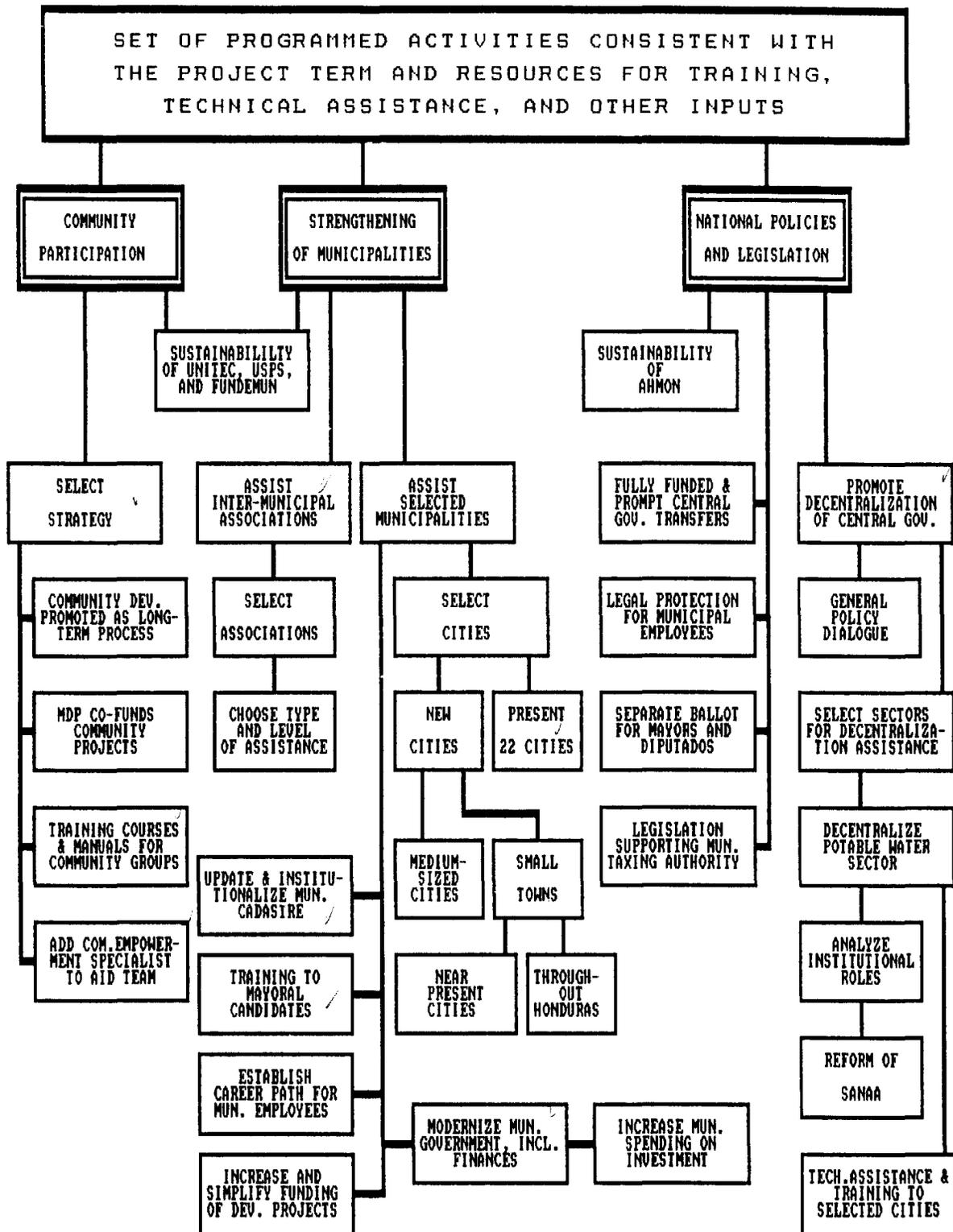
## **2. Major Priorities and Sustainability**

In the next level down are three major priorities of the MDP as shown in the boxes: community participation, strengthening of municipalities, and national policies and legislation. Stakeholders advanced strong and persuasive arguments for the primacy of each in the priority that the MDP should assign.

The next level reflects recommendations for the sustainability of the intermediate support organizations presently being assisted by the MDP: the *Universidad Tecnológica de Centroamerica (UNITEC)*, the *Universidad de San Pedro Sula (USPS)*, the *Fundación para el Desarrollo Municipal (FUNDEMUN)*, and the *Asociación de Municipios de Honduras (AMHON)*. (See also Recommendation 4.2 in Chapter VII.)

It is anticipated that these four organizations will continue to be utilized in the MDP, and to some extent, funded by the MDP, in the future. But apart from the MDP's use of the them in the remaining years of the project to help deliver outputs, there is a concern for the sustainability of the organizations after the termination of assistance from USAID/Honduras. There are choices available to the MDP that would permit combining services delivery by the organizations with strengthening of the organizations:

CHART 3: REPROGRAMMING CHOICES FOR THE MUNICIPAL DEVELOPMENT PROJECT OF HONDURAS



- Universities could improve their municipal curricula and marketing, as they train MDP students.
- FUNDEMUN could be capitalized through a payback for municipal cadastre systems.
- AMHON could be strengthened as it advocates national policies and legislation.

Of course "sustainability" is also a concern with regard to the three priorities in the next level up. Spending more money directly on the municipalities, for example, could increase the likelihood that the resulting improvements would continue after the end of the MDP. Providing full funding of the institutionalization of municipal cadastral systems may leave less for other purposes; there could be trade-offs with other activities, such as funding municipal infrastructure projects through FHIS.

Below the level indicating the sustainability of the intermediate organizations, the choices become more numerous.

### 3. Community Participation

USAID/Honduras has a strategy in place for community participation in the MDP but recognizes that more can and should be done. Present components of the strategy include university short courses and seminars, the FUNDEMUN technical assistance program, and the hiring of a community participation specialist by USAID/Honduras.

The variety and the general nature of many of the stakeholder recommendations in Chapter VI reflect that there are questions about specific actions that need to be taken. For example, should a different approach to community participation be pursued in an urban area as opposed to a hamlet or rural area? How should the MDP choose the *patronatos* to be strengthened? To what extent should the MDP work through the municipal governments in promoting community participation? Should the MDP co-finance small projects to be carried out by community organizations?

The further development of a community participation strategy for the MDP and illustrative components are shown on the left side of Chart 3.

### 4. Strengthening of Municipalities

Strengthening of municipalities involves options concerning assistance to inter-municipal associations and to selected municipalities. As discussed in Chapter V, there are numerous ways to assist municipalities, some of which are shown in Chart 3. Also illustrated are the choices with respect to which cities are to be helped. Choices range from staying with the present 22 pilot cities to extending the MDP to the little municipalities throughout the country.

There are horizontal choices that are not indicated in Chart 3; for example:

- The MDP could commit itself to updating and institutionalizing the cadastral systems in the present 22 cities, but otherwise "graduate" some of them. That is, some of them would no longer continue to receive other kinds of MDP assistance except generally available training perhaps. This approach was suggested by one of the stakeholders.
- The MDP could in a limited way extend training to selected small municipalities but still have a smaller number of core cities to receive the full package of technical assistance and training.

The Chart 3 thus may serve as a useful starting point but it does not endeavor to present all the available options.

## 5. National Policies and Legislation

On this branch on the right side of the chart are shown five of the major options, in addition to the sustainability of AMHON. In the case of the promotion of the decentralization of the central government, two broad choices are presented: general policy dialogue and selective intervention. Reflecting the discussion in Chapter VI, options for assistance to the potable water sector are shown on the lower right side of the chart.

## 6. Logical Framework

As the reprogramming choices are made, USAID/Honduras may wish to update the Logical Framework or, in some other fashion, make explicit the mid-course adjustments it is making. Since the Project Paper, the MDP indicators have been updated from time to time, but the narrative statements of objectives have not. Experience to date may enable better judgments to be made about the following:

- Which objectives may be reasonably considered to be outputs (deliverables)?
- Which objectives may only be within the project's manageable interest<sup>8</sup>?
- Which assumptions must now hold true for the purpose and goal level objectives of the MDP to be attained?

Refinements in the objectives could lead to further modifications in the indicators.

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<sup>8</sup> Indeed, as in the case of perhaps many of the MDP objectives concerning national policies and legislation, some objectives may not be "deliverables." Some may belong at the purpose level. But for those that lie well beyond MDP's manageable interest (possibly, for example, the full and prompt funding of central government transfers to municipalities), a goal level location may be appropriate.

### C. Coordination of Technical Assistance and Training

Stakeholders felt that technical assistance and training have both contributed greatly to the success of the MDP but that more coordination is needed. The stakeholder recommendation was:

More coordination is needed of the training and technical assistance provided by the MDP and mechanisms for providing it should be considered. (Chapter VI, Recommendation 3.3)

As discussed above (Recommendation 3.3), there were a number of needs identified which the coordination could address and there were alternative institutional mechanisms that could be considered.

The stakeholders might expect USAID/Honduras to take the initiative in assuring coordinating as the MDP evolves. Yet, if it is an important consideration for municipal development at this moment, it is also an element in the institutionalization process for the future. This could mean that whatever forum or institution is utilized by the MDP would benefit from joint sponsorship by an Honduran organization, such as AMHON. In this fashion, coordination would continue after the end of the MDP.

### D. Management Approach

In general leadership requirements vary over the life span of development projects. A strong and directive type of leadership is often required in the early stages so the project can get up and moving. It may require 'hands on' decision-making to get things going in the right direction. As the project becomes well established, a more participatory approach may need to be incorporated if growth is to continue.<sup>9</sup>

Both the directive and the participatory approaches have advantages that need to be weighed before choosing one over the other. The directive approach is able to get decisions made quickly and move them to action. At least from the point of view of project sponsors, there is more direct control over resources so that they can be promptly channeled where they are most needed. When the organization is small and good personal relations are established, a loyalty is established that helps to ensure that directives will be carried out.

Participatory leadership increases the information available in the decision-making process as more people, with more and more varied expertise, become involved. There is a higher probability of personal investment and loyalty to the goals of the project, rather than just a loyalty to a person. This commitment to goals in turn can lead to greater effort in carrying out the agreed-upon decisions. When leadership is shared, the project is not as vulnerable to changes in personnel that hold key positions.

Four broad kinds of leadership and decision-making may be identified, as shown in Chart 4.

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<sup>9</sup> Nesman, Edgar G, *Participacion Popular y Desarrollo*, San José, Costa Rica, ALFALIT, LTD., 1981

**Chart 4: Four Stages in Directive and Participatory Project Leadership**

1	2	3	4
Strong Direction by Project Sponsors	Information-Sharing	Consultations on Decision-Making	Participation in Decision-Making

The levels of participation would start at a point of providing more information, from there it could move on to including more input for project decision making, and finally to the point of joint decision making.

The management approach to date of USAID/Honduras to the MDP has been a combination of all four of these elements. The Mission has given strong direction, for example, in decisions concerning personnel and the budget. Information has been shared and pilot cities have been consulted concerning their participation in the MDP. Through contracts with UNITEC, USPS, and FUNDEMUN, the Mission in effect has been delegating some decisions concerning the content and delivery of technical assistance and training. AMHON has increasingly been taking an active role in defining its agenda for action.

The recommendations that many of the MDP stakeholders have made for the future suggest a desire to move toward a management approach weighted even more toward information sharing and consultation (Chapter VIII, Recommendations 5.10 and 5.11). Acceptance and implementation of these recommendations is not an 'all or nothing' choice. Mission managers could choose to continue to use a mix of elements of all four stages, tailored to particular aspects and decisions of the MDP. Options include the following:

- At the level of information-sharing and communication, a MDP news-sheet would be one way to give general information to the stakeholder. Information could be provided on the MDP decisions, including those concerning expenditures by major budget category.
- Twice a year meetings with key stakeholders on specific issues would be another way to communicate.
- At the level of consultation and advice, a MDP Advisory Committee could be established.
- More narrow mechanisms would be a coordinating body for the training and technical assistance activities, perhaps established through AMHON.
- Other consultation groups could be established on a short- or long-term basis to deal with specific topics (e.g., community participation).
- At the level of participatory decision-making, USAID/Honduras could choose the decisions for which it would invite stakeholder participation. Since

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intermediate organizations are already involved in the decision-making process for technical assistance and training, the Mission could continue and extend that delegation of authority. Another possible candidate for participatory decision-making could be whether and how the MDP extends its coverage to municipalities which are clustered around existing pilot cities.

It should be noted that few stakeholders advocated participation in the decision-making; most emphasized the sharing of information and consultation. There was no concrete recommendation for a decision-making entity that would govern MDP activities. Yet, if the activities of the MDP are to be continued and become institutionalized after the MDP is ended, a further transfer of decision-making may be helpful in the later stages of MDP's life. Indeed the on-going assumption by AMHON, FUNDEMUN, and the two universities of more and new responsibilities augurs well for future municipal leadership by Honduran organizations.

In summary, the recommendations of the stakeholders for the management approach during the remaining years of the MDP favor more sharing of information and more consultation with stakeholders on decisions. The degree and mechanisms should be considered during the current reprogramming of the MDP.

#### **E. Concluding Observations**

The MDP is generally regarded by stakeholders, both at the municipal and national levels, as very successful. They want the Project continued and expanded. The present mid-point in the MDP's life is a good time for course adjustments to be made.

Hard choices face the MDP. There are good cases to be made for giving priority to each of the major areas of the MDP. There are also trade-offs, as well as some complementarity, in devoting resources to activities that promote sustainability as well as the realization of outputs during the life of the project. Coordination of technical assistance and training is needed, but no consensus exists with regard to its scope and institutional mechanism. Finally, in the last half of the MDP existence, there are advantages to be gained by giving increasing weight in the management approach to the sharing of information and to consultation.



## ANNEXES

- Annex 1: Scope of Work
- Annex 2: Fourth Generation Evaluation
- Annex 3: Bibliography
- Annex 4: List of People Interviewed
- Annex 5: Municipal Level Workshop: List of Participants
- Annex 6: Municipal Level Workshop: Discussion Materials
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*(Percepciones y Recomendaciones de los Participantes en el Taller de Seguimiento al Proyecto de Desarrollo Municipal PDM)*
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*(Informe de Seminario-Taller de Encuentro con Evaluadores del PDM)*
- Annex 10: Questionnaires



ANNEX # 1

SCOPE OF WORK

SECTION C - STATEMENT OF WORK

I. BACKGROUND:

The seven-year, \$10 million Municipal Development Project (MDP), was initiated in 1990 to work primarily with the fourteen most populous and urban Honduran municipalities. (In March 1993 the number of participating municipalities was increased to 22.)

The purpose of the MDP is to enhance the participation of the Honduran populace in the local democratic process and improve the operational capacity of municipalities to respond to the land, infrastructure and public service needs of their constituents. This is being done by:

- Providing technical know-how and training (seminars, workshops) in key areas of local government operation such as budget preparation, financial management, delivery of public services, community participation. This is being accomplished through increasing support for development of local private sector capacity to provide technical assistance and training rather than the implementation mode originally envisioned of relying on U.S. suppliers.
- Supporting municipal associations and the effective provision of services to their members.

The Municipal Association of Honduras (AMHON) serves as a defender of municipal autonomy and encourages greater delegation of authority from the central government to municipalities. In addition, AMHON is to play a key role in increasing the political base of the municipal leadership.

- Encouraging and supporting the transfer of responsibilities and resources from the central government to the local level through a direct dialogue with the GOH and increasing responsibility in AMHON for leadership in this dialogue.
- The establishment of a broad tax base and the central government revenue transfers as the capital element of the program rather than creation of the Municipal Development Fund as originally envisioned.

In shifting responsibility from the national level to the local level, this project is fostering dialogue between national institutions and the municipal governments, and between municipal governments and their constituencies.

Indicators of success:

- Strategies and plans have been developed and implemented devolving selected urban service functions, responsibilities and financial resources to municipalities.
- Municipalities are recognized and respected as a key political center of the democratic process in Honduras, and are:
  - generating and administering revenue augmentation programs;
  - carrying out participative investment planning;
  - carrying out technically sound and participative annual programming and budgeting;
  - developing and implementing strategies to improve the delivery of services on a financially viable basis;
  - maximizing effective participation of local citizens in the formulation and execution of service delivery choices;
  - preparing and implementing municipal action plans and programs based on the identification of critical community needs; and,
  - consulting with citizenry and soliciting their inputs/votes for an increased range of decisions.

The MDP recognizes that to achieve the above the municipalities will need to (a) organize their structure in the most effective/efficient way, (b) conduct short/medium/long range planning of their community needs, (c) reduce operational costs, increase collections and other municipal revenues, and (d) achieve projects in key areas.

- Regional and/or national organizations comprised of municipalities are functioning as an effective voice and pressure group for continuing dialogue with the central government.
- Sustainable mechanisms have been established to provide research, training and technical assistance to municipalities.

II. TITLE: Municipal Development Project, 522-0340.

III. OBJECTIVE:

To provide a team which will design and conduct a participatory (or "fourth generation") midterm evaluation of the MDP.

IV. STATEMENT OF WORK

The contractor shall design and conduct a participatory (or "fourth generation") evaluation which fosters dialogue, debate, compromise and resolution regarding project goals, strategic objectives, activities, accomplishments and plans in the areas of:

- the way in which the processes to achieve the objectives have evolved in the view of the stakeholders;
- technical assistance and training in municipal and financial administration, public works and services and community involvement/participation. How is TA and training provided being viewed by stakeholders? Are levels of understanding among them consistent with project objectives? Are concepts of increased investment and coverage taking hold?
- central to local devolution of responsibilities and resources: Have provisions in the Municipal Law modified the environment for devolution and local control? What are the views of the central government, the Congress, the municipalities? What is missing? What do stakeholders think is their role in the scheme of things? What is the understanding of the municipalities in key areas: (1) public service function, (2) fiscal responsibility, (3) investments, and (4) others?
- role and function of municipal associations;
- creation of sustainable mechanisms to provide research, training and technical assistance for municipalities. FUNDEMUN is replacing ICMA. What are the expectations of the universities? How is the "culture of participation" as a project strategy viewed?

As the fostering of this dialogue and the strengthening of a municipal system are considered fundamental to project success, the stakeholders to be identified will include, at minimum, representatives (whenever possible of both genders) of the following project human resource elements:

- USAID policy direction, technical implementation (both MDP and infrastructure) and Mission evaluation officer;
- technical assistance (ICMA and FUNDEMUN);
- municipal association (AMHON);
- universities (UNITEC and USPS);
- Honduran Congress;
- short term training contractor (Gabinetes CONCORD);
- the 22 municipalities at the political, managerial, technical and community leadership levels;
- Sula Valley metropolitan authority;
- Ministry of Interior (Gobernación);
- other donors (UNDP, Germans, Spaniards).

The evaluation team will undertake the following tasks:

- 1) Review documents provided by USAID and project contractors including but not limited to the Project Paper, progress reports, project implementation documents, technical and training manuals, policy guidelines and revised implementation strategies.
- 2) Interview key USAID representatives to clarify their priorities for the evaluation.
- 3) Prepare the evaluation design including data collection instruments and a data source list (stakeholders, key informants).
- 4) Conduct the evaluation using appropriate methodology (i.e., extensive use of consultation, collaboration, interaction, feedback). USAID will assist in making stakeholders available for the evaluation.
- 5) Design and facilitate stakeholder workshops of 1-2 days to analyze evaluation data and determine how the data will be used to build linkages to match expectations.

- 6) Document the evaluation methodology, findings of the evaluation, and recommendations on how the implementation of the MDP could be modified to better ensure the achievement of project objectives. The report should also recommend, as appropriate, whether any existing objectives should be dropped or strengthened, and/or if new project objectives are warranted.

V. REPORTS/DELIVERABLES

<u>Item</u>	<u>Quantity</u>	<u>Due Date</u>
Evaluation and final report design	5	1 week after ADOTTH ✓
Workshop design	5	2 weeks after ADOTTH
Workshop	1-2 days	3 weeks after ADOTTH
Draft Final Report	5	4 weeks after ADOTTH ✓
Final Report (to include design, methodology, source lists, evaluation data, workshop results et al.)	10	3 weeks after return of USAID comments on draft final report

VI. RELATIONSHIPS AND RESPONSIBILITIES

The team will work under the technical direction of Mr. Sigifredo Ramirez, MDP project manager. All stakeholder contacts will be coordinated through the MDI technical office.

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✓ Arrival Date of Team To Honduras.

✓ The draft final report will be presented for review at an exit conference. The director of O/MDI will accept responsibility for review approval and language of the final report. Based on this review and written comments provided, the team leader will produce a final report within 3 weeks of receipt of comments.

ANNEX # 2

FOURTH GENERATION EVALUATION

## FOURTH GENERATION EVALUATION

### What is It?

Fourth Generation Evaluation is an approach to evaluation developed by educators Egon Guba and Yvonne Lincoln in which the evaluator facilitates resolution of project stakeholder issues, rather than determines whether the project is achieving its objectives.

### How Does It Differ From Other Approaches to Evaluation?

Guba and Lincoln outline four generations of evaluation which differ in their orientation. The first generation of evaluation emerged following World War I and focused on "measurement" of children's school achievement. Coming to the fore post-World War II, the second generation of evaluation emphasized the "description" of how curricula were affecting educational objectives. "Judgment" characterized the third generation of evaluation, born in the fifties, in which evaluators were hired to provide an external, independent assessment of whether programs were achieving their objectives. Fourth generation evaluation was necessitated, according to Guba and Lincoln, because the first three generations of evaluation suffered from three major flaws:

(1) managerialism - the evaluator is hired by a manager, such as A.I.D., who sets the parameters for the evaluation generally without taking into consideration the viewpoint of project participants, but then does not assume any responsibility for the failings of the project;

(2) failure to account for value-pluralism - the first three generations of evaluation assume that there is one objective truth about a project which can be ascertained by an external evaluator, and which ignores the fact that "reality" is perceived differently by different people and that evaluation consequently is a political, not scientific endeavor;

(3) overcommitment to the scientific paradigm of inquiry - the first three generations of evaluation are based on the positivist model of reality which assumes that the evaluator is detached from the reality of the project and can study it without any subjectivity, and which assumes that projects are truly scientific

experiments which can be operated and judged without reference to values or personal agenda. Guba and Lincoln base fourth generation evaluation upon the assumptions of contemporary science which posits an indeterminate reality, mutual causality, and complexity and which recognizes the value of qualitative information.

#### How Does Fourth Generation Evaluation Differ From Other Approaches to Evaluation?

Fourth generation evaluation does not begin with a "model of the project," such as that depicted by A.I.D.'s logical framework and then go to the project site and judge whether the model has worked in reality. Instead, fourth generation evaluation begins from the perspective of the PEOPLE involved in the project and depends upon the perceptions of these people to define the claims, concerns, and issues which the evaluation will attempt to resolve. The purpose of the evaluation is not to judge the effectiveness of a project, therefore, but rather to attempt to build consensus among the project stakeholders regarding what they perceive the project is doing, what the problems are that need to be resolved, and what the next steps should be in the project process. The evaluator plays the primary role of "facilitator" rather than "judge." Furthermore, the participation of key stakeholders in the evaluation is considered absolutely essential for success.

The methodology employed by fourth generation evaluators is called "the constructivist paradigm." This paradigm assumes that the reality of any situation differs according to the perspective of individual stakeholders and that a situation can only be understood by putting together all the various perspectives. So one of the primary jobs of the evaluator is to go from stakeholder to stakeholder and collect their claims, concerns, and issues, and build up a complete understanding of the project as well as to identify the issues which need resolution.

The evaluator collects the various perspectives by employing what Guba and Lincoln call the "hermeneutic dialectic." Hermeneutic means that the approach is "interpretive," since every perspective is a different interpretation. Dialectic means that it uses different viewpoints to develop a higher order new synthetic view.

The evaluator must first identify the key project stakeholders; develop "joint constructions" of the project reality; enlarge these constructions by collecting additional information which stakeholders may not know off-hand; sort out unresolved and resolved claims, concerns, and issues; address unresolved issues; gather additional information to bring to bear on these issues; carry out negotiations; report; and recycle the process to continue to resolve issues.

## What Happened in the Fourth Generation of an A.I.D. Project?

In the fourth generation evaluation of the Malawi Human resources and Institutional Development (HRID) project, the major issues of the evaluation turned out to be quite different from those initially contracted for by A.I.D. A.I.D. wanted the evaluators to look at funding allocation priorities, but after defining issues with stakeholders, the most critical focus of the evaluation turned out to be clarifying the role and responsibilities among the working group members on the development and implementation of mechanisms for monitoring project performance and communicating performance criteria and monitoring procedures to project beneficiaries.

## Does Fourth Generation Evaluation Not Care About Project Performance?

The reliance of stakeholder input to define evaluation issues does not mean that fourth generation evaluation ignores the issue of performance and whether or not the project is accomplishing its objectives. Project stakeholders will no doubt raise these issues. Fourth generation evaluation serves to bring out in the open everyone's perceptions of what they see as the project objectives, irrespective of what is officially written on project documents, and will open a dialog on how stakeholders feel the project is doing in accomplishing these objectives. Fourth generation evaluation does not, however, leave this judgment to the sole opinion of the evaluators.

# Design and Evaluation Methods

## Participatory Evaluation

*by John K. Hatch, President, The Foundation for International Community Assistance*

"Participatory evaluation" is a methodology for turning over the control of project evaluation to the rural and urban poor. Field tested in many countries, participatory evaluation allows project beneficiaries to design their own evaluation instruments, conduct interviews, and tabulate and analyze the resulting data. It also ensures information of the highest quality, usually at a fraction of the cost and the time required by conventional research executed by external professionals. In the process, project participants gain valuable skills that can be mobilized to produce project performance updates cost-effectively.

### Overview of the Methodology

Participatory evaluation can be organized in three stages and requires one or two professional advisers or staff members to monitor the process. It starts with a design workshop of 2 to 3 days to which selected

beneficiaries are invited to create their own evaluation questionnaire. Next, the participants return to their own or neighboring communities for 1 to 2 weeks to interview respondents. Finally, the participants return for a 2- to 4-day analysis workshop to tabulate and analyze the data they have collected. Evaluation findings are summarized in a brief report that is shared with the communities in which the evaluation was conducted. Subsequently, a more sophisticated analysis of the data can be conducted by one or more of the cooperating professionals, if necessary, and a detailed report prepared for the funding agency sponsoring the evaluation. From beginning to end, the process—for a nationwide survey covering 250-300 respondent families—can be completed within a month with a budget of less than \$25,000.

### Selection and Logistics

The number of project beneficiaries selected to participate in the evaluation depends on a variety of factors, including available budget, project coverage, and the geographical scope of the evaluation. However, 12 to 18 participants can be considered reasonable

in most cases. For a very large project, the three-stage evaluation process can be repeated by region; however, this approach requires compatibility between instrument designs that have been created for different areas of the country.

Ideally, participants should be selected in pairs from among people who already know each other to improve retention and sharing of information and to provide mutual support. Whenever possible participants should have basic reading, writing, and arithmetic skills, although a participant without such skills can also be used, provided he or she is accompanied by someone (a son or daughter) who can serve as a scribe.

It is of course desirable to select participants who are friendly and outgoing and who are respected members of their community with a prior history of community service. It is also preferable to have both men and women participate in the group because a mixed-gender group enriches both the instrument design and the subsequent data analysis.

### The Design Seminar

*First Day.* Facilitated by a professional, the seminar should begin with a brief overview of the evaluation: Why the evaluation is necessary, the difference between objective and subjective questions and between closed and open-ended questions, and examples of indicators. At the conclusion of the first morning participants should be given an opportunity to practice, as a group, identifying and designing indicators. For example, in the plenary session participants can create the first page of a questionnaire requesting personal information about the respondent.

The first afternoon activity can be a brainstorming session in which participants are asked to suggest all kinds of questions they believe useful for determining the success or failure of the project being evaluated. For example, participants can be given pieces of paper to write down their questions, after which participants, in turn, stand and read their questions aloud to the group and then (using masking tape) tape them to the blackboard. After each participant has taken a turn, the group sorts the questions into categories—for example, health, education, production, commerce and industry, and community improvements.

The participants are then divided into work groups of three to four members each—one group for each of the categories. Each group is asked to collect the questions for its area, edit and improve them, remove duplicates, and summarize the questions into a single-page questionnaire.

*Second Day.* During the morning of the second day, the work groups conclude their assignment, producing their one-page question sheet. In the afternoon all participants meet in plenary session, where each group

presents its work and the participants debate, amend, and eventually approve by consensus the suggestions. These question-by-question discussions not only strengthen the design of the questionnaires but also serve to familiarize each participant with the why of every question.

The attending professional facilitator (or monitor) is free to also suggest questions and indicators, but not until after the others have made their suggestions. Ideally, the facilitator can make a list of his or her questions in advance, then check them off as participants suggest them. Only when an important question has not been mentioned should the facilitator suggest its inclusion.

By the end of the second day there will be enough consensus to create a provisional evaluation instrument. With the assistance of a good secretary, the draft can be typed during the evening and either photocopied or mimeographed for use the following day (about 20-30 copies).

*Third Day.* During the final day, participants will practice interviewing each other, using their draft questionnaire. Initially one pair of participants will interview each other while the others observe and offer constructive criticisms. A variety of situations can be role played, followed by group discussion, to help participants gain confidence in their interviewing skills. By the end of the day, participants will be given their marching orders—how many interviews to be conducted, in which communities, and by what date, with prearranged dates for field visits by an evaluation facilitator to observe their progress.

### Field Interviews

Participants can complete about three interviews per day. Thus, if a total of 10 days has been allocated for interviews, each participant can complete no more than about 30 interviews (or 360 questionnaires if there are 12 participants, 540 questionnaires if there are 18 participants, and so on). The monitor can provide appropriate sampling guidelines in advance (e.g., interviews with nonproject participants, age and gender of respondents). To ensure quality control, the monitor should visit each participant at least once during the field-interview stage, preferably during the first 2 or 3 days, to correct any errors or omissions that may be occurring. Staff from the sponsoring agency operating the project can help facilitate these visits.

### Analysis Workshop

On a previously agreed date the participants will again convene in a central location to conduct a 2- to 4-day analysis workshop. As in the design seminar the

participants will be divided into work groups, this time by region, in order to process the questionnaires they have completed. The length of the workshop will vary depending on the size of the questionnaire, the number of questionnaires completed, mix of quantitative (closed) versus qualitative (open-ended) questions, literacy and math skills of the participants, and other factors. Each work group should be equipped with a simple hand calculator to facilitate data summation. The monitors will assist in designing tabulation sheets, first individual data sheets for use by each work group, then a composite tabulation sheet containing data summaries from all groups.

When all groups have completed their tabulations, the workshop participants will meet in plenary session to report on their partial data totals on each question. It is preferable to finish tabulating responses to each question and analyzing the results before passing on to the next question. This plenary session should be conducted by a professional facilitator, who will record the data reported from each group onto an aggregate format prepared on paper or on a blackboard large enough for all participants to see. Simpler (closed) questions should be processed first, then open-ended qualitative responses sorted and analyzed. As mentioned previously, qualitative material is usually exceedingly rich. Thus rather than to attempt to oversynthesize the qualitative responses, they should be screened for the most insightful quotes from each section of the questionnaire to compliment and highlight the numerical results.

As the plenary session proceeds, a secretary or professional observer should prepare a draft summary of the principal findings. At the end of each day a committee of 2 to 3 participants, elected by their peers, will review and edit the content of the emerging document, which is intended for use by project participants. Normally the document will not exceed five

pages. Subsequently, a copy of this evaluation summary will be sent to each of the communities where evaluation activities were carried out. Such a procedure provides feedback to project participants, thus guaranteeing that they will be the first users of evaluation findings. Then, and only then, should questionnaires and data summaries be released for more sophisticated analysis by outsiders.

### Budget Considerations

Project participants should be remunerated for their services, travel expenses, and, if necessary, room and board costs. Assuming a total commitment of 3 days per workshop, 10 days for interviewing, and 2 days for travel, the typical participant would receive remuneration for 18 days. A payment of \$10-\$15 per day (including transportation costs) should be adequate in most cases, or about \$180 to \$270 per participant. Considering a quota of 30 questionnaires per participant, the unit cost will range between \$6 and \$9 per interview.

At least one and preferably two professionals will be needed to facilitate the workshops and monitor the evaluation efforts of project participants. Including time for set-up, wrap-up, and final report writing, some 28-30 days of service per professional will be necessary. About 6 days of secretarial services should also be planned. Finally, room and board costs, materials (e.g., printing, calculators), and travel/per diem expenses of the outsiders must also be considered.

*Information about how to conduct participatory evaluation, as well as evaluation reports based on this method, can be obtained from John Hatch, President, The Foundation for International Community Assistance, 901 King Street, Alexandria, VA 22314 (703) 836-5516.*

## Evaluation System News

### Administrator Strengthens Role of Evaluation in A.I.D.

*by Annette Binnendijk, Center for Development Information and Evaluation*

On October 31, 1990, the A.I.D. Administrator, Ronald W. Roskens, announced that, as part of his emphasis on management excellence in A.I.D., he would strengthen the role of evaluation in the Agency. The

Administrator stressed the importance of a strong and independent evaluation function and assigned the Center for Development Information and Evaluation (CDIE) within PPC the lead role in expanding the Agency's evaluation capacity. The Administrator's General Notice on "Strengthening the Role of Evaluation in A.I.D." appears in the Box on page 9. In response to the Administrator's initiative, CDIE has begun a major reorganization and expansion of responsibilities and is currently recruiting from among the Agency's "best and brightest." (Turn to page 10.)

COMPARISON OF FOURTH GENERATION EVALUATION  
WITH TRADITIONAL A.I.D. EVALUATION

THE CASE OF THE MALAWI HUMAN RESOURCES  
AND INSTITUTIONAL DEVELOPMENT (HRID) PROJECT

The Malawi Human Resources and Institutional Development (HRID) Project was evaluated in early 1990, employing the fourth generation evaluation approach. The following chart illustrates the differences between the way the project actually was evaluated, using the fourth generation approach, with the manner in which it most likely would have been evaluated employing a typical A.I.D. evaluation approach.

USAID/Malawi's HRID project is a cross-sectoral grant aimed at strengthening key institutions through a variety of locally determined and selected initiatives to improve management skills, processes, and human resources. Implemented by a U.S. contractor, the project operates under the guidance of the Project Coordinating Committee, whose members represent public and private sector organizations seeking to benefit from the project. The Project Coordinating Committee approves fundable subprojects proposed by organizations seeking to strengthen their human resources and organizational capability. Day-to-day guidance and coordination of the project comes from the Project Working group whose members include A.I.D. HRID staff, contractor staff, and staff from Malawi's Department of Personnel, Management, and Training/Office of the President and Cabinet - the project's implementing agency.

Fourth Generation Approach versus Typical A.I.D. Approach

- |   |   |
|---|---|
| 1. Stakeholders interviewed to determine issues to be evaluated -- interpersonal roles and relationships were cited as key, not funding | 1. A.I.D. defines issues to be evaluated, e.g. how future funds would be programmed                                   |
| 2. Evaluators sought to create stakeholder commitment to carrying out an agreed-upon post-evaluation follow-up                          | 2. Evaluators present findings and recommendations to A.I.D. and do not address stakeholder commitment to the results |

3. Evaluators developed rapport with stakeholders and related often to them during the evaluation to refine the information and findings
  4. Evaluators continually worked with stakeholders to reach consensus regarding project or program issues, findings, and recommendations
  5. Communication process is central to success of the evaluation
  6. Evaluators worked with key stakeholders collaboratively to develop funding options
  7. Resulted in stakeholders commitment to outcomes of the evaluation
  8. Resulted in a 12-month action plan developed by evaluators and stakeholders
  9. Evaluation clarified roles and responsibilities of the stakeholders
3. Evaluators perceive stakeholders only as a source of information
  4. Evaluators themselves construct their own perceptions of the project or program
  5. Only outcomes are important to the evaluators
  6. Evaluators provide their own opinion regarding how funds should be programmed
  7. No guarantee or concern that recommendations would be accepted or implemented
  8. Plan of action not as likely to be included in the evaluation
  9. Stakeholder roles and responsibilities not addressed or clarified

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ANNEX # 3

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### ANNEX 3

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ANNEX # 4

LIST OF PEOPLE INTERVIEWED

**ANNEX 4**

**LIST OF PEOPLE INTERVIEWED**

This list complements the lists of people attending the two Stakeholder Workshops (see Annexes 5 and 7).

**MUNICIPIO DE CHOLUTECA**

ADRIANA GUERVARA DE BALLADARES, ALCALDE

RENE ALANIZ H., GERENTE GENERAL, DIMACH, AND DIMACH  
TECHNICAL STAFF

LUCIA MIRANDA, GERENTE FINANCIERO Y JEFE INTERINO DE  
CATASTRO

**MUNICIPIO DE CHOLOMA**

ARMANDO GALE VALENZUELA, ALCALDE

ANTONIO TIJERA BARDALES, JEFE DE CATASTRO

THREE REGIDORES

**MUNICIPIO DE PUERTO CORTES**

MARLON G. LARA ORELLANA, ALCALDE

OSWALDO URIAS, DEPARTAMENTO SOCIO-ECONOMICO

**MUNICIPIO DE LA LIMA**

ALFREDO FUNES POSAS, ALCALDE

ONASSIS LOPEZ TORRES, JEFE DE CONTRO TRIBUTORIO

RAUL JUAREZ MENDOZA, CONTADOR

ALEXANDER VELASQUEZ, GERENTE MUNICIPAL

CARLOS HUMBERTO OCHOA VELASQUEZ, JEFE DE CATASTRO

REGIDORES Y PERSONAL TECNICO DE LA ALCALDIA

**MUNICIPIO DE SIGUATEPEQUE**

VICTOR CHAVEZ CASTILLO, ALCALDE

MUNICIPIO DE VILLANUEVA

GUADELUPE LOPEZ, ALCALDE

P.M.J. RIGOBERTO CANTERERO, JEFE CATASTRO

MIGUEL ANGEL MUNGUIA T., GERENTE MUNICIPAL

REGIDORES Y PERSONAL TECNICO DE LA ALCALDIA

ASOCIACION DE MUNICIPIOS DE HONDURAS

GUADELUPE LOPEZ, PRESIDENT

MARIO RAMON LOPEZ, DIRECTOR EJECUTIVO

ROMEO UCLES, SUB-DIRECTOR EJECUTIVO

VIRGILIO ZELAYA CALIZ, COORDINADOR DE ASISTENCIA TECNICA Y  
CAPACITACION

COMISION PRESIDENCIAL PARA LA MODERNIZACION DEL ESTADO

DENIS AGUILUZ, DIRECTOR EJECUTIVO

FONDO HONDUREÑO DE INVERSION SOCIAL

MANUEL ZELAYA ROSALES, MINISTRO EXTRAORDINARIO Y DIRECTOR  
EJECUTIVO

FUNDACION PARA EL DESARROLLO MUNICIPAL

ROBERTO A. CONTRERAS, PRESIDENTE

MIRTHA GONZALEZ, DIRECTORA EJECUTIVA

FRANCISCO FUNES, ASESOR

INTERNATIONAL CITY/COUNTY MANAGEMENT ASSOCIATION

ANN E. BUCHE, ASSISTANT DIRECTOR, LATIN AMERICAN PROGRAMS

IRENE C. RAMOS, DEPUTY DIRECTOR, INTERNATIONAL MUNICIPAL  
PROGRAMS

PABLO SALCIDO

MINISTERIO DE HACIENDA

CESAR CARRANZA

GLORIA CASTRO

ORFELIA PASTORA

SANAA

JERONIMO SANDOVAL SORTO, GERENTE

SECRETARIA DE ESTADOS EN LOS DESPACHOS DE GOBERNACION Y JUSTICIA

RAMON IZAGUIRRE RODRIGUEZ, SUB-SECRETARIO DE GOBERNACION

JESUS R. MANCIA, ASESOR

UNIVERSIDAD DE SAN PEDRO SULA

ROSBINDA MEDINA DE GAUGGEL, VICE-RECTORA

CONSUELO CONSUEGRA, DIRECTORA, PROGRAMA DESARROLLO MUNICIPAL

JOSE MARVIN UMANA, SUB-DIRECTOR, PROGRAMA DESARROLLO MUNICIPAL

UNIVERSIDAD TECNOLOGICA CENTROAMERICANA

LETICIA MA-TAY, Rectora

USAID/HONDURAS

ELENA BRENNEMAN, DEPUTY MISSION DIRECTOR

MARIO PITA, DIRECTOR, OFFICE OF MUNICIPAL DEVELOPMENT AND INFRASTRUCTURE

LORRAINE J. SIMARD, DIRECTOR, OFFICE OF DEVELOPMENT PROGRAMS

SIGIFREDO RAMIREZ, PROJECT MANAGER, MUNICIPAL DEVELOPMENT PROJECT, OFFICE OF MUNICIPAL DEVELOPMENT AND INFRASTRUCTURE

BETTY CARCOMO, OFFICE OF DEVELOPMENT PROGRAMS

KELLY FLOWERS, DEVELOPMENT FINANCE

ANNEX # 5

MUNICIPAL LEVEL WORKSHOP

LIST OF PARTICIPANTS

**LISTA DE PARTICIPANTES TALLER  
SAN PEDRO SULA**

**GRUPO "A"**

1) ALFREDO FUNEZ	ALCALDE
2) JOSE ANTONIO POLANCO	ALCALDE
3) CONSUELO CONSUEGRA	USPS
4) FELIPE CANAHUATI	ZMVS
5) ARMANDO GALE	ALCALDE
6) MARLON LARA	ALCALDE
7) ROBERTO SORTO	ADMINISTRADOR
8) DAGOBERTO FLORES	UNIDAD EJECUTORA
9) DAVID MEJIA	TESORERO LA CEIBA
10) JESSICA SANTOS	IHSS
11) DAGOBERTO GALVEZ	AUDITOR
12) ROLANDO TEJEDA	CATASTRO
13) JULIO ZUNIGA	CONTADOR
14) JOSE RODRIGUEZ	CEMCA

**GRUPO "B"**

1) GUADALUPE LOPEZ	ALCALDE
2) MARGGIE DIP	ALCALDE
3) MARIO GALLARDO	ALCALDE
4) SABAS CASTELLON	REGIDOR
5) ALEXANDER VELASQUEZ	ADMINISTRADOR
6) JOSE UMAÑA	USPS
7) ANATOLIO DOMINGUEZ	CATASTRO
8) JOSE RODRIGUEZ	PLANIFICADOR
9) VICTOR AMADOR	COMUNIDAD
10) ANTONIO RIVERA	TIPOGRAFO

ANNEX # 6

MUNICIPAL LEVEL WORKSHOP

DISCUSSION MATERIALS

**TALLER DE ENCUENTRO  
"EL FUTURO DEL PROYECTO  
DE DESARROLLO MUNICIPAL DE HONDURAS"**

**15 DE JULIO DE 1994**

**TEMA A: FORTALECIMIENTO DE LA CAPACIDAD OPERATIVA DE LAS  
MUNICIPALIDADES**

**A. LOGROS**

TECNICOS CAPACITADOS; MUNICIPALIDAD ORGANIZADA; CATASTROS PREPARADOS;  
AUMENTOS EN IMPUESTOS RECAUDADOS; MEJORES PROCEDIMIENTOS  
ADMINISTRATIVOS; TAL COMO FUE DISEÑADO, EL PDM SE IMPLEMENTA  
PRINCIPALMENTE A NIVEL MUNICIPAL

DEVOLUCION DE SERVICIOS

MEJORAMIENTO DE SERVICIOS

PERCEPCION DE LA IMPORTANCIA DE LA MUNICIPALIDAD

CAMBIOS TECNICOS EN LA ADMINISTRACION MUNICIPAL

CAPTACION DE IMPUESTOS LOCALES

CAPACIDAD DE INVERSION EN PROYECTOS DE INTERES PUBLICO

CAPACIDAD DE AUTO-GESTION Y AUTO-FINANCIAMIENTO (INDEPENDENCIA  
FINANCIERA Y ADMINISTRATIVA DE GOBIERNO CENTRAL)

DESARROLLO DE UN ESFUERZO DE CONTRABALANCE A LAS FUERZAS CENTRALISTAS

DIAGNOSTICO DE LA SITUACION LOCAL Y ESTUDIOS ESPECIFICOS EN AREAS DE  
INTERES LOCAL

CAPACIDAD TECNICA Y ADMINISTRATIVA DE FUNCIONARIOS MUNICIPALES

COORDINACION E INTEGRACION ENTRE MUNICIPALIDADES

MEJORAS EN EL AMBIENTE FISICO DE TRABAJO

LOGROS SIGNIFICATIVOS EN CORTO PLAZO

MODERNIZACION DE LA ADMINISTRACION MUNICIPAL

APOYO FINANCIERO PARA OBRAS MUNICIPALES

## **TEMA B: MEJORAMIENTO DE LA PARTICIPACION DE LA POBLACION EN EL PROCESO LOCAL DEMOCRATICO**

### **A. LOGROS**

LA POBLACION EN LAS MUNICIPALIDADES PARTICIPANTES EN EL PROYECTO PDM REPRESENTAN UN 70% DE LA POBLACION NACIONAL

ALGUNOS GRUPOS COMO LOS PATRONATOS Y CAMARAS DE COMERCIO HAN PARTICIPADO ACTIVAMENTE EN LOS PROYECTOS MUNICIPALES

EL VOTO POR SEPARADO HA DADO UN OPORTUNIDAD A LAS COMUNIDADES DE PARTICIPAR EN LA SELECCION DE SU ALCALDE

ALGUNOS ALCALDES HAN TENIDO EXITO EN SU RELACION CON LAS COMUNIDADES POR MEDIO DE UN PLAN DE ROTACION DE VISITAS

EL PROYECTO HA FORTALECIDO ALGUNOS PATRONATOS POR MEDIO DE AYUDA PARA SUS PROYECTOS DE SERVICIOS

EL FORTALECIMIENTO DE LA MUNICIPALIDAD HA DADO MAS CAPACIDAD DE AYUDAR A LAS COMUNIDADES LOCALES

## **TEMA C: FORTALECIMIENTO Y UTILIZACION DE ORGANIZACIONES INTERMEDIARIAS ENTRE LAS MUNICIPALIDADES Y EL GOBIERNO CENTRAL**

### **A. LOGROS**

AHMON SE HA FORTALECIDO BASTANTE Y AHORA ES UNA VOZ EFECTIVA PARA LA AGENDA POLITICA DE LAS MUNICIPALIDADES; AHMON HABLA POR TODAS LAS MUNICIPALIDADES CUALQUIERA SEA QUE SEA SU ORIENTACION DE PARTIDO POLITICO; EL PORCENTAJE DE LA TRANSFERENCIA MANDADO A AHMON

FUNDEMUN CREADA COMO ONG HONDUREÑA SIN FINES DE LUCRO PARA DAR ASISTENCIA TECNICA A LAS MUNICIPALIDADES

DOS UNIVERSIDADES UTILIZADAS EN LA CAPACITACION MUNICIPAL Y ELLAS FUERAN FORTALECIDAS EN EL PROCESO

UNA BASE SOLIDA DE ASISTENCIA TECNICA Y CAPACITACION HECHO POR ICMA

LOS SEMINARIOS DE ORIENTACION DADOS EN LOS MUNICIPIOS

LOS MODULOS DE CAPACITACION Y LOS DOCUMENTOS RELACIONADOS

MODELOS DE ORGANIZACIONES REGIONALES PARA USAR EN OTROS LUGARES

CAPACITACION QUE PUEDE LLEGAR A UN TITULO PROFESIONAL

## **TEMA D: PROMOCION DE LEGISLACION Y POLITICAS NACIONALES PARA FORTALECER LAS MUNICIPALIDADES Y LA PARTICIPACION LOCAL**

### **A. LOGROS**

EL RESPALDO POR ICMA EN UN TIEMPO CRITICO

LA APROBACION DEL 5% DE DEVOLUCION

LA BOLETA SEPARADA PARA LA ELECCION DEL LOS ALCALDES

LA APROBACION DE LA LEY MUNICIPAL

LA EXPERIENCIA DE SAN PEDRO SULA QUE RESPALDO EL MOVIMIENTO MUNICIPAL

LA CONVERGENCIA OPORTUNA DEL PDM CON EL INTERES NACIONAL EN DESCENTRALIZACION Y FORTALECIMIENTO MUNICIPAL

LA PUBLICACION DEL 'REGLAMENTO' PARA CLARIFICAR LA LEY

EL USO EFECTIVO DE LOS MEDIOS MASIVOS PARA CONSEGUIR LA APROBACION DE LA LEY MUNICIPAL

LA CREACION DE UN SENTIDO QUE LA CENTRALIZACION ES UN DESASTRE QUE TRAE PROBLEMAS COMO LA CORRUPCION

## **TEMA E: MANEJAR EL PROYECTO EN LA FORMA OPTIMA PARA LOGRAR LOS OBJETIVOS DEL PROYECTO**

### **A. LOGROS**

UTILIZACION DE FONDOS REGIONALES (HRD) PARA FINANCIAR PROYECTOS EN LOS MUNICIPIOS DE PDM; TAMBIEN UTILIZACION DE FONDO NO DEL PROYECTO PARA CAPACITACION DE ALCALDES EN LOS EE.UU.

COORDINACION DEL PROYECTO POR MEDIO DE AMHON

HA AYUDADO A DEFENDER LOS INTERESES MUNICIPALES EN MEDIO DE FUERZAS OPUESTAS

LA INICIACION DE LOS CURSOS DE CAPACITACION

CONTACTO Y ORIENTACION CON LOS ALCALDES AUN ANTES DE SER ELECTOS

PROYECTO FUE INICIADO EN UN TIEMPO OPORTUNO PARA RESPALDAR EL MOVIMIENTO MUNICIPAL

EL RESPALDO EFICAZ DE AMHON

DESARROLLO DE UN PROGRAMA DE ACTIVIDADES MUY PRAGMATICO QUE AJUSTA A LAS NECESIDADES DEL MOMENTO

EL VIAJE DE ESTUDIO PARA NUEVO MEXICO

**TEMA A: FORTALECIMIENTO DE LA CAPACIDAD OPERATIVA DE LAS MUNICIPALIDADES**

NO.	PROBLEMA DE CAPACITACION/ ASISTENCIA TECNICA	RECOMENDACIONES PARA SU INSTITUCION Y EL PROYECTO EN GENERAL
1.	FALTA DE APOYO (VIATICOS, PERMISOS) POR PARTE DE LOS ALCALDES PARA QUE LOS EMPLEADOS PUEDAN APROVECHAR DE LOS CURSOS PATROCINADOS POR EL PROYECTO.	
2.	LA PERDIDA DE TECNICOS CAPACITADOS POR DESPEDIDOS AL CAMBIAR EL GOBIERNO MUNICIPAL.	AYUDAR EN ESTABLECER UN MECANISMO DE SEGURIDAD DE EMPLEO PARA LAS TECNICAS MUNICIPALES.
3.	DIFICULTAD DE APRECIAR EL VALOR MONETARIO DE LA CAPACITACION Y DE LA ASISTENCIA TECNICA.	
4.	TODAVIA FALTA DE GENTE CON PREPARACION TECNICA EN LA MUNICIPALIDAD.	INICIAR UN SISTEMA DE CURSOS CORTOS A NIVEL DE LA MUNICIPALIDAD BASADO EN "APRENDIENDO HACIENDO".
5.	FALTA DE MANUALES DE TRABAJO.	RESPALDAR LA PREPARACION DE MANUALES DE OPERACION SENCILLA PARA LAS MUNICIPALIDADES.
6.	MUCHOS ALCALDES QUE NO HAN TENIDO OPORTUNIDAD DE TERMINAR SU EDUCACION FORMAL.	
7.		LA CAPACITACION DEBE CONTINUAR EN LA FORMA INDEPENDIENTE DEL GOBIERNO.
8.		RESPALDAR UN MECANISMO PARA MONITOREO DE LOS RESULTADOS DE LA CAPACITACION.

9.		RESPALDAR EL USO DE UN BOLETIN DE NOTICIAS PARA DAR SEGUIMIENTO A LA CAPACITACION Y ASISTENCIA.
10.		RESPALDAR UNA MEJOR SELECCION DE ESTUDIANTES PARA LA CAPACITACION.

**TEMA B: MEJORAMIENTO DE LA PARTICIPACION DE LA POBLACION EN EL PROCESO LOCAL DEMOCRATICO**

NO.	PROBLEMA	RECOMENDACIONES PARA SU INSTITUCION Y EL PROYECTO EN GENERAL
1.	COMO LOGRAR LA PARTICIPACION DEL ALCALDE, EN SUS PAPELES, Y DE LOS EMPLEADOS DE LA MUNICIPALIDAD POR EL OTRO, EN LA PROMOCION DE ACTIVIDADES DE ONGS EN LA COMUNIDAD	
2.	ES DIFICIL MEDIR PROGRESO HACIA LA META DE MAS PARTICIPACION	
3.	¿HAY VARIAS MANERAS DE INVOLUCRAR A LA CIUDADANIA Y ORGANIZACIONES LOCALES. CUALES SON MAS EFICACES? MAS DEMOCRATICAS?	
4.	LAS COMUNIDADES NO TIENEN PARTICIPACION EN LAS DECISIONES MUNICIPALES	
5.	LOS CONSEJOS DE DESARROLLO MUNICIPAL NO FUNCIONARON BIEN	
6.	FALTA UNA TRANSPARENCIA EN LAS OPERACIONES MUNICIPALES	RESPALDAR LA OPERACION DE CABILDOS ABIERTOS Y PATRONATOS

**TEMA C: FORTALECIMIENTO Y UTILIZACION DE ORGANIZACIONES  
INTERMEDIARIAS ENTRE LAS MUNICIPALIDADES Y EL GOBIERNO  
CENTRAL**

NO.	PROBLEMA	RECOMENDACIONES PARA SU INSTITUCION Y EL PROYECTO EN GENERAL
1.	AL TERMINAR EL PDM, NO HABRA UNA INSTITUCION CON FUENTES DE FINANCIAMIENTO QUE PODRIA PROPORCIONAR ASISTENCIA TECNICA A LAS MUNICIPALIDADES A UN COSTO AL ALCANCE DE ELLAS	BUSCAR FUENTES PARA CAPITALIZAR, AUMENTAR EL PATRIMONIO, DE FUNDEMUN.
2.	¿COMO VA A FINANCIAR SUS ACTIVIDADES LA AHMON AL TERMINAR EL PDM? SERA SUFICIENTE SU FRACCION DE LA TRANSFERENCIA DEL GOBIERNO CENTRAL A LAS MUNICIPALIDADES?	
3.	ES BASTANTE COMPLICADA LA DESCENTRALIZACION DEL GOBIERNO CENTRAL A NIVEL REGIONAL Y MUNICIPAL. HAY BASTANTES DIFERENCIAS ENTRE LOS SECTORES. NO HAY FUNCIONARIOS ELECTOS A NIVEL DEPARTAMENTAL.	
4.	¿COMO VA A SOSTENERSE LA CAPACITACION Y ASISTENCIA TECNICA AL TERMINAR EL PROYECTO?	
5.	LA DIFICULTAD DE COSTEAR LA ASISTENCIA TECNICA SIN AYUDA DE SUBVENCION	CONTINUAR EL RESPALDO Y LA FORMA DE CAPACITACION Y ASISTENCIA TECNICA POR CONTRATO
6.	DIFICULTAD DE CREAR UNA DEMANDA PARA LA ASISTENCIA TECNICA Y A LA VEZ TENER PERSONAS CAPACES DE OFRECERLO	CONTINUAR CON EL SUBSIDIO DE CAPACITACION PARA AYUDAR A CREAR UN MERCADO TANTO COMO UNA FUENTE DE AYUDA PROFESIONAL
7.	FALTA DE UN ACUERDO ENTRE LOS ALCALDES Y LOS RESPONSABLES PARA LA CAPACITACION SOBRE EL CONTENIDO DE LOS CURSOS	RESPALDAR UN ENCUENTRO DE LOS ALCALDES PARA DEFINIR MEJOR LAS NECESIDADES DE CAPACITACION

8.	TEMOR DE QUE LOS ESFUERZOS HECHOS POR EL PROYECTO PDM NO ESTARAN SUFICIENTEMENTE MADUROS PARA CAMINAR SOLOS, CUANDO TERMINE EL PROYECTO	CONTINUAR EL RESPALDO DE AMHON PARA FORTALECER SU TRABAJO EN AREAS DE COMUNICACION Y AMPLIACION DEL LUGAR
9.	HAY UNA FRAGMENTACION Y FALTA DE COORDINACION EN LOS ESFUERZOS DE CAPACITACION Y ASISTENCIA TECNICA	RESPALDAR LA FORMACION DE ALGUNA ENTIDAD PARA LA COORDINACION DE LAS ACTIVIDADES DE ASISTENCIA TECNICA Y CAPACITACION
10.	FALTA UNA COORDINACION ENTRE LAS MUNICIPALIDADES EN EL USO DE LAS CUENCAS	AYUDAR A LA FORMACION DE OTRAS ORGANIZACIONES REGIONALES COMO LOS RELACIONADOS CON LAS CUENCAS
11.	FALTA DE UNA ESTRATEGIA MUNICIPAL INCLUYENDO DESGLOCES DE LA DEMANDA Y OFERTA DE EDUCACIÓN FORMAL, CAPACITACIÓN Y ASISTENCIA TECNICA.	
12.		RESPALDAR PROGRAMAS DE CAPACITACION DIRIGIDO A LAS MUNICIPALIDADES PEQUEÑAS
13.		PROVEER UNA LISTA DE FUENTES DE BECAS A LOS ALCALDES PARA QUE PUEDEN AYUDARA LOS TECNICOS PREPARARSE MEJOR
14.		AYUDAR EN LA FORMACION DE ASISTENCIA TECNICA REGIONAL PARA AYUDAR EN EL MANTENIMIENTO DE LOS SISTEMAS DE AGUA PARA LAS PEQUEÑAS MUNICIPALIDADES.
15.		RESPALDAR LA FORMACION DE UN CENTRO DE CAPACITACION MUNICIPAL PERMANENTE.

**TEMA D: PROMOCION DE LEGISLACION Y POLITICAS NACIONALES PARA FORTALECER LAS MUNICIPALIDADES Y LA PARTICIPACION LOCAL**

NO.	PROBLEMA	RECOMENDACIONES PARA SU INSTITUCION Y EL PROYECTO EN GENERAL
1.	FALTA DE CLARIDAD EN CUANTO AL PAPEL DE LOS GOBERNADORES; PERO HAY NECESIDAD DE ACCION A NIVEL DE "REGIONES"	RESPALDAR UNA CAMPAÑA DEL VOTO SEPARADO PARA LOS DIPUTADOS Y GOBERNADORES
2.	TOMAR MEDIDAS PARA AYUDAR MAS A LAS PEQUEÑAS MUNICIPALIDADES	
3.	UN PEQUEÑO SISTEMA DE AGUA, SEA DE SANAA, LA MUNICIPALIDAD, O DE UNA JUNTA DE AGUA, NECESITARA UN SUBSIDIO-POR EJEMPLO, DE ASISTENCIA TECNICA O LOS COSTOS DE CONSTRUCCION. ¿QUIEN LO PAGARIA EN UN ESQUEMA DESCENTRALIZADA? COMO SERIA CANALIZADO?	
4.	TODAVIA EL GOBIERNO CENTRAL PUEDE PONER LIMITES EN EL PODER MUNICIPAL DE LEVANTAR IMPUESTOS	PROMOVER UN CAMBIO EN LA LEY PARA QUITAR LAS LIMITACIONES EN RECOGER IMPUESTOS MUNICIPALES
5.	NO HAY LA POSIBILIDAD DE CONCEDER EXENCION DE IMPUESTOS PARA ESTIMULAR INDUSTRIAS NUEVAS EN LA MUNICIPALIDAD	PROMOVER UN CAMBIO EN LA LEY PARA QUE LA MUNICIPALIDAD PUEDE DAR EXENCIONES PARA INDUSTRIAS NUEVAS
6.	SIEMPRE HAY INTERESES CENTRALISTAS OPERANDO PARA ATACAR LA AUTONOMIA MUNICIPAL	CONTINUAR EN EL RESPALDO DE LA DEVOLUCION DE SERVICIOS PARA LOGRAR POR LO MENOS UN CONOCIMIENTO DE LAS OPERACIONES DE LOS SERVICIOS DE LAS INSTITUCIONES NACIONALES EN LA MUNICIPALIDAD LOCAL
7.	LA CULTURA DE CENTRALIZACION ES DIFICIL DE CAMBIAR Y TODAVIA HAY MUCHO USO DE PUESTOS ESPECIALES Y PATRONAJE	CONTINUAR DE RESPALDAR LAS CAMPANAS POLITICAS EN FAVOR DE LA DESCENTRALIZACION Y FORTALECIMIENTO MUNICIPAL.
8.	NO HAY LEYES QUE PERMITEN LA RECOLECCION DE IMPUESTOS DE LAS COOPERATIVAS	

9.	NO HAY POLITICA DEMOGRAFICA QUE PUDIERA SERVIR EN LA PLANIFICACION A LARGO PLAZO.	RESPALDAR EL DESARROLLO DE UNA POLITICA DEMOGRAFICA NACIONAL
10.	LAS DIVISIONES POLITICAS QUE DEMARCA LOS DEPARTAMENTOS NO ES FUNCIONAL PARA EL AÑO 1994	EL GOBIERNO NACIONAL TIENE TAREA DIFICIL DE VIGILAR QUE EL 5% SE GASTA MAYORMENTE EN SERVICIOS Y NO ADMINISTRACION
11.	FALTA MAS CAPACITACION EN LAS AREAS DE IMPUESTOS MUNICIPALES	
12.	TODAVIA HAY MUCHA AMBIGÜEDAD EN LA LEY MUNICIPAL	CONTINUAR DE RESPALDAR LOS ESFUERZOS PARA CLARIFICAR LA LEY MUNICIPAL
13.		AYUDAR EN ESTABLECER ALGUNA MECANISMO PARA FOMENTAR LA IDENTIDAD PROFESIONAL DEL TECNICO MUNICIPAL
14.		AYUDAR DE CREAR UN AMBIENTE DE COMPRESION DE QUE LA TRANSFERENCIA DE SERVICIOS ES UN PROCESO NEGOCIADO Y LLEVA TIEMPO

**TEMA E: MANEJAR EL PROYECTO EN LA FORMA OPTIMA PARA LOGRAR LOS OBJETIVOS DEL PROYECTO**

NO.	PROBLEMA	RECOMENDACIONES PARA SU INSTITUCION Y EL PROYECTO EN GENERAL
1.	LA CONTRAPARTE DE \$ 15 MILLONES DEL GOBIERNO DE HONDURAS ES SOBREDIMENSIONADO; NO HAY UNA FUENTE DISPONIBLE PARA PAGARLA SI NO HAY FONDOS DISPONIBLE DE FEE (FONDOS DE ESTABILIZACION ECONOMICA)	
2.	INTERESADOS NO SABEN COMO ESTAN GASTADOS LOS DINEROS DEL PROYECTO; SERIA UTIL SABER COMO LA AID ESTA GASTANDO LOS DOLARES DEL PDM	
3.	FALTA DE COORDINACION EN CUANTO AL CONTENIDO DE LOS CURSOS DE CAPACITACION. TAMBIEN NO HAY COORDINACION ENTRE LOS PROGRAMAS DE CAPACITACION Y LA ASISTENCIA TECNICA.	LA FORMACION DE UNA COMISION AL NIVEL PRESIDENCIAL PARA COORDINAR LAS ACTIVIDADES DEL PROYECTO CON LOS OTROS ORGANISMOS NACIONALES E INTERNACIONALES
4.	SOSTENER EL SUMINISTRO DE SERVICIOS DE CAPACITACION Y ASISTENCIA TECNICA A LAS MUNICIPALIDADES	
5.	TOMAR MEDIDAS PARA AYUDAR MAS A LAS PEQUEÑAS MUNICIPALIDADES	
6.	FALTA DE COORDINACION POR EL GOBIERNO DE LOS PROGRAMAS INTERNACIONALES QUE ASEGURA QUE ELLOS PERSIGAN METAS NACIONALES	QUE LA AID DE MAS INFORMACION A GOBERNACION Y QUE GOBERNACION PARTICIPE MAS EN COMO ENFOCAR EL PDM.
7.	A LA GOBERNACION EN EL MINISTERIO DE INTERIOR LE FALTA PERSONAL CAPACITADO	
8.	SI PDM DESARROLLA MAS ACTIVIDADES PARA LA PEQUEÑA MUNICIPALIDAD, PODRIA LOGRAR (?) SUS ESFUERZOS DE TAL MANERA DE TENER POCO IMPACTO EN EL LOGRO DE OTROS OBJETIVOS.	CONCENTRAR LAS ACTIVIDADES DEL PDM PERO PROMOVER QUE OTROS PROYECTOS SE ENCARGUEN DE LAS PEQUEÑAS MUNICIPALIDADES.

9.	DESDE SU DISEÑO ORIGINAL, EL PDM HA EVOLUCIONADO Y AHORA HAY DIFERENCIAS IMPORTANTES. LA IMPLICITA JERARQUIA (?) DE OBJETIVOS ACTUALES NO ES EXPLICITA; MUCHO MENOS ES EXPLICITA LA ESTRATEGIA PARA LOS AÑOS RESTANTES.	
10.	EL ALTO COSTO DE ASISTENCIA TECNICA QUE VIENE DEL EXTRANJERO	PROCURAR DE EMPLEAR TECNICOS DEL PAIS EN VEZ DEL EXTRANJERO
11.	EL PROYECTO NO HA DADO MUCHO RECONOCIMIENTO AL PAPEL DE LAS INSTITUCIONES DEL GOBIERNO CENTRAL QUE TAMBIEN ESTAN APOYANDO LAS MUNICIPALIDADES	
12.	FALTA DE CONOCIMIENTO DE LOS PROPOSITOS DE TODOS LOS PROYECTOS DE AID DESTINADOS A LAS MUNICIPALIDADES Y COMO ESTAN COORDINADOS	PONER EN PRACTICA LA "TRANSPARENCIA" CON LOS PROYECTOS DE AID PARA QUE LAS MUNICIPALIDADES Y OTRAS AGENCIAS PUEDEN COORDINAR SUS PLANES DE ACUERDO
13.	HAY UN TEMOR DE QUE ALGUNAS DE LAS ACTIVIDADES RESPALDADOS POR EL PROYECTO NO SE PUEDE SOSTENER DESPUES QUE TERMINA EL PROYECTO.	TENER CUIDADO DE NO QUITAR EL RESPALDO DEMASIADO TEMPRANO Y DEJAR CAER EL TRABAJO
14.		PONER MAS ENFASIS EN EL TRABAJO EN LAS COMUNIDADES POR MEDIO DE MAS ASISTENCIA TECNICA Y CAPACITACION
15.		PONER MAS ENFASIS EN LAS MUNICIPALIDADES POBRES Y CON PROBLEMAS ESPECIALES EN VEZ DE CON LOS QUE TIENEN MAS RECURSOS
16.		CONTINUAR DE RESPALDAR LAS CAMPAÑAS NACIONALES EN FAVOR DE LAS MUNICIPALIDADES
17.		AYUDAR LAS ORGANIZACIONES INTERMEDIARIAS DE DEFINIR SU PAPEL UNICO PARA NO HACER COMPETENCIA UNO CON EL OTRO
18.		TRABAJAR DIRECTAMENTE CON LAS MUNICIPALIDADES Y NO POR MEDIO DE ORGANIZACIONES INTERMEDIARIAS

ANNEX # 7

MUNICIPAL LEVEL WORKSHOP

DISCUSSION SUMMARY

**Percepciones y Recomendaciones de los Participantes  
en el Taller de Seguimiento al Proyecto de Desarrollo Municipal  
PDM**

# PERCEPCIONES Y RECOMENDACIONES DE LOS PARTICIPANTES EN EL TALLER DE SEGUIMIENTO AL PROYECTO DE DESARROLLO MUNICIPAL (PDM)

## CONSOLIDACION DE LAS APORTACIONES DE LOS DOS GRUPOS DE TRABAJO QUE SE CONFORMARON CON LOS PARTICIPANTES.

### A. FORTALECIMIENTO DE LA CAPACIDAD OPERATIVA DE LAS MUNICIPALIDADES

#### SUBTEMA A.1: PROBLEMAS FINANCIEROS.

##### PROBLEMAS:

- A.1.1 Es practicamente generalizada la falta de capacidad financiera de las Municipalidades para hacerle frente a la demanda de servicios de la comunidad.
- A.1.2 Como consecuencia de sus limitados recursos, la mayor parte de las Municipalidades carece de los medios necesarios para hacerle frente a las responsabilidades que la Ley les establece.
- A.1.3 El Gobierno Central no está cumpliendo con la formalidad debida, la obligación que le establece la Ley de Municipalidades de transferir a estas el 5% de los ingresos tributarios del Presupuesto General de la República: "la recepción no es oportuna y el cálculo se hace incorrectamente perjudicando los intereses de las Municipalidades", no existe seguridad de que se haran efectivas remanentes de las transferencias de 1993 que suman aproximadamente sesenta millones de Lempiras (Aproximadamente un 50% del valor correspondiente a ese año).

- A.1.4 Como consecuencia de la asistencia brindada por el PDM, a través de ICMA, FUNDEMUN y las Universidades Privadas, las Municipalidades beneficiarias han mejorado su gestión de cobro de impuestos y tasas, incrementando significativamente sus ingresos corrientes, sin embargo las que aun no reciben asistencia tienen fuertes debilidades en estas areas.
- A.1.5 Deficiencias en la formulación de la Ley de Municipalidades permiten que sectores económicos relevantes evadan sus responsabilidades tributarias, tal es el caso de las Cooperativas y los productores de Camaron y Melones.
- A.1.6 La mayoría de las Municipalidades no cuentan con catastros urbanos y rurales, como instrumentos de control tributario, dependiendo de la buena voluntad y honestidad de los propietarios de bienes inmuebles para el cobro de los impuestos.
- A.1.7 Las Municipalidades que han sido beneficiadas por el PDM, con la donación de levantamientos catastrales manifiestan su preocupación por que estos se desactualicen y pierdan utilidad, en vista de los altos costos de los servicios de actualización.
- A.1.8 Practicamente todas las Municipalidades carecen de una adecuada capacidad de control tributario, siendo significativas las debilidades en control de la evasión fiscal y de la mora tributaria.

## **RECOMENDACIONES**

- A.1.9 Solicitar al PDM que apoye a la AMHON, en su propuesta al Gobierno Central relativa al cumplimiento oportuno y en los términos que la Ley establece de las transferencias del 5%.
- A.1.10 Solicitar apoyo financiero a USAID para elaborar un programa de amplia divulgación de mecanismos, procedimientos e instancias de cobro disponibles para las Municipalidades y la conformación de un cuerpo de Asesoría Legal de Consulta, estas actividades podrían ser ejecutadas

conjuntamente por FUNDEMUN y AMHON.

- A.1.11 Las experiencias logradas en las municipalidades que han recibido Asistencia Técnica en Catastro Municipal y en Control Tributario, permiten establecer la factibilidad de incrementar en forma significativa los ingresos mediante un mejor conocimiento de los recursos del municipio, por lo que deberá continuarse con la asistencia que estos campos brinda FUNDEMUN y el Catastro Nacional, conformando metodologías apropiadas para ampliar el cubrimiento a un mayor número de Municipalidades.
- A.1.12 Es necesario reforzar técnicamente a las Municipalidades han recibido levantamientos catastrales, a fin de que puedan realizar oportunamente las actualizaciones requeridas, en este sentido se deberán aprovechar las experiencias logradas por FUNDEMUN y el Catastro Nacional, de ser posible deberá incluirse dentro de este reforzamiento la dotación de equipo de computo, programas técnicos computarizados y otro apoyo logístico.
- A.1.13 Se deberá apoyar a FUNDEMUN y a las Universidades Privadas para continuar asistiendo a las Municipalidades en la aplicación de mecanismos de control tributario, a fin de evitar la evasión, la sub-valoración y la mora tributaria.

## **SUBTEMA A.2: PROBLEMAS DE CAPACITACION/ASISTENCIA TECNICA.**

### **PROBLEMAS:**

- A.2.1 La capacitación brindada por el PDM a través de ICMA, FUNDEMUN y las Universidades, han permitido que las Municipalidades beneficiadas puedan contar con recurso humano capacitado, sin embargo se considera necesario ampliar esta asistencia a otras municipalidades.

- A.2.2 Por razones de diversa índole, sobre todo de carácter político sectario, no hay garantías para la estabilidad laboral del personal capacitado, al despedir a este personal las Municipalidades pierden valiosos recursos y desperdician las inversiones en capacitación.
- A.2.3 La capacitación se ha concentrado en autoridades y empleados municipales, descuidando al sector comunitario.
- A.2.4 Si bien se aprecia el valor de los cursos cortos y seminarios, se manifiesta preferencia por asistencia directa, con aplicación a la practica diaria.
- A.2.5 Algunos participantes manifiestan que no han dispuesto de suficiente información sobre los programas de capacitación.

### **RECOMENDACIONES**

- A.2.6 Aprovechar la experiencia que han desarrollado algunas Municipalidades para entrenar a otras que lo requieran, en esta capacitación se utilizaría personal municipal entrenado bajo la coordinación de FUNDEMUN.
- A.2.7 Motivar a las Autoridades Municipales a fin de promover una actitud positiva hacia la capacitación y la asistencia.
- A.2.8 Se recomienda ampliar la cobertura de los Asesores Municipales a fin de consolidar los resultados de la capacitación.
- A.2.9 Con el propósito de evitar los cambios de personal capacitado, que periodicamente se producen al haber cambios de gobierno, deberá gestionarse a través de la AMHON cambios en las leyes correspondientes.
- A.2.10 La AMHON deberá hacer una labor de promoción y concientización en las municipalidades a fin de que estimulen y apoyen la capacitación de sus empleados.

- A.2.11 La capacitación no deberá limitarse a funcionarios y autoridades municipales, deberá ampliarse a líderes y dirigentes de la comunidad, en temas tales como motivación social, promoción de la participación comunitaria, deberes y derechos de los ciudadanos y mecanismos para conjuntar esfuerzos y recursos municipales, comunitarios y privados.
- A.2.12 Se recomienda que el PDM continúe con su apoyo a FUNDEMUN, AMHON y las Universidades a fin de consolidar y ampliar los resultados obtenidos en asistencia y capacitación.

### **SUBTEMA A.3 PROBLEMAS DE SERVICIOS PUBLICOS.**

#### **PROBLEMAS:**

- A.3.1 Limitaciones financieras para satisfacer demanda de servicios.
- A.3.2 Falta de planificación, las municipalidades cubiertas por el PDM han establecido la elaboración de un presupuesto y un plan de inversiones anual, sin embargo es necesario ampliar la planificación para el mediano y largo plazo.
- A.3.3 El apoyo gubernamental tiende a ser selectivo, beneficiando a las Municipalidades más grandes.
- A.3.4 Las organizaciones comunitarias existentes (patronatos, Juntas de agua, etc.) han perdido credibilidad como resultado de irregularidades en el manejo de los fondos y en los procesos de elección de dirigentes, cuestionándose además su capacidad administrativa, por lo que en vez de ser un apoyo, están recurriendo constantemente a las municipalidades para solicitar solución a sus problemas.
- A.3.5 Cuantiosas inversiones en proyectos de agua potable corren el riesgo de perderse, como resultado de un inadecuado manejo de las cuencias hidrograficas en donde se ubican las tomas de agua.

- A.3.6 Ejecución de proyectos patrocinados por ONG's sin tomar en cuenta la debida participación y coordinación de las Municipalidades, lo que dificulta la recuperación de las inversiones y la operación de los mismos.

### **RECOMENDACIONES**

- A.3.7 Promover la organización de asociaciones de Municipalidades geográficamente cercanas, para enfrentar conjuntamente problemas de servicios públicos, legales, medio ambiente, etc.
- A.3.8 Crear una estructura legal que norme y regule la operación de las juntas de agua y organizaciones similares.
- A.3.9 Integración de sistemas de servicios públicos locales, en sistemas regionales a fin de bajar costos y mejorar la calidad.
- A.3.10 Promover a través de FUNDEMUN la planificación a mediano y largo plazo.
- A.3.11 Que FUNDEMUN continúe apoyando a las Municipalidades en la formulación, gestión, operación y mantenimiento de servicios públicos, extendiendo esta asistencia a otros municipios.
- A.3.12 Buscar mecanismos de financiamiento al alcance de las municipalidades.
- A.3.13 Promover a través de la AMHON, con el apoyo de FUNDEMUN y las Universidades Privadas, la conservación y el manejo apropiado de las cuencas hidrográficas.

## **B. MEJORAMIENTO DE LA PARTICIPACION DE LA DE LA POBLACION EN EL PROCESO DEMOCRACTICO**

### **PROBLEMAS:**

- B.1** Las Municipalidades no toman en cuenta la participación de la comunidad en la definición de acciones prioritarias.
- B.2** La comunidad no tiene conceptos claros sobre cuales son sus responsabilidades y cuales son sus derechos.
- B.3** Es generalizada una mutua desconfianza entre autoridades municipales y dirigentes comunales.
- B.4** Los canales de participación que establece la Ley de Municipalidades (CABILDOS ABIERTOS Y CONSEJO DE DESARROLLO MUNICIPAL), no son utilizados o funcionan ineficientemente.

### **RECOMENDACIONES**

- B.5** El PDM deberá apoyar a la AMHON, en un esfuerzo por fomentar una cultura de participación comunitaria.
- B.6** Que FUNDEMUN continúe asistiendo a los Municipios del Programa en el desarrollo de cabildos abiertos, aprovechando para este propósito las experiencias logradas en el Municipio de La Lima.
- B.7** FUNDEMUN deberá documentar las técnicas para el desarrollo de cabildos abiertos, elaborándose manuales, a fin de contar con instrumentos para ampliar la cobertura de la asistencia en este campo.

## **C. FORTALECIMIENTO Y UTILIZACION DE ORGANIZACIONES INTERMEDIARIAS ENTRE LAS MUNICIPALIDAD Y EL GOBIERNO CENTRAL.**

### **PROBLEMA:**

- C.1** El PDM, ha apoyado el surgimiento de organizaciones intermediarias, tales como FUNDEMUN, las Universidades Privadas, Gabientes Concord y otras, las cuales prestan importantes servicios a las Municipalidades, sin embargo existen dudas sobre la continuidad de los mismos al finalizar el proyecto.

### **RECOMENDACIONES**

- C.2** USAID deberá continuar apoyando el desarrollo municipal, se deberá gestionar la ampliación del PDM.
- C.3** El Gobierno Central deberá gestionar apoyo nacional e internacional para ampliar la duración del proyecto.
- C.4** Fortalecer a la AMHON para que gestione y canalice fondos nacionales e internacionales para apoyar ONG's cuyo fin sea el desarrollo municipal.
- C.5** El PDM, debe crear un fondo para mantener la continuidad de la asistencia técnica.
- C.6** Las Municipalidades deberán ir consignando en sus presupuestos los fondos necesarios para hacerle frente paulatinamente a los costos de la asistencia.
- C.7** Las ONG's deberán promover la ampliación de la demanda de servicios, identificando otros usuarios.

ANNEX # 8

NATIONAL LEVEL WORKSHOP  
LIST OF PARTICIPANTS

## **PARTICIPANTES**

- |     |                    |                           |
|-----|--------------------|---------------------------|
| 1.  | JESUS MANCIA       | MINISTERIO DE GOBERNACION |
| 2.  | RAMON DONAIRE      | MINISTERIO DE GOBERNACION |
| 3.  | ORFILIA PASTORA    | MINISTERIO DE HACIENDA    |
| 4.  | GLORIA DE CASTRO   | MINISTERIO DE HACIENDA    |
| 5.  | MABEL ARGEÑAL      | CATASTRO                  |
| 6.  | ROBERTO MEDINA     | CATASTRO                  |
| 7.  | ROBERTO CONTRERAS  | FUNDEMUN                  |
| 8.  | FRANCISCO FUNEZ    | FUNDEMUN                  |
| 9.  | MIRTHA GONZALEZ    | FUNDEMUN                  |
| 10. | ARNOLDO CARACCIOLI | FHIS                      |
| 11. | ROMAN VALLADARES   | UNITEC                    |
| 12. | LETICIA MA-TAY     | UNITEC                    |
| 13. | ANTONIO ESCOTO     | UNITEC                    |
| 14. | DENNIS AGUILUZ     | COMISION DE MODERNIZACION |
| 15. | DANILO CASTILLO    | AMHON                     |

ANNEX # 9

NATIONAL LEVEL WORKSHOP

DISCUSSION SUMMARY

**Informe de Seminario-Taller de Encuentro  
con Evaluadores del PDM**

**INFORME DEL SEMINARIO-TALLER  
DE ENCUENTRO CON  
EVALUADORES DEL PDM**

**Tegucigalpa, 22 de julio de 1994**

## **INTRODUCCION**

Los Evaluadores del PDM expusieron el objetivo de la reunión y abrieron la misma con la presentación del tema para discusión: "Problemas de Capacitación y Asistencia Técnica."

Los Asistentes expusieron sus puntos de vista sobre el tema, los que se exponen a continuación.

\* La Asistencia Técnica es anárquica (conclusión), recomienda que la cooperación externa para A.T.F. y C. sean canalizados a través de SECPLAN y Coordinador por un equipo entre SECPLAN, D.G.A.T.M. y AMHON.

\* Falta de políticas y estrategias gubernamentales de cooperación internacional.

Existe debilidad de SECPLAN porque sólo responde a un trámite operativo de la asistencia (no define criterios ni da seguimiento).

Recomienda: que debe existir un mecanismo para la coordinación; diseñar una instancia para que coordine con AMHON la asistencia al campo municipal, de seguimiento y evalúe resultados.

Debe de ampliarse las áreas de asistencia a fin de cubrir nuevas y futuras necesidades como el medio ambiente.

\* Capacitación debe ser constante e ir orientada en 2 líneas: a los líderes comunitarios y a personal técnico-administrativo de la municipalidad; hay que capacitar para el futuro; debe existir una educación formal que permita educar potenciales candidatos para cargos municipales; hay que fortalecer las estructuras municipales.

Se deberá implementar centros de capacitación regionales para ampliar la cobertura a los municipios más pequeños.

Los proyectos ejecutados por los distintos sub-programas del PDM deben limitar sus acciones a sus propias capacidades en vista de sus limitaciones en recursos y tiempo, se deberá establecer una definición de competencias de las instituciones relacionadas con el sector municipal. Aprovechar la capacidad instalada de instituciones existentes como INFOP para intensificar el entrenamiento a municipalidades en todo el país.

Desarrollar dentro de la educación formal un bachillerato en Administración Municipal.

- \* La participación del Gobierno de Honduras en el PDM y la transparencia en el manejo del PDM.

El PDM puede coordinar acciones en forma directa con municipalidades.

La USAID debe tener mayor apertura para brindar información sobre la aplicación de las donaciones;

Como producto de esta dificultad, no existe la suficiente información para justificar la priorización de la contraparte del proyecto, dado que son varios los proyectos que compiten por los escasos recursos disponibles.

El PDM ha presentado algunos inconvenientes desde su inicio, dando que no se definió en el convenio original el monto total ofrecido por la USAID y los montos anuales se han tenido que ir definiendo en base a enmiendas.

Existe dificultad de cumplir con la contraparte nacional, en vista de que los fondos destinados para este proyectos provenían de los fondos destinados al ajuste económico los que ya se encuentran agotados.

La presupuestación de los fondos de contraparte del proyecto debería hacerse a través del presupuesto de Gobernación.

El cabildeo de la Contraparte Nacional para el PDM debería de tener participación activa la AMHON.

Existe una tendencia de la USAID a determinar el rumbo de los fondos, favoreciendo a municipalidades con mayor capacidad económica en contra de la estrategia del Gobierno de atacar la focalización de la pobreza.

Los cambios unilaterales que la USAID efectúa en la distribución de los nuevos del PDM afectan negativamente los planes de trabajo de las instituciones beneficiarias.

Ante los cambios en la aplicación de los fondos destinados para el fortalecimiento institucional del Ministerio de Gobernación, se recomienda que la USAID reconsidere esta posición y haya más apertura para analizar en forma conjunta la conveniencia de la distribución de los recursos.

## **TEMA**

### **Municipalización del Catastro y la Capitalización de FUNDEMUN**

Hubo un fracaso en la privatización de los Catastros para algunas municipalidades del proyecto, en vista de que se orientaron eminentemente a los fiscal, no fue multifinalitario y se cuestiona sus procedimientos técnicos y la ausencia de una supervisión calificada; la privatización del Catastro dió lugar además a la mayor corrupción y saqueo en el Catastro Nacional.

Se recomienda devolver al Catastro Nacional su papel como principal coordinador de los levantamientos que se realizan, incrementando su participación en la ejecución de nuevos catastros, aprovechando de esta manera su capacidad instalada y su experiencia técnica.

## **TEMA IV**

### **Participación de la Mujer**

Que se incluya la perspectiva de género en las diferentes fases del proyecto de PDM.

En vista de que los logros del PDM son muchos mayores que los problemas que presenta, se recomienda gestionar la ampliación del PDM y beneficiar a mayor número de municipalidades.

ANNEX # 10

QUESTIONNAIRES

ENCUESTA DE CAPACITACION MUNICIPAL  
16 JULIO 1994

1. POR CUAL MUNICIPALIDAD TRABAJA? POR CUANTO TIEMPO?
2. CUAL CARGO TIENE EN LA MUNICIPALIDAD? POR CUANTO TIEMPO HA TENDIO ESTE CARGO?
3. QUE TRABAJO TENIA ANTES DE TRABAJAR POR LA MUNICIPALIDAD?
4. HASTA QUE NIVEL DE EDUCACION FORMAL HA LLEGADO?
5. DE LOS CONOCIMIENTOS IMPARTIDOS EN SUS CURSOS O MODULOS ACTUALES EN LA UNIVERSIDAD DE SAN PEDRO SULA, CUALES SON LOS MAS APLICABLES EN SU TRABAJO? Y CUALES LOS MENOS APLICABLES?
6. CUALES SON LOS CONOCIIMIENTOS QUE UD. YA APLICO EN SU TRABAJO?
7. QUE BARRERAS HA ENCONTRADO EN PODER APLICAR SUS NUEVOS CONOCIMIENTOS EN SU TRABAJO?
8. QUE CONOCIMIENTOS CREE UD. SON IMPORTANTES PARA EL TRABAJO DE TODO EL CUADRO TECNICO?
9. QUE CONOCIMIENTOS CREE UD. SON IMPORTANTES PARA EL TRABAJO DE LOS ALCALDES Y REGIDORES?
10. QUIERE PERSEGUIR UNA CARRERA MUNICIPAL PROFESIONAL? EN EL CORTO, MEDIANO, Y LARGO PLAZO?
11. ESTA PREOCUPADO QUE UD. Y SUS COMPANEROS TECNICOS PODRIAN SER DESPIDOS POR MOTIVOS POLITICOS SI OTRO PARTIDO GANA LAS PROXIMAS ELECCIONES MUNICIPALES?

**TALLER DE ENCUENTRO  
EL FUTURO DEL PROYECTO  
DE DESARROLLO MUNICIPAL DE HONDURAS**

**15 DE JULIO 1994**

**FORMULARIO**

**TIPO DE INSTITUCION:** \_\_\_\_\_

**CATEGORIA DEL CARGO:** \_\_\_\_\_

**1. CUALES SON LOS PROBLEMAS MAS CRITICOS QUE ENFRENTA HONDURAS EN CUANTO AL DESARROLLO MUNICIPAL Y LA PARTICIPACION LOCAL ?**

- 1.
- 2.
- 3.

**2. FAVOR DE APUNTAR, PARA CADA TEMA, SUS RECOMENDACIONES MAS IMPORTANTES DE LO QUE DEBE HACER EL PROYECTO ENTRE AHORA Y SEPTIEMBRE DE 1997. SE PUEDE INCLUIR RECOMENDACIONES QUE PODRIAN SER IMPLEMENTADAS POR SU ENTIDAD, POR LA AID, O POR OTRO INTERESADO.**

**TEMA A: FORTALECIMIENTO DE LA CAPACIDAD OPERATIVA DE LAS MUNICIPALIDADES**

- 1.
- 2.
- 3.

**TEMA B: MEJORAMIENTO DE LA PARTICIPACION DE LA POBLACION EN EL PROCESO LOCAL DEMOCRATICO**

- 1.
- 2.
- 3.

TEMA C: FORTALECIMIENTO Y UTILIZACION DE ORGANIZACIONES INTERMEDIAS ENTRE LAS MUNICIPALIDADES Y EL GOBIERNO CENTRAL

1.

2.

3.

TEMA D: PROMOCION DE LEGISLACION Y POLITICAS NACIONALES PARA FORTALECER LAS MUNICIPALIDADES Y LA PARTICIPACION LOCAL

1.

2.

3.

TEMA E: MANEJAR EL PROYECTO EN LA FORMA OPTIMA PARA LOGRAR LOS OBJETIVOS DEL PROYECTO

1.

2.

3.

**3. DE LAS RECOMENDACIONES QUE HIZO, FAVOR DE SELECCIONAR LAS CINCO MAS SOBRESALIENTES Y PONERLAS EN ORDEN DE PRIORIDAD, COMENZANDO CON LAS MAS IMPORTANTES QUE ES LA # 1.**

1.

2.

3.

4.

5.

**4. ¿ALGUN OTRO COMENTARIO QUE LE GUSTARIA HACER EN CUANTO AL PROYECTO DE DESARROLLO MUNICIPAL DE HONDURAS?**