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POPULATION REGISTRATION AND IDENTIFICATION IN KOSOVO

Operational Plan

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I. EXECUTIVE SUMMARY

In late September 1999 IFES sent a team of consultants to Kosovo to do an assessment which would result in the preparation of an operational plan for the establishment of a Civil Registry by the United Nations Interim Administration Mission in Kosovo (UNMIK). A time constraint was imposed on the registration exercise by the expressed intent of UNMIK to conduct elections in “early spring 2000”. As the team began defining the infrastructure required for a continuous Civil Registry there was a growing awareness that the time frame available was inadequate for creation of a full-blown civil registry system. As a result of this awareness the UNMIK Civil Registration branch modified the scope of the registry project. The goals of the “scaled down” registration exercise are to provide an ID card to all Kosovars aged 16 and above, to create a registration database which will be the basis for creating a voters list, and to use this as the first step toward creation of a civil registry.

In order to provide useful assistance toward the accomplishment of this goal the IFES team, with the consent of USAID, modified the scope of its project to the creation of an operation plan for this ID card / population registration project. During this transition, the IFES team has attempted to remain faithful to a central objective of identifying the basic requirements that the registration exercise must meet in order to provide a basis for the production of a voter list.

The registration project, even with its scaled down goals, faces significant legal, operational and technological challenges.

Legal Challenges

- A comprehensive legal framework is an essential component of the population registration project. UNMIK should establish a legal structure within the Civil Documents unit that will be able to provide an initial framework for the project and timely continuing advice.
- There must be competent and experienced legal personnel, both local and international, to work alongside the technical and other professionals responsible throughout the implementation of the population registration and identification program.
- The legal staff needs to have access to legal research materials, both written and on-line, to deal effectively with the myriad of important international law questions, including sensitive issues involving state sovereignty and human rights.
- There must be an identification and resolution of significant legal issues through the UNMIK legislative process. Key issues include the establishment of eligibility and evidentiary standards for population and voter registration, the accessibility and safeguarding of biometric and other personal information, and guarding against the creation of false identities.

Operational Challenges

- Inadequate time and effort has been devoted to development of a comprehensive logistical plan, including deployment of computers, registration eligibility determination process, definition of election information requirements, and ability to update data for change of names, residence, etc.
- A key component of the project is the transmission of data via telecommunication. However, insufficient planning has been done to establish telecommunications procedures and infrastructure, and to determine associated costs.
- The vendors have estimated the amount of time required to move applicants through the registration process, without doing prerequisite peak-demand analysis, time-motion evaluations, and workflow optimization.
- No projections concerning the time required for registration have taken into consideration the “inverse bell curve” which typically characterises public response to registration. In other words, the registration centres will likely encounter peak crowds on the first and last weeks of registration, with a lull somewhere in the middle of the registration period. This tendency can be countered somewhat with a strong civic education campaign, but as yet little planning has gone into such a campaign.

Technological Challenges

When used by experienced management as part of the solution to well-defined problems, computer technology can produce near-miraculous results. However, the expectations placed upon a technological solution to the Kosovo registration requirements are optimistic at best.

- One and a half million registration forms must be entered into the computer in a brief timeframe with a limited number of data capture workstations. IFES estimates that with the proposed 30 data entry workstations it will take a minimum of 34 weeks to record the data from all registration forms. Assuming a mid-November start date for the registration, this would put the data entry completion date sometime in late summer.
- It is anticipated that the system will be required to produce voter lists by polling station. However, due to rapidly changing street names there is not an established method for identifying registrants' addresses more precisely than at the local community level. An average local community consists of 8,000 residents – far too many to assign to a single polling station. In order to solve this problem a “grid system” has been proposed to be produced by KFOR, but questions have been raised as to whether the grid system will be completed in time to be useful for the registration.

Conclusions

It is the opinion of the IFES team that greater attention must be given to operational planning, and that the resources allocated to civic education and data capture must be increased significantly. Without this increase in planning and resource allocation the registration will not be completed in time for early spring, or even midsummer elections.

II. PREFACE

Introduction

The United Nations Interim Administration Mission in Kosovo (UNMIK) was established pursuant to United Nations Security Council Resolution 1244 of June 10, 1999, which authorized the Secretary-General to establish an international civil presence in Kosovo "with the assistance of relevant international organizations." One of those organizations is the Organization for Security and Cooperation in Europe (OSCE).

UNMIK is responsible for civil registration and identification projects as part of its overall civil administration function under Security Council Resolution 1244. By agreement, the OSCE is responsible for the establishment of a comprehensive voters' list as part of its role in organizing and supervising elections. In response to a request from UNMIK, the International Foundation for Election Systems (IFES) deployed a team to prepare an operational plan for UNMIK's civil registration and identification project. A related arrangement between OSCE and IFES addressed the voter registry issue. In effect, therefore, IFES has acted as a link between UNMIK and the OSCE in the related areas of voters' lists, identification of the population of Kosovo, and civil registries.

It had been the understanding of IFES that it would present to UNMIK an operational plan for a full-blown civil registry program. In the course of our discussions, however, it became clear that UNMIK's immediate concern was to implement a program that would identify the population of Kosovo. UNMIK is still interested in the civil registry concept, but has decided that this more ambitious undertaking must await the conclusion of the more pressing identification program.

Our understanding of what constitutes the UNMIK Plan and our conclusions with respect to it are based upon numerous meetings between and among members of the IFES Team, UNMIK, UNMIK vendors and others between September 29th through the present. It is fair to say that a lack of common understanding regarding the use of terms, such as "civil register" and "civil registry", may have contributed to a less than perfect understanding among the various participants as to the scope and timing of the project. See Glossary, below. Moreover, it is important to note that this current UNMIK Plan is the still-incomplete product of an ongoing process in which IFES, UNMIK, OSCE, the Council of Europe, SAGEM, BIS and others have interacted on a number of subjects that include the following:

- civil registers and registries;
- population registration;
- issuance of identification cards; and
- voters lists.

Objectives of UNMIK Registration Plan

It is our understanding that there are three main objectives of UNMIK in the broad area of civil registration and identification. There appears to be general agreement that there be a staged approach to the accomplishment of these goals. They are therefore listed in presumed order of importance to UNMIK.

- First, the program is designed to identify the population currently living in Kosovo, to provide identity cards to all Kosovars aged 16 and above and to maintain the information on each registrant in a central database administered by UNMIK.
- Second, the data collected and compiled would be used to create a voters' list, and the identity card used for the upcoming municipal elections in Kosovo.
- Third, the data collected would be the first step in the creation of a civil registry that UNMIK would eventually turn over to Kosovo.

Given the allocation of responsibilities, the OSCE is most interested in the second objective.

Glossary of Key Terms

Civil Registration

Civil registration is a *continuous* process that gathers, screens, documents, files, secures, corrects, updates and certifies information on the occurrences of vital events as they relate to the civil status of individuals. It is characterized by the legal documents that it produces, such as birth, marriage and death certificates. A computerized civil registration system involves the electronic registration and updating of civil status information.

Civil Registration System

The public institution serving both general and individual interests by collecting, preserving, updating and certifying information on significant characteristics of individuals, and acts and events relating to their civil status. The concept of public institution here is intended to include the following: 1) the information itself; 2) its manifestations and uses; 3) the administrative infrastructure of offices, officials, methods, procedures and interrelationships; and 4) the legal framework of laws and regulations. The responsibility for the establishment and maintenance of the civil registration system in Kosovo is with UNMIK until such time as there is a political settlement.

Civil Registration Agency (also known as General Register Office or Central Register Office)

The lead body within the civil registration system that determines the degree of delegation of competencies and responsibilities to the subordinate levels. The overall responsibility for computerization should be assigned to such agency that will have the legal and administrative expertise for civil registration. In many countries this agency falls under the Electoral Tribunal or Central Election Commission. UNMIK has the responsibility to designate and/or establish this body.

Local Civil Registries

In a typical system, these offices are responsible for certifying and/or registering civil status events, such as birth, death and marriage that take place in the area. In cases where the offices certify the event, they will usually also be responsible for issuing the certificate pertaining to such events.

Population Registration

Population registration should not be mistaken for *civil registration*. Population registration, unlike civil registration, is not continuous. While the information gathered from a population registration may be retained and ultimately used within the civil registration system, it is effectively a one-time event. In this respect, it is conceptually closer to a census. The objective of a population registration exercise is to gather certain information on the personal characteristics of individuals for specific purposes. For instance, UNMIK may want to conduct a population registration for the purposes of identifying the population of Kosovo, and issuing identification cards. The principal value to the OSCE of such an exercise would be the collection of information on individuals that is relevant to their eligibility to vote in elections to be supervised by the OSCE.

III. BACKGROUND

In October 1998, IFES participated in an assessment sponsored by the OSCE Office of Democratic Institutions and Human Rights (ODIHR) to review technical needs and challenges in conducting eventual elections in Kosovo. This assessment, part of the operations undertaken by the OSCE after the agreement between Yugoslav President Slobodan Milosevic and negotiator Richard Holbrooke, aimed to establish the quality of population and other registries for the province, and the extent to which the Kosovar Albanian population would participate in the public administration and electoral processes.

The long-standing boycott of Serb governmental structures by the Kosovar Albanian population (since 1990) has resulted in the serious degradation of public services and administration since then. Furthermore, the creation of a 'shadow' government and institutions by the Kosovar Albanians has added an additional level of complexity as informal political and civil authorities operated without sufficient resources or an internationally recognised mandate.

As a result, voter rolls and other population registries in Kosovo were plagued by serious issues of data integrity, an issue which was then exacerbated by the confiscation of refugees' identification documents by Serb border police during the recent exodus of ethnic Albanians from the province. With the cessation of hostilities in the Province and the rapid return of refugees to Kosovo, registration of citizens and voters will likely be the most complex issue in the reconstructed public administration and eventual elections.

The massive population movements which resulted from the conflict will require that civil and electoral planning include elements taking into account the issues of return, voter eligibility, and possibly out-of country voting. In the initial months of activity, 'real-world'

concerns and issues inherent in the refugee populations must be incorporated into strategic electoral planning.

Informal reports from UNHCR, the Red Cross and the remaining OSCE/KVM mission members estimated that up to 1,000,000 refugees fled the conflict into Macedonia, Albania and Montenegro. In addition, there are and will remain a significant number of internally displaced people in Kosovo itself.

During the original IFES technical assessment to Kosovo in October 1998, it was clear that issues of data integrity and quality would necessitate a full, new voter registration. Events surrounding the conflict and air strikes have only reinforced that recommendation as the scope of the destruction of personal identity documents and original registries becomes clear.

The June 1999 IFES technical assessment to Kosovo confirmed that between 60% and 80% of refugees had personal documentation confiscated upon their departure from Kosovo to Macedonia and Albania, and that between 40% and 60% of original records were destroyed or stolen.

The much-publicized partnership between UNHCR and Microsoft to register refugees became mired in technical and political difficulties and resulted in only 80,000 registered individuals, without any permanent ID cards being handed out.

IV. REGISTRATION AND IDENTIFICATION OPERATIONS

Legal and Regulatory Development

Introduction

As noted in the Preface, UNMIK has effectively adopted a staged approach to accomplishing its three principal objectives in the area of registration and identification. The most ambitious of the three, the establishment of a civil registration system, is neither UNMIK's nor OSCE's immediate concern. Nonetheless, actions supporting the issuance of ID cards and the creation of a voters' list, will have an effect on UNMIK's ability to accomplish its later objective with respect to a civil registration system.

The United Nations has recognized that any system of civil registration should spring from, and be supported by, a comprehensive law that is not over-regulated.¹ It must follow, therefore, that an essential element of an UNMIK civil registration and identification project would be the establishment of a legal framework in which to conduct it. This legal framework would include the following:

1. a description of UNMIK's legal authority;
2. a clear articulation of its objectives;
3. a description of the project's scope;

¹ See *Handbook on Civil Registration and Vital Statistics Systems: Preparation of a Legal Framework*, Studies in Methods, Series F, No. 71, at 2 (United Nations Publication, Sales No. E98.XVII.7, 1998).

4. the creation and/or designation of the legal and administrative structures needed to conduct the project; and
5. the identification and resolution of fundamental legal and policy questions.

Given the political and legal environment in which UNMIK must work, the legal framework will necessarily implicate issues of an exceedingly sensitive and complex nature. Throughout the course of the project, questions are certain to arise that relate to state sovereignty, human rights, privacy, and criminal and civil laws. Sources of international, national and sub-national law will have to be consulted and analyzed. UNMIK's legislative and other acts with respect to the civil registration and identification project will be subject to great scrutiny.

Since the initial stages of the UNMIK Plan is less ambitious than a full-blown civil registry, a suitable legal framework need not be overly complex. Nonetheless, a scaled-down plan for a population register also implicates serious issues of international law, including human rights and sovereignty. At a minimum, it should address the five points stated above.

UNMIK's Legal Authority

- UNMIK derives its authority in the area of civil registration and related activities from the United Nations Security Council Resolution 1244 (1999) of June 10, 1999.
- UNMIK Regulation 1991/1 provides that all executive and legislative authority with respect to Kosovo, including the administration of the judiciary, is vested in UNMIK and exercised by the Special Representative of the Secretary-General (SRSG) (S.1.1).
- UNMIK's legislative acts are in the form of regulations approved and signed by the SRSG, and enter into force on the date specified.
- Given this scheme, the basic legal framework for the civil registration and identification project will be in the form of regulations.
- This basic legal framework would need to be supplemented by other types of legislative and executive acts, such as administrative directions, orders and decrees. Assuming the UNMIK legislation is sufficiently comprehensive, appropriate personnel below the level of SRSG could provide additional detail and fill in gaps. It should be noted, in this regard, that the UNMIK legal system is in the early stages of its development.

Present Legal Framework for Population Registration and Identification

- There is no written legal framework at present for the UNMIK Civil Registration and Identification project, although UNMIK has taken some very preliminary steps in this direction.
- There is a tension between the considerable time needed to develop a comprehensive legal framework for a civil registry project and UNMIK's need to begin the project before the complete structure can be built. Based on this problem, IFES earlier identified a number of critical political/legal issues that must be resolved within the first month of the population registration design process with the understanding that other essential issues

could be addressed as the full process continues. They were presented to UNMIK's Civil Documents' officials, and included the following:

- Use of the pre-existing national ID number or the creation of new ID number;
- The problem regarding the confusion from the changing of street and other geographical names;
- Languages and alphabets to be used on the new ID cards;
- Criteria ("Eligibility") for inclusion in the population registration process, such as age, current and past residency in Kosovo, cut-off dates, citizenship, nationality, etc.;
- Mandatory versus voluntary registration;
- Out-of-area provisions;
- Eligibility criteria for voting within Kosovo as a whole and for voting in a specific election held for less than the whole of Kosovo, e.g., municipal elections; and
- Accessibility/Safeguarding of Information

UNMIK's Internal Legislative Process

- There is some question as to the precise steps leading to the issuance of a regulation signed and approved by the SRSG, including the extent of the consultation with the United Nations in New York.
- In August, the SRSG established a special Advisory Group of 19 legal experts from around Kosovo to work in consultation with UNMIK on different areas of the law applicable in Kosovo. There is some question, however, as to the manner in which the group consults, including the stage at which it enters the process.
- To date, there have been a number of preliminary decisions made within UNMIK regarding certain of the political/legal issues noted above, and a request to responsible individuals within UNMIK to produce draft regulations based on those decisions.

Significant Legal Issues to be Considered with Respect to the Population Registration

Legal implications are present in many of the points addressed throughout other sections of this document. The issues described below are only a sampling of those that need to be considered, and are not intended to be inclusive. Indeed it would be the responsibility of the Civil Documents unit's legal staff to identify legal issues and to propose legal resolutions throughout the process. *See IFES Recommendations for Legal Structure and Resources within the Civil Documents Unit*, below.

The Registration Process

- Clear and concise rules governing the actual registration process must be incorporated into the legal framework at an early stage.
- The legal provisions should be easily understood by those responsible for implementation, by the registration teams, and by the applicants.
- Despite the likelihood of liberal eligibility and evidentiary requirements, *see below*, it is understood that there will be disputes and challenges over decisions of the registration teams. Therefore, the legal framework must provide for mechanisms to deal with such disputes and challenges.

An expanded treatment of this subject can be found under "Registration Supervision and Adjudication."

The False Identity Problem

We understand UNMIK intends to use liberal eligibility criteria and relaxed evidentiary standards in order to establish the identity of, and to provide identification cards to, as many current inhabitants of Kosovo as possible.

While this approach is understandable in light of the need to identify the current population of Kosovo, it presents some potential risks. The most serious is that an individual may be able to create a false identity, and to obtain an identity card with a photograph and fingerprint confirming the false identity.

If the value of an ID card is limited to the ability to obtain a few necessary documents in order to function normally in Kosovo for a limited period of time, the false identity problem presents fewer risks. However, if the ID card eventually forms the basis for obtaining important additional documents, its value to criminals and terrorists would increase. UNMIK must institute sufficient safeguards to protect the population registration in Kosovo from such unintended and damaging consequences. It is important for all the people of Kosovo that proof of their identities are genuine and are perceived as such by those outside of Kosovo.

As a practical matter, there is a tension between the goals of identifying the entire population living within Kosovo at a given time and providing ID cards that are sufficiently reliable to be the basis for obtaining further documents.

It is recommended that UNMIK at least consider the possibility of legislating different eligibility levels, and reflecting those differing levels on the ID cards issued.

Eligibility Criteria for Population Registration

UNMIK wants to register as many individuals within Kosovo as possible. Still there must be minimal standards. Presumably, not everyone present in Kosovo during the registration period will qualify for an identification card. Precisely what constitutes eligibility must be legislated by UNMIK, and this must be done early in the process.

Evidentiary Questions

As important as setting the eligibility criteria is determining what documentation will be required to prove identity. It has been generally agreed that UNMIK will adopt a weighted system of documentation that will be used during the registration process. For instance, a Yugoslav passport would be worth more as evidence than a secondary school diploma.

It is anticipated, however, that many people will have little or no documentation. There is general agreement that a procedure involving witnesses will be employed in such cases. To minimize abuse, there will need to be clear rules on the qualifications of witnesses, and guidelines on the exercise of discretion by the registration team in the first instance. Disputes could be taken to the next level under the rules developed for adjudication.

Out-of-Kosovo Registration

UNMIK presently intends to do a voluntary population registration for Kosovars outside of Kosovo, and to issue them ID cards. If the plan goes forward, it is exceedingly important to set meaningful and realistic eligibility criteria for this group.

It is recommended that UNMIK reflect on the objectives of the population registration for those outside of Kosovo, as this process presents both legal and technical problems that could be avoided.

- It is the issuance of the ID card, rather than the collection of information, that would seem to present the greatest potential problem.
- What, for instance, are the objectives of issuing an ID card to those outside Kosovo?
- One use, of course, would be for voting in upcoming elections. If voting is the only objective of an ID card, however, it raises the question of whether or not it is worth issuing the cards to eligible voters outside of Kosovo? As experience has shown, it is possible to determine voting eligibility for refugees and others absent from their residences without creating a document of the type envisioned by UNMIK.
- What are the implications of obtaining a Kosovo ID card for citizens of Yugoslavia who now, or in the future may, reside in Serbia? It has been stated that Yugoslav law makes it illegal to have two ID cards. The law needs to be checked to establish if this is indeed the case. If it is, the legal consequences need to be considered. If UNMIK makes obtaining the card a pre-condition of voting, and an otherwise eligible Kosovar voter exposes himself or herself to prosecution by obtaining a card, it would be an undesirable result.

Voter Eligibility

The setting of eligibility criteria for voting would normally fall within the jurisdiction of the authority that organizes and supervises elections, such as a Central Election Commission (CEC). In Kosovo, the OSCE will organize and supervise the elections, and will likely create a CEC that would be responsible for establishing all the rules and regulations regarding the elections. (Presumably the Special Representative would delegate this authority to the OSCE in view of the OSCE's unique supervisory role.)

The rules must provide eligibility criteria for voting within Kosovo as a whole, and for voting in a specific election held for less than the whole of Kosovo such as a municipality. We understand that UNMIK intends to collect sufficient data during population registration to permit OSCE to establish these voting criteria.

Accessibility and Safeguarding of Information

This is a very complicated area, and a very important one. There are particular concerns with the collection, storage and use of biometrical information.

Legislation will be necessary in advance of the commencement of the actual collection of information. It is imperative that the privacy of individuals be protected, and that strict safeguards be put in place to prevent unauthorized use.

The Council of Europe has a particular interest in this area, and has expressed its willingness to provide assistance.

Recommended Approaches to Issuance of UNMIK Regulations on Population Registration

As noted above, time demands will require that the legal framework be added to as the population registration progresses. In other words, the first UNMIK regulation on this subject will not be the last. For the important purposes of order and transparency, UNMIK could adopt one of the following two approaches, or some combination thereof:

Approach #1

- "reserve" an available regulation number for civil and/or population registration, e.g., "UNMIK Regulation No. 1999/20", and so designate the first regulation;
- the first regulation would serve as the fundamental UNMIK law in this area., describing UNMIK's authority, clearly articulating the objectives and scope of UNMIK's activity, creating and/or designating the legal and administrative structures needed to conduct the activity, and addressing as many of the substantive issues as possible at the outset;
- subsequent regulations on issues not addressed at the outset could be given the same number, and be further designated by the letters "A", "B", and their specific subject matter.

Approach #2

- issue an UNMIK regulation for civil and/or population registration that covers the same comprehensive ground as the first regulation in Approach #1, above; and
- issue further legal rules flowing from the fundamental legislation in the form of administrative directions, orders and decrees or whatever other regulatory mechanisms UNMIK may develop and incorporate into its legal system.

Recommendations for Legal Structure and Resources within the Civil Documents Unit

While a solid legal framework is essential to the conduct of the population registration, it is impossible to identify and resolve in advance all the difficult and sensitive legal issues likely to arise during the process. It is important, therefore, to create a legal structure within the Civil Documents' unit at UNMIK to work with the technical and other professionals in-house. In this way, the Director of the unit will be better able to make specific recommendations on legal requirements, including proposed regulations, to the appropriate UNMIK legal officials.

The recommended legal structure should provide for the following:

- An international legal advisor or advisors to work within the Civil Documents' unit alongside the technical and operational professionals;
- Local legal consultants and/or employees retained by the Civil Documents' unit; and
- A working group of international and local legal experts to consider legislative and other solutions to legal questions (For purposes of efficiency, it is essential that the designee of the Director of Civil Documents' chair the working group and maintain control over it.)

Moreover, the Civil Documents unit should have a basic legal library that would include all relevant Yugoslav and Kosovo laws, in the original and in translation, as well as volumes on international law, including international human rights law. Subscription to an on-line legal research service is also recommended.

Operations and Systems Concepts

Introduction

The IFES team undertook the Kosovo Civil Register Operational Plan, by gathering and evaluating pertinent information in order to develop, as an independent entity, a work plan for the design and implementation of the envisioned Kosovo Civil Registration system. The plan would comply with the expectations of UNMIK, and OSCE officials needs for an electoral process. The IFES team reviewed all available reports and documents; met with knowledgeable persons from the local population, UNMIK and OSCE; and, in general, familiarized ourselves with the current problems and issues regarding civil registration in Kosovo.

Our evaluation of the envisioned Kosovo Population Registration System, has been geared to elaborate a plan that would comply with the Kosovo requirements to register the population over 16 years of age, accurately and efficiently. As well as to conceive the management of the basic civil register and electoral information in a common database and, incorporated the ability to handle fingerprint and photo imaging technologies for identification card issuing.

For an evaluation such as ours, that looks at all of the system angles and how they apply to the Kosovo future electoral process, it can be argued that evaluating hardware and system concepts is more important than the detailed performance of the system at registration time. Nevertheless, UNMIK's main focus should be on evaluating the manpower ability to comply with requirements, security, and infrastructure capability.

Statement of Situation

UNMIK needs to establish a trustworthy Population Registration and Identification System to identify the civil population, many of whom have lost all means of identification. In so doing, it must create a population database that would incorporate the necessary safeguards for the upcoming elections. Poor controls and lack of trust and electoral integrity could damage future electoral processes. Therefore, it is of the utmost importance that the registration process be carried out with all necessary legal, technical and administrative safeguards.

Any conceptual design for the Kosovo Civil Registration will have to include as a first phase, the development of the Population Registration process. It is generally agreed that a population registration process should take place for pre-qualified applicants over 16 years of age. The process would incorporate state of the art computer technology, such as: electronic photo imaging; identification card production; fingerprint capturing and matching; and the creation of a central database repository.

UNMIK is contemplating that the new registration and identification system could include three phases.

- The first of which will be the Population Registration System, to include the following functions:
 - Registration and data collection
 - Database creation and update
 - National identification card production
 - Fingerprint management
 - Polling place distribution for elections
 - Voter list management
 - Basic information for future Civil Register implementation
- Phase two will include: Creation of voters' lists
- Phase three will include: Civil Register implementation

Kosovo Civil Register Description

Previous Operation of the Civil Register

Kosovo Civil Register administrators could be divided into two general groups: those located at the Municipalities or Local Communities; and those at the Central Office. Municipality or Local Communities offices offer service to the individuals who come in to the Local Registration Offices. This includes a total of 29 municipalities, and approximately 215 Local Communities located throughout the country. They constitute the primary contact with the registration of vital events, and are the main source of input for updating information in the identification process. It is at this level that new voters are registered and the initial vital registration information is gathered. The Central Office serves those users who utilize the services and information offered by the department, related to the Civil Register database. It is at the Central Office site that ID cards are prepared and issued. The Central Office site must maintain the veracity and strict custody of all population information, whether in paper or electronic storage.

Current Operation of the Civil Register

At the present time, many local offices still provide services to users and continue to collect vital information by using old preprinted forms. Services include local photo-ID card preparation, registration of newborn and other vital events. Unlike the past, none of the resulting information from new inscriptions and changes is being compiled at a central office, since the central office has been destroyed.

Envisioned Operation of the Civil Register

The composition of the Civil Register included a centralized hierarchical structure consisting of approximately 215 local registration offices, 29 Municipalities and seven regional offices. Were this structure to remain in place, it could very well be the what is necessary for the continuous registration of changes of address, changes of names, posting of new voter transactions, changes and modification to photos, status information, and other events related to electoral registration. The civil registration process would also benefit by offering the

population the ability to register their vital events in the local registration office of the Local Community where they reside, thus maintaining the control and updated information in a database repository at the central site accomplished via online data entry and/or batch computer processing.

The current situation has led to serious problems with respect to population identification and voter lists. There are reports of close to 40% of the Civil Register files having been lost or destroyed. Current local identifications only bring doubt and distrust to the identification process in Kosovo. The need for new means of identification and for an electoral register, required for near future elections, has led UNMIK to promote a new population registration process for residents of Kosovo. It has been envisioned that the registration will utilize the latest technologies, as well as a new and modern positive identification techniques. It is hoped that this will ensure accuracy and trust, as well as the basis for a future Civil Registration system.

UNMIK's main goal is to acquire a trustworthy system that will bring forth:

- electronic electoral registration for Kosovars over 16 years of age
- positive biometrics identification of duplicates, via fingerprint identification technologies
- identification card issuance and distribution
- essential elements needed for electoral voting, polling stations distribution and voter list preparation
- a trustworthy and efficient identification system

Population Registration Operational Concept

Description of UNMIK's SAGEM/BIS project view

It is our understanding that UNMIK has divided the civil registration process in five geographical regions and 120² registration centers distributed within the Kosovo territory, and eight (8) for the registration of Kosovars abroad. Each registration center will be equipped with one laptop computer and biometric and photo capture equipment. It is envisioned that a registration form will be filled out by the registration applicant at the registration site. The applicant will then be processed, photographed and have his or her fingerprints captured. Registration documents will be routed to one of the five regional offices, where they will be input to the regional computers and sent to the Central Registration site. At the central site the bio data will be processed for duplicate matching and bio-data and demographic data integration. ID cards would be issued at the central site. We are not aware of the envisioned card distribution plan.

Each voter will be issued a card that will contain the photo, encrypted identification information and electronic fingerprint representation data. The registration and fingerprint data will be contained in a bar code located at the back of the ID-card.

² The number of centers was increased from 80 to 120, according to a memorandum from Dr. Conze, dated 7 of October 1999.

Concept

The Population Registration System implementation and operation approach is predicated on the specifications of the vendor (SAGEM/BIS) that has been working closely with UNMIK. The vendor's strategy has been geared towards a hands-on development of a working pilot project that will increase in capacity until it grows to a full-blown system. Although a pilot project has not been completed, some major components have been tested and proven in other jurisdictions. The concept is good and incorporates innovative ideas. Nevertheless, it is still at an early stage of development.

The envisioned system should incorporate the capability for near future growth to include three major phases:

- Population Registration and Identification;
- Voters Registration and Election Process; and
- Civil Register System

Phase-1 Population Registration and Identification. The conceptual process design has been conceived as one that will utilize:

- hi-tech photo taking and image storing;
- electronic fingerprint capturing on site;
- on site gathering and electronic capturing of applicant information; and
- ID-card preparation and issuing at central site.

The previous items will serve as the main input to a central database, composed of voters' registration data, electronic photo image, and electronic fingerprint image.

Phase-2 Voters Registration and Election Process. This incorporates the information needed for the prognosticated voting process. It contemplates a positive identification and verification process of the voter ID card, voter list preparation and polling places distribution.

Phase-3 Civil Register System. This incorporates the Civil Registration electronic process, at the municipality and local registration offices. It contemplates the electronic capture and continuous update of all vital population events.

Population distribution

Kosovo has been historically divided in seven (7) regions, twenty-nine (29) municipalities, and approximately two hundred and fifteen (215) local communities. The population of each local community consists of an average of approximately eight thousand people. There is a local registration office per local community. It might be useful to utilize that same structure for the envisioned registration process. As it stands, in the UNMIK rapid registration plan, such structure does not appear to have been taken into consideration, and a totally new structure is contemplated. The newly considered registration structure does not involve the participation of local registration offices and local registration officials who have a working knowledge of the continuous registration process. The continuity of such offices, personnel, and the continuous registration are issues that should to be considered and addressed.

The seven geographical/political regions in which Kosovo is divided, represent the basic element of the civil register system used for decades in Kosovo to record vital acts of the population³. Unless there are sound reasons against it, we recommend that the seven regions, their municipalities and local communities be used for registration purposes. For they will serve to give continuity to the civil register system and will enhance the ability to maintain and update the continuous registration changes of residence, name and addresses.

The use of the aforementioned geographical distribution of population will be of great help to the electoral process, including but not limited to: the continuous registration and updating of change of address transactions; polling places distribution; and central and municipality political distribution.

Operational Feasibility of Envisioned System

Technical Analysis

The current concept of the envisioned system appears sound. Nevertheless, after a thorough evaluation of the technical aspects, it is evident that the conceptual design could be enhanced to include substantial factors that should be considered important in a Population Registration system design.

We have to consider that most of the ideas encompassed in this project have been driven by a vendor that has dedicated a considerable amount of time to the project and has made some progress, but lacks some knowledge on Civil Registration operations.

As we evaluated the system, a UNMIK staff group was performing a similar evaluation and systems plan process. We had the opportunity to meet with the group, work together and collaborate on substantial issues. The combined meetings resulted in great benefit for the understanding of the project integration with other required future systems. It seems that such participation was beneficial to the project and eliminated duplication of efforts and investment. For future planning, all groups should be linked to one working committee. The sharing of resources used for the future voter and civil registration planning purposes, as well as the use and sharing of common information, could result in benefit to UNMIK, other participating institutions, and ultimately the main client, Kosovo.

Phases

The envisioned three phase project, needed for the total Civil Registration in Kosovo, has been initiated by a population registration process that will include basic elements as to comply with the minimum data structures needed in the second and third phases. The competent authorities have not addressed the second and third phase mode of operation at this time.

Population Registration System

³ As defined by the United Nations Organization, Studies in Methods Series F, No. 73: "the continuous, permanent, compulsory recording of the occurrence and characteristics of vital events".

The prognosticated Population Registration System includes the population registration and identification process. The basic concept of the population registration process is the establishment of local and remote registration centers in key registration locations, where the population registration takes place. Registration is performed by registration teams of individuals that would carry with them a portable notebook computer, an electronic camera connected to the computer, a scanner and a fingerprint capturing device.

Although a good idea, that should work, it lacks adequate logistics planning, design, and equipment or prototype field test. Management main concern should be the recruitment and training of an adequate number of suitable personnel to conduct the population registration process, and operate the sophisticated equipment sent to the field. Sufficient capable personnel to be trained on the system and operate a computer connected to the electronic video camera, a scanner and a fingerprint device could be very difficult to find.

Logistic and operational issues regarding the registration eligibility process, prior to the registration of the applicant have to be defined, in order for the vendor to address the issues.

Administrative issues about whether the applicants can register in any registration center within his Region, Municipality and/or Local Communities, and a situation where more applicants than contemplated will show up to register at a given registration office, will also need to be considered.

Time and motion evaluations have to be performed in order to estimate constraints, registration capacity, peak registration periods and work flow at the registration center. This evaluation is important, especially when we consider that an applicant needs to present positive evidence of registration eligibility in order to be registered, including the possibility of granting registration eligibility by presenting two witnesses. Such a process could become a lengthy and tedious one, that could affect the workflow at the registration center, if not considered fully.

The continuous registration subject should be addressed in order to have a clear understanding of possible solutions to future events like: registration of refugees coming back to Kosovo after the registration period; registration of applicants living abroad; possible changes of residence and/or name and address; and re-issue of lost or damaged Id-Cards.

Projected Volumes

Estimates are that 1.4 million applicants have to be registered in an approximate time of three months after a planned start date of November 1, 1999. At least the same amount of data records, fingerprints and photo images will need to be transported from the local registration office to the central office, to store a current and previous record of all images recorded, converted and stored on the image server disk at the central site. It is recommended that the means of transporting such data should be on unreadable media such as CD, to secure information from unauthorized data manipulation.

The issue of continuous update and registration

As part of the conceptual design, a permanent and continuous registration center for each Municipality should be contemplated. It is also our understanding that the project design

should consider a more detailed logistic evaluation regarding the possibility of establishing permanent registration centers in the existing local registration offices, located in the Local Communities. Such offices are staffed with local personnel that understand the registration operation and also have dominion and expertise over the registration process and local issues, which could be of great benefit to the project.

Voter information management

Other issues concerning day to day voter record-keeping operations are not discussed, such as: voter information management, registered voter reports and lists, voter history processing, voter changes of name and address recording, and voter purge processing. Further definition has to be presented regarding voters processing, absentee vote processing, and polling place information keeping, distribution and assignment.

Since a considerable investment is needed for the population registration process, particular attention should be taken for the integration or linking of the population registration process with the Electoral and Civil Register systems.

Incorporation of vital information for the elections process

The issue of basic electoral geographic information, that will affect the election process, will have to be addressed before a final registration database is designed and implemented. If municipal elections are contemplated as a first step of the election plan, basic geographical electoral designation and distribution should be incorporated at the time of registration, in order to establish polling places, and the electoral and political distribution of population.

Technical Operational Issues

Operational issues that will affect the operation and workflow of the population registration in the field and central office should be taken into consideration in the vendor's implementation plan. We have identified some operational issues that need to be revised and addressed.

1. An important issue to evaluate and define is when and how to use telecommunications, the cost involved, and the infrastructure needed.
2. UNMIK has been led to believe that all the equipment required at the registration centers could be interconnected via wireless or other means of satellite communications. It is possible to install such a system but it is very expensive and vulnerable to the environment.
3. The general database conceptual design for the population registration requirements needs further work and evaluation. It does not contemplate the use of separate servers for data and images, and if the same server is to be used, it does not address the issues of indexing, interface management and performance. It does not address the issue of images on-line and off-line storage, number of active images required (at least, before and after), minimum access speed requirements, not to mention storage, retrieval and management of fingerprint "Minutiae" data and indexes.

Equipment needed for registration

A statistical distribution plan for equipment, needed for registration, has been an unresolved issue. The UNMIK registration plan has designated 120 laptop computer kits for registration in Kosovo and 8 for registration outside of Kosovo. The plan does not contemplate basic issues like site designation, volume of population per registration site, registration flow, time and motion analysis, and the estimated volume of registration applicants that will appear at registration sites, which will be affected by different types of terrain and/or climate conditions.

We understand that UNMIK's approval of our recommendation to increment the registration to 120 will make a significant difference in the operation. However we have also recommended that at least 120 permanent sites should be installed at local registration offices identified as qualified locations within the approximately 215 local communities, and additional 60 mobile registration units should also be deployed to remote locations or to areas where additional registration units are needed. As the use of registration units decreases inside the Kosovo territory, the mobile registration units could be re-deployed to register Kosovars abroad.

Our projections have brought to our attention that with 180 registration units; registration could be performed in four calendar months under the best weather conditions. Adverse weather conditions during the winter months may effect the numbers of people presenting themselves for registration operations, and an operational plan should accommodate this. No statistical calculations have been developed concerning registration of Kosovars abroad, at this moment.

A possible fault in the Phase-1 system design is that it does not consider a plan for immediate replacements of computers or individual components in case of break-downs or malfunctions during field work. Most of all, it does not take into consideration important technical aspects such as:

- integration of the computer components, and electrical power requirements;
- the need for a control environment, like lights for picture taking, handling and bouncing around a computer that is very fragile; and
- cost benefit evaluation of capital investment.

A more detailed logistic evaluation is also necessary in order to assess the difficulty that mobile registration units may encounter changing locations during poor winter weather conditions.

Conclusion

The Population Registration project is conceptually solid, it encompasses state of the art technologies that will enhance the registration operation to a point that, when completed, will guarantee a technically trustworthy system. Nevertheless, it needs to be enhanced with essential issues that are not included and will need to be addressed. The implementation of a Population Registration should be a joint effort between the Vendor, and the logistic and strategic planners. A detailed development design, a Critical Path Method (CPM) and a periodically updated Gant Chart, should be the basis for an ongoing feasibility study. Such a

Feasibility Study should be evaluated and modified periodically, by incorporating the results of the technical, logistic and strategic evaluation findings, until a working solution is found. The best system will not work if one does not evaluate, plan and take into consideration these results in determining:

- available capable human resources,
- education and training of personnel,
- available infrastructure and facilities,
- time and motion studies,
- costs,
- and other handicaps.

A conceptual design of the registration and card production process has been prepared and presented to UNMIK by the IFES consultants. Also included in the appendixes are: system conceptual flowchart, statistical analysis of vital planning information, suggestions for system performance requirements, and a major decisions checklist. (APPENDIX A - G)

Selecting Appropriate Technology

Database Development and Technology Integration

Assigning a Unique Identification Number

After much discussion a consensus was reached among members of the various planning teams that the ID number which will be printed on the ID cards, and which will uniquely identify each registrant in the database, will follow the format of the traditional Yugoslav national ID number. This number has been issued by every state in the former Yugoslavia, and to the best of our knowledge does not have any negative political implications.

The number is identified in Serbian as JMBG, or *Jedinstveni Maticne Broj Gradzana*, and in Albanian as NAUQ, or *Numni Amzë Unik ti Qztetarëve*. The number is composed of 13 digits described in the following table.

Digit 1-7	Date of birth in format dd/mm/yyyy. Three digits are used for year to distinguish between centuries. For example, a birthdate of 4 November 1959 would be represented as 0411959.
Digit 8-9	The issuing authority. In Kosovo this refers to one of the 7 counties, number 71-77.
Digit 10-12	Unique serial number assigned to distinguish between all persons born on same date who receive card from the same issuing authority. This number also distinguishes between male and female. Males are issued a number between 001 and 499, females are issued a number between 500 and 999.
Digit 13	Check digit. This digit is calculated using a formula provided by the ministry of the interior. A visual basic version of this function is provided in an appendix to this report.

Database Structures Required for Support of Elections

In order to use the data from the SAGEM ID card project as the basis for a voter register, a number of questions must be added to those required for the ID card. Most, but not all of these questions were discussed in planning sessions with SAGEM, and have been added to the proposed registration form. The following tables of data which are required to serve as a basis for production of a voter register should serve as a guideline. A complete Entity Relationship Diagram is included as an appendix to this report.

Personal Identity

The base table for the database stores only that information which is required to uniquely identify each registrant.

Table Name: PersonalIdentity

UniqueID	Text	13	See preceding section "Assigning a Unique Identification Number"
Surname	Text	25	Last name of registrant
GivenName	Text	25	First name of registrant
BiometricIdentifier	Memo	0	This information (photo, fingerprint) should be stored in a separate table both to optimise storage space and to ensure privacy. See preceding section "Data Protection and Human Rights".

Documentation

A number of source documents have been identified which can be used for purposes of verifying the registrant's identity. It is important to store information about what documents were provided for the purpose of responding to future claims of fraud. By storing this information we can also produce reports showing what percentage of the population has access to which kinds of documents. This information should be stored in two tables. The first is used as a lookup table to ensure that the "document type" is always entered in a consistent manner. The second table lists the type of documentation provided by each registrant.

Table Name: DocumentationLookup

DocumentationID	Integer	2	Unique ID for each document type
DocumentationDescription	Text	25	Description
IssuedBy	Text	25	Issuing authority
PointsAllowed	Integer	2	If a point system is adopted requiring a certain number of points to prove identity, this field would be used to establish the number of points for this type of documentation

Values that have been identified for this lookup table, along with point values proposed by OSCE legal affairs follow:

Documentation	Issued By	Value (# of points)
Identity Card ID	Police	10
Passport	Police	10
Driving License	AutoMoto League	10
Military booklet	Military base	10
Birth Certificate	Municipal	2
Marriage Certificate	Municipal	2
Employment booklet	Self-governing Union	2
University booklet-index	University	2
Health booklet	Health Center	2
Primary school booklet	Primary School	2
Different membership booklet	Place of membership	2
Baptizing certificate	Church	2
Residence permit	Ministry of Foreign Affairs of other Countries	2
Work permit	Minister of Foreign Affairs of other Countries	2
Other documents from other Countries		2
Registration documents from Macedonia and Albania		2
Two witnesses – signed affidavit		

A link table is used to store the Unique ID of the registrant and the Documentation ID of each type of documentation provided.

Table Name: RegistrationVerification

DocumentationID	Integer	2	Identifies the type of documentation provided, as numbered in lookup table
UniqueID	Text	13	Unique ID of registrant

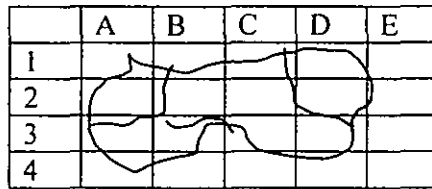
Geographical Location (Address)

Use of an address is problematic in post-war areas because street names are frequently changed to reflect new political sensitivities. This creates a particular difficulty when past residents use one name for a street, but current residents use a different name. It may be possible, and even desirable for future civil registry purposes to build a “street history” table which can help reconcile differences between the different names used. However, for the immediate purpose a “grid system” has been proposed which would divide the entire province into small rectangular areas defined by horizontal and vertical co-ordinates.

This proposal has both positive and negative arguments. On the one hand the grid system does provide clarity in identifying the approximate geographical location of a residence. The system is time-consuming to create, but fairly easy to use once it is defined.

On the other hand it is not clear who will produce the grid system, nor when it will be available for use. At one point there was an indication that KFOR was planning to produce such a grid; later there were indications that this might not be completed for several months.

For election purposes there is an additional problem with the grid approach in that a particular rectangle may consist of more than one electoral unit, and any electoral unit may fall within more than one rectangle on the grid. The following illustration clarifies this problem:



Although a grid follows a strict rectangular form, local community boundaries do not. If we take the above diagram to represent 4 local communities as they would appear on a grid we can see that the grid is inadequate to define electoral units. For example, if a residence was identified in the database as located at grid co-ordinate A3 it could fall within either of two local communities. Similarly, if a registrant could only identify the name of his/her local community, in every instance in this diagram, the house might fall within any of several grid rectangles.

To solve this problem of electoral units it is essential to collect not only the grid co-ordinates for a residence, but a hierarchy of other geographical information. The following tables will define a framework for establishing geographical boundaries. This framework can then be used both for defining the location of a residence and for establishing the boundaries of eligibility to vote for any particular election.

Kosovo is divided into seven administrative and political counties, each of which has both Albanian and Serbian names. These counties are further divided into 29 to 31 municipalities (depending on the source of information and the time of definition). The municipalities are divided into approximately 220 local communities, some of which are further divided into villages.

Table Name: County

CountyID	Integer	2	Number assigned by system to uniquely identify each county
AlbanianName	Text	25	Name to be used for Albanian lists
SerbName	Text	25	Name to be used for Serbian lists

Table Name: Municipality

MunicipalID	Integer	2	Number assigned by system to
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	r		uniquely identify each municipality
CountyID	Integer	2	Link to County table
AlbanianName	Text	25	Name to be used for Albanian lists
SerbianName	Text	25	Name to be used for Serbian lists

Table Name: LocalCommunity

CommunityID	Integer	2	Number assigned by system to uniquely identify each Local Community
MunicipalID	Integer	2	Link to Municipality table
CountyID	Integer	2	Link to County table
AlbanianName	Text	25	Name to be used for Albanian lists
SerbianName	Text	25	Name to be used for Serbian lists

The County, Municipality and Local Community for a registrant, combined with the grid coordinates, gives adequate granularity to determine the number of polling stations required, and to assign registrants to an appropriate polling station. Note that if the grid system is not available prior to beginning registration it will be necessary to implement an alternative method of further dividing Local Communities, possibly by street name. Once again it is worth noting that because of changing street names this will not be an easy process.

One additional table is required to make the link between the individual registrant and the geographical data. The PersonAddress table includes the Unique ID of the registrant, and links to all geographical tables.

Table Name: PersonAddress

UniqueID	Text	13	Link to Personal Identity table
StreetID	Long	4	Link to Street table
CommunityID	Integer	2	Link to LocalCommunity table
MunicipalID	Integer	2	Link to Municipality table
CountyID	Integer	2	Link to County table

Elections – Geographical Eligibility

Although the UNMIK Civil Registration office is not responsible for defining geographical boundaries for purposes of elections, it is necessary that the system used by the registration process be adaptable for use in planning and conducting elections. It is anticipated that the Election Department of OSCE will organise the first round of elections at the municipal level, however future elections will be held at Province-wide, County, Municipal, and possibly Local Community level. It is also critical that data be captured to allow assignment of polling

stations. The system described above will provide the ability to do these assignments if the grid system is adopted, otherwise a different solution should be sought for this problem.

Family Identity

To aid in establishing identity and to provide a basis for future civil registration, information should be captured on both parents of every registrant. This information should be stored in a Family Identity Table, as follows:

Table Name: FamilyIdentity

UniqueID	Text	13	Link to Personal Identity table
ParentGender	Text	1	Male or Female
ParentLastName	Text	25	
ParentFirstName	Text	25	
ParentDateOfBirth	Date	8	
ParentCountyOfBirth	Integer	2	Link to County table
ParentMunicipalityOfBirth	Integer	2	Link to Municipality table
ParentLocalCommunityOfBirth	Integer	2	Link to Local Community table
ParentVillageOfBirth	Text	18	
ParentCitizenship	Text	18	
ParentNationalIDNumber	Text	18	

Forms Design and Data Capture Technology

Type and Amount of Data

There has been some discussion in the planning for this registration as to the number of languages that should be printed on the card, and whether two alphabets should be required. Based upon international experience in Bosnia there has been concern expressed that at least two languages should be used, Albanian and Serbian. The IFES team has pressed for further exploration of this issue, and for an answer based on the widest possible discussion. There is no answer which will satisfy everyone, or which will protect UNMIK from accusations of bias. However, even since the revocation of autonomy all national ID cards have been printed in the Latin alphabet, and there does not seem to be a compelling reason to deviate from that precedent now. To develop a database in two languages is difficult; to develop it in two alphabets is exceedingly difficult.

Drawing once again on the Bosnia experience, there was overwhelming demand for a database that could produce lists in both Latin and Cyrillic alphabets. To do this required developing transliteration routines which could convert words between the 28 character extended Latin alphabet used by Bosniaks and Croats and the 24 character Cyrillic alphabet used by Serbs. Since no database available at the time could sort both alphabets, the development team was forced to develop new sort routines. This single requirement increased

the complexity of every data entry form, every data process, and every report, with a corresponding increase in development time and in the possibility of errors.

Our initial explorations of the requirements for transliteration between the 36 character Albanian alphabet and the 24 character Cyrillic alphabet have not uncovered a simple way to automate this process. There are many sounds in Albanian which do not have a corresponding phonetic representation in Cyrillic. We have been unable to discover or create a set of rules that would enable translating a word from Albanian to Cyrillic and back again to Albanian, with a guarantee that the word would not be changed in the double translation.

Because of the precedent of Latin alphabet ID cards during the past 10 years, and the inherent difficulty in translating between the two alphabets, we strongly recommend that all data be represented only in Latin. The questions on the registration forms should still be developed in both languages and both alphabets, but the forms should be completed and the data entered into the computer in Latin.

There is a further compelling reason in support of this approach. The Council of Europe team that participated in the brief planning discussions for this registration expressed concern about producing an ID card that would automatically identify the ethnicity of the bearer. If all Albanians (or all residents of Albanian-majority areas) have an ID card printed in Latin, and all Serbs (or all residents of Serb-majority areas) have an ID card printed in Cyrillic, the ID cards would at a glance identify the bearer with one ethnic group or the other.

Time / motion analysis of data capture

The first step in estimating the amount of time it will take to do data capture is to build a “perfect world” model, which assumes that there will be a steady queue of forms waiting to be processed at all times, and no down time for any data entry workstation. We will base our model on the following assumptions:

- It will take approximately 2 minutes to enter all the data on a single form (this assumption should be tested by asking several typists with abilities comparable to those we expect from temporary data entry staff to enter several sample forms).
- There will be 30 data entry workstations (6 each at 5 data capture sites, based on information from BIS/SAGEM at planning sessions)
- Data entry will be done in 2 shifts per day of 8 hours each
- The standard work week will be 6 days

Based upon these assumptions we produce the following “perfect world” model. For purposes of this model, we will make an adjustment based upon an industry-standard understanding that at each time increment a worker will only produce 80% of what is possible based upon the next smaller time increment. For instance, if a worker can complete one form in 2 minutes, it is not reasonable to expect that worker to do 30 forms per hour. Factors such as routine distraction, fatigue, need for breaks, etc. will reduce the throughput to 80% of what is possible, or 24 forms per hour. We apply this same adjustment factor at the hour, day, and week increments.

Minutes to process 1 form	2	
Forms per hour per workstation	24	60 minutes per hour divided by 2 minutes per form times 80% adjustment factor
Hours in work day	8	
Number of data entry workstations	30	
Number of forms per shift	4608	Forms per hour times 8 times 80% times number of data entry workstations
Number of shifts per day	2	
Forms per day	9216	
Work days per week	6	
Forms per work week	44237	Forms per day times work days per week times 80%

We can now calculate the number of weeks it takes to complete 1.5 million forms:

Forms to process	1,500,000
Weeks to enter all data	34

Note that this is a “perfect world” projection, which should be adjusted to compensate for worker sickness, holidays, variations in the number of registrants per day, etc. Even in this perfect world scenario, the amount of time required to do data capture exceeds the currently stated requirements, therefore it is recommended that more data entry workstations be added, or that a more efficient technology be adopted for completing the data capture. Three options are listed below.

Data Entry Options

Up until the mid-1990’s, the vast majority of data was entered into the computer using keyboards. Some specialized data such as questionnaires and academic exams were completed using scanners designed for this specific purpose, but most form-based data was keyed in. A number of techniques were developed for improving data entry speed. First was the careful study of forms design. It makes sense that a form that is difficult to read will be difficult to decipher for purposes of data entry, therefore a first goal of good form design is to produce a form which encourages neat handwriting. For this purpose, a series of boxes is usually used, and the person completing the form is requested to enter a single letter in each box.

T	H	I	S	I	S	E	A	S	I	E	R	T	O	R	E	A	D		
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	--	--

This is more difficult to read

A second technique is the use of check boxes on the form to indicate items which are multiple choice:

- Male
 Female

A number of principles have been developed which lead to good form design; coverage of these principles is beyond our scope. For the purposes of improving accuracy in the completion of 1.5 million forms it is well worth engaging a forms design specialist to aid in the creation of the registration form.

Visual Data Entry

With the proliferation of inexpensive image scanners a number of programs have been developed which speed data capture by displaying an image of the form on the top half of the screen. As the typist moves through the form, completing each field of data, the image is scrolled, allowing the typist to view the correct portion of the handwritten form while typing data on the bottom portion of the screen. This data entry technique can improve throughput by as much as 30%.

Optical Mark Recognition (OMR)

This technology involves the use of specially coded forms that provide space for shading in each character of data required. Optical scanners are used to read the forms, at maximum speeds of 8,000 forms per hour per scanner, producing a fixed-width ASCII data file which will be imported into Microsoft SQL Server relational database management system. Forms may be serially numbered, providing for controlled tracking of every step of form distribution, use, collection and storage. This serial numbering also allows integration with biometric data capture.

IFES has successfully employed OMR technology for registration projects in a number of large-scale data capture processes. In Ghana, six OMR scanners from NCSi were used to enter data from 10.5 million voters in 3 months. In Bosnia, DRS provided scanners that were used to capture data in both Latin and Cyrillic. This technology is a well-tested and proven tool for reducing data entry time and costs, while improving accuracy.

Intelligent Character Recognition (ICR)

ICR is a process that allows hand printed alphanumeric characters to be interpreted by the computer and converted to data. This process is accomplished by comparing a bitmap image of each character to a large sampling of thousands of actual hand printed characters, and making an "intelligent" decision as to what character the shape represents. Accuracy is increased dramatically through the use of database lookup tables and dictionary matching. This technique compares the results of each field to an existing database or dictionary. If the field does not match an acceptable value in the database the field is flagged for review. While ICR does not replace the requirement for typists, it can perform up to 95% of the data capture, freeing typists to focus on problematic forms.

ID Card Design and Security

Background: ID Card Printing Technology

People have been creating and using identification cards since before the turn of the century. Prior to the early 1990s, the most common method of producing an ID card was known as the composite or film-based method. This simply involved taking a person's photo, cutting it out, and laminating it to a card-sized piece of paper containing the person's name, ID number, and any other personal information.

Although the initial investment for a film-based system was relatively low, the time, labour, and individual cost per card was high. Plus, these cards were easily counterfeited. As a result, a new method called digital printing began to arise during the late 1980s and early 1990s.

In the past few years digital printing has become the technology of choice for the majority of organisations issuing identification cards. Digital ID Card Systems provide the following benefits over film-based card production:

- Fast production times (complete, full-colour photo ID cards can be printed in as little as 25 seconds)
- Low cost per card
- Single-step printing
- Unlimited card design possibilities
- Unlimited colour options
- Automatic magnetic stripe, bar code, proximity, or smart card options (for access control, time and attendance, etc.)
- Highly durable cards
- Difficult to counterfeit
- Faster, easier badge replacement
- Less labour-intensive

Digital ID card systems are made up of basically 4 components:

- The software allows you to create an ID card design and enter all the information you would like to appear on the ID card.
- The digital camera captures a person's photo and automatically loads it into the software.
- The digital printer takes all the text, photos, and images from the software and prints them directly onto a plastic ID card.
- And lastly, the computer is what ties everything together.

In a simple implementation all these components are assembled in a single location allowing immediate camera-to-print production. In a more complex implementation such as a population registration the components are distributed across multiple sites. In this registration the process of creating the ID card involves sending photo data along with fingerprint data and registration forms to a central location where they will be validated, then merged to produce batches of ID cards.

Two different technologies are used to print images and data on ID cards. These two technologies are *Direct-to-card printing* and *High Definition Printing*.

Direct-to-card printing is the traditional technology used by digital card printers to print images directly onto the surface of a plastic card. It does this by heating a special print ribbon beneath a thermal print-head, resulting in the transfer of colour from the ribbon to a blank card.

With High Definition Printing technology, the printer first prints images onto a special HDP film that is then fused into the surface of a blank card through heat and pressure. Because the graphics and text are printed on the underside of the HDP film, the image is "sandwiched" between the highly durable film and the card. This process results in exceptional print quality, extreme durability, and the ability to print on virtually any card size or type.

With either of these digital printing technologies, there are two shared print methods both used to actually do the printing. These print methods are *dye-sublimation* and *resin thermal transfer*.

Dye-sublimation produces smooth, continuous-tone images appropriate for photographic ID cards that require fairly high resolution. This process uses a dye-based ribbon roll that is partitioned by a number of consecutive colour panels. The panels are grouped in a repeating series of the three process colours -- Yellow, Magenta, and Cyan (YMC) -- along the entire length of the ribbon.

During printing, a print-head containing hundreds of thermal elements heats the dyes on the ribbon which then vaporise and diffuse into the surface of either the card (for direct-to-card printing) or the HDP film. A separate pass is made for each of the three colour panels on the ribbon. By combining the colours of each panel and by varying the heat used to transfer these colours, the printer is able to produce up to 16.7 million, photo-realistic colours.

Resin Thermal Transfer is used to print sharp black text and crisp bar codes which can be read by both infra-red and visible-light bar code scanners. Like dye-sublimation, this process uses the same thermal print-head to transfer colour from the ribbon roll to the card or the HDP film. The difference, however, is that solid dots of colour are transferred in the form of a resin-based ink which is fused to the surface of the card when heated. This produces very durable, single-colour images.

Many full-colour dye-sublimation ribbons also include both methods, allowing printing of both dye-sublimation and resin images on the same card.

The Kosovo ID Card

The ID Card for the Kosovo population registration should be designed for a minimum of 2 years use, and must incorporate a number of security features. It is recommended that the card be printed on standard bank-sized card masters using a plastic-based die sublimation process. The card should include security paper that prevents photocopying. In addition, the card should include features which prevent alteration of the data printed on the card.

Information to be printed on the card includes:

- Unique ID Number (JMBG)
- Name
- Date of Birth
- Place of Birth
- Gender
- Serial # of card (used to track card production and distribution).
- Photo

In addition the card includes 2 barcodes. The first is a 1-dimensional barcode which contains the serial # of the card. The second is a 2-dimensional barcode containing fingerprint data. It is also recommended that geographical location (County, Municipality, Local Community, Village) be included in the 2-dimensional barcode to enable local authorities to assist registrants who have difficulty determining which polling station they have been assigned to.

Monitoring the Process

In order to make management decisions impacting both the registration process and elections planning it is critical that the registration process be monitored. This monitoring should include a number of procedural safeguards to ensure adherence to the legal framework. In addition to these, the following reports should be produced on a regular basis to keep both UN and OSCE management apprised on the progress of registration.

Registration Progress (weekly)

Data Capture Progress Report (weekly)

The Registration Progress Report should indicate by County, Region, Municipality and Local Community the number of registrants per week, with cumulative totals, and percentage of anticipated total registration. The Data Capture Progress Report should indicate the same for the number of registration forms that have been entered into the computer.

These reports are critical for a number of departments whose project timelines are dependent upon the progress of the registration. Any failure to meet projected deadlines can radically alter the cost of the registration exercise. Not only do personnel costs continue to rise with each missed deadline, but other branches of UNMIK must plan activities, provide staff and equipment, conduct training and civic education campaigns, all of which are dependent on the anticipated completion date of the registration.

These reports will also be useful in determining population density which is required for allocation of polling stations.

Documentation Type Summary (monthly)

This report will indicate for each of the types of acceptable documentation (see table specification for DocumentationTypeLookup), the number of registrants from each municipality using this type of documentation to verify ID. This report can be used to watch for patterns which may indicate forgery of certain types of documentation, or conversely to document the legitimacy of the registration exercise.

Documents Missing Report (daily at each data capture site)

It is assumed that each batch of documents sent from the registration site to the central data capture site(s) will have a one-to-one correlation with the photo and fingerprint data that is transmitted to the site. In other words, there should be no registration form that does not have a corresponding photo and a corresponding set of fingerprints. Likewise there should be no photo without a corresponding set of fingerprints and registration form. In reality it is likely that some paper may be misplaced, and or some data may be lost in transmission. A daily report should be produced at each data capture site to identify any missing registration forms or data. This report should be sent to the appropriate registration centre so an attempt can be made to locate the missing forms or recapture photos or fingerprints.

Registrants Found in ICRC Missing / Deceased Lists

An effort should be made to compare the population register with the list of missing and deceased as identified by International Committee of Red Cross. This comparison is complicated due to potential for misspelled names, missing ID numbers, missing birth dates, etc. on the ICRC lists. However, the report serves two valuable purposes. First, it helps to identify possible patterns of fraud. Secondly, this comparison may help to locate persons who have been reported missing. In other post-war countries, ICRC has been very receptive to co-operating in these comparisons.

Registrants Found in ICTY Indicted War Criminals List

For the sake of due diligence a comparison should be made with the list of ICTY Indicted War Criminals at least monthly in an attempt to discourage those indicted from seeking new identity in Kosovo. (Unless a fairly strict criteria is imposed for “proof of identity”, it is unlikely that any indicted war criminals would register using their real names.)

Data Backup and Security

Introduction

As systems are developed and placed into production, and data is captured, there is an ever-growing need to provide adequate recovery in the event of hardware or software failure. A comprehensive strategy should be developed to protect the population registry and all other supporting database and file structures up to the previous night’s update.

It is anticipated that SAGEM will have duplicate servers to provide a real-time mirror of data as it is captured into the system. The following is based upon an industry standard method which should be followed completely in order to provide a fail safe and recoverable environment in the event of a file server failure.

This method will allow recovery of any data file or complete file server for each day in the last two weeks, for each Friday for about 6 weeks prior, or for up to 3 months prior. Usually any requirement to recover data will be identified well within a two-week period. In the event that a recovery process is needed beyond the last two weeks, a weekly or prior month’s

recovery usually is sufficient. If changes to this theory are necessary, the backup strategy should be adjusted accordingly.

Assumptions

- All source, object, data and other files critical to the operations of the registration process are stored on one of the file servers at the data capture sites.
- The file servers should be left up 24 hours during the normal work week.
- The normal work week is generally Monday morning 6 a.m through Saturday afternoon 5 p.m.
- The File Servers will be down for backups once per day between 6 a.m. and 8 p.m.
- All tapes are consistently labeled with the date in the format *dd/mm/yy* as they are created.

These assumptions are based upon responsible Information System processing rules that provide the most effective use of the computer resources for the data capture workstations at most times. The impact to changes in these assumptions will vary the backup procedure slightly, with impact to personnel staffing periods being the most likely target.

Backup Procedure

Create a Tape Library that contains the following:

A set of Initial Backup Tapes for each file server labeled 'Initial *Servername*' System Backup', etc.

A set of 10 Daily Backup Tapes for each file server labeled 'Monday *Servername* Save', 'Tuesday *Servername* Save', etc.

A set of 5 Friday Backup Tapes for each file server labeled 'Friday *Servername* Save', etc.

A set of 3 Month-End Backup Tapes for each file server labeled 'Month-End *Servername* Save', etc.

Begin the save process by doing two (2) COMPLETE system saves of each file server with the Initial Backup Tapes. This process should be done while all users are logged off and the network is completely disabled. One set of tapes should be stored at an off site storage location that is temperature and environment controlled.

On a daily basis, at 6 p.m., notify all system users that the network will be coming down in 5 minutes via network messaging. This should allow all users enough time to save any open files that they may be using.

After 5 minutes, log off any remaining users and disable the network.

Place the tape marked for the current daily save in the tape drive and begin the daily save process. This save process will include all user data files from each of the file servers.

If system software has been installed, procedures to create the Initial System Backups should be followed.

On Friday evenings, the same procedure will be followed as with the other daily saves. After the save completes, the tapes should be placed in the Friday Set of tapes. Pull the oldest labeled tapes and place in the daily rotation.

On the Last day of the Month, use the tape labeled Month-End Backup Tape, the same procedure will be followed as with the other daily saves. After the save completes, the tapes should be placed in the Month-End Set of tapes. Pull the oldest labeled tapes and place in the next month's rotation.

Out-of-Area Registration

Introduction

The right to vote almost always has a basis in citizenship and/or residency requirements and as a result, the vast majority of voters will normally be resident in the electoral district in which they are eligible to vote. However, there are many Kosovars who are currently abroad as a result of recent hostilities.

Assuming that these refugees will be allowed to enter their details onto the UNMIK Population Register and receive an ID card in much the same way as current Kosovo residents will be able to. Furthermore, if the Population Register is to be used as the basis of a Voter Register, the registration of refugee communities is crucial in order not to reward the expulsion of populations through violence and threats of violence.

Therefore, Registration Centres will be required to deal with the large numbers of Kosovars currently residing in other parts of the Federal Republic of Yugoslavia and other countries.

Methodology

Agreement has been reached between UNMIK, SAGEM and the International Organisation for Migration (IOM) that IOM will be a partner in the registration process for Out-of-area Kosovars. The scope of this partnership is yet to be defined.

It is recommended that, with IOM's experience of registering Bosnia's Out of Country Voters, the management of the Out-of-area Registration operation be delegated in large part to IOM.

UNMIK/SAGEM will have to work closely with IOM to determine whether the registration process for Out-of-area Kosovars will be significantly different from that utilised in Kosovo. It appears likely, though, that a common form and data structure design will be possible for both aspects of the registration process, although the eligibility criteria and documentary requirements may be different for Out-of-area registrants.

The current plan is that Out-of-area Mobile Registration Teams will visit all of the communities in which Kosovar refugees are now resident throughout the many countries that have accepted them. This 'in person' registration process for refugees, whilst logistically more difficult than a postal based registration as conducted with Bosnian refugees, is vital if the biometric data (colour picture and fingerprint scan) is to be collected.

A detailed assessment of where Out-of-area registrants are currently residing will have to be conducted. The information gathered should then be used to assess how long registration will take in each refugee community, and to create a timetable of when each refugee community will be registered and ID Cards distributed.

Sufficient Mobile Registration Teams will have to be assigned to the task of registering Out of Country Kosovars to meet the logistic requirements of this task.

Civic Education

A civic education programme for Kosovar refugees will be a crucial aspect of a successful Out-of-area Registration Programme. This civic education programme will have to convey to refugee communities a number of key points :

- when registration will take place in their host country
- what registering will entitle each individual to
- who is eligible to register
- the information that each registrant will provide
- what documentary proof each registrant will require
- what refugees can do if their application is rejected

The primary source of civic education for refugee Kosovars is likely to be postal materials sent to addresses that the refugees have been assigned in the host countries. It is possible, though, that host countries may not have up to date information on the location of all refugees, and in fact some refugees may not be properly registered in their host countries.

This fact should not effect the right of refugees to register their details on the UNMIK Population Register, or their eligibility to vote in the subsequent elections in Kosovo. These refugee groups will have to be reached through other media sources, sources which will have to be tightly focused to media or communities that refugee communities are more likely to read or reside in.

Eligibility and Verification

For Out-of-area Kosovars it is expected that, in addition to the standard documents which can be used to prove the identity of registrants, refugee cards issued by the host country or refugee organisations might also be considered sufficient evidence of identity to allow successful registration.

It should be noted, though, that if the Population Register is to be used as a basis for an Electoral Register, and in particular Municipal Election Registers, then details of Out-of-area applicants residences in Kosovo will have to be collected and, in some way, verified in order to limit the possibilities for fraudulent registrations. Refugee cards may not support this

critical information concerning an applicant's address in Kosovo, and therefore the eligibility of applicants to vote in specific Municipal Elections.

Due to the greater possibilities for wide scale fraudulent registration in the Out-of-area registration process it may be advisable to use stricter eligibility criteria for Out-of-area registrants, especially in establishing the municipality for which they are entitled to vote. This may involve specific questions concerning the municipality the applicant claims to be from, in order to demonstrate some degree of personal knowledge of the municipality where original documentation proving residence is not available.

Adjudication and Claims

Registrants whose applications are turned down as a result of ineligibility or lack of satisfactory evidence to support the application should be able to lodge a claim against their rejection. An Adjudication Procedure will need to be developed for rejected applicants.

This procedure may necessitate a more detailed investigation into the application, with the possibility of using existing documentation held at municipal offices in Kosovo to support or further reject claims that have been lodged.

Once refugee registration has been completed it is advisable that a process is initiated to allow refugees to check their personal details and correct them if they have been recorded incorrectly. The kind of details that it is possible to amend in this process would have to be carefully controlled, and as stringent documentary requirements applied to this process as to the original registration process.

Proxy Management

The scope of the partnership between UNMIK/SAGEM and the IOM will determine the scale of the management relationship between UNMIK/SAGEM and the IOM.

The details of this Out-of-area registration process will be largely determined by main project of registering Kosovar residents and will likely use the same forms, equipment and basic data structure, although the similarities and differences between the two aspects of the registration project will have to be defined.

A Memorandum of Understanding will be required between UNMIK and IOM defining the exact nature of the agreement and delegation of responsibilities to IOM for Out-of-area registration. The MOU should detail exactly what services the IOM is contracted to provide, the timescale that IOM is expected to deliver these services within, the operational guidelines and Regulations that IOM has to operate within, and the creation of a regular reporting structure back to UNMIK.

Data Integration and ID Card Distribution

It is understood that the UNMIK/SAGEM plan is for all ID Cards to be printed at one central location in Kosovo so that the unique ID Number on the card can be controlled. This will require registration data from Out-of-area registration to be transferred from the Mobile

Registration Teams operating Out-of-area to the central database from which ID Cards will be printed.

There are two options for the integration of Out-of-area data into the central database. Either all of the data from the Out-of-area registration process can be integrated into the central database once the Out-of-area registration has been completed, or as certain regions of the Out-of-area registration have been completed this data can be added to the central database prior to the completion of the process as a whole.

Waiting till the end of the Out-of-area registration process to integrate the data in one batch would mean that all of the ID Cards for the Out-of-area registrants would be printed at approximately the same time and would have to be distributed as a batch at the end of the registration process.

Alternatively, if the batches of Out-of-area registration data are added to the central database as registration in discrete regions/countries is completed, then ID card production for Out-of-area registrants can begin before the Out-of-area registration process, as a whole, has been completed, and distribution of these ID Cards can begin at an earlier stage.

This second option is recommended and will help to ease the logistic problems associated with the distribution of the ID Cards to Out-of-area registrants.

In the countries where there is a fully functional and reliable postal service the best method of distribution for the ID cards to Out-of-area registrants will be by post using the current address they registered with. Applicants whose details are rejected could also be informed using this method.

In countries where the postal service is not a suitable method for distributing Out-of-area ID Cards it will be necessary to establish local/regional collection points in the areas refugee communities are currently resident. The timetable for this registration and subsequent collection should be agreed in advance and should be communicated to Out-of-area registrants at an early stage through the civic education programme.

Civic Education and Registration Training

Introduction

A civic or public education program and the training of registration officials are essential components to the success of an effective population registration. All individuals who are eligible to be registered in the jurisdiction must be aware of the registration process that will be implemented. The public must fully understand why they should register and any consequences imposed for not registering should be very clearly contained in public information materials.

In addition, the officials responsible for carrying out the registration process must be properly trained to conduct the registration exercise. Knowledgeable and well trained registration personnel will help to ensure the credibility of the population registration.

Civic Education or Public Information Campaign

Developing a Plan

The legal framework should provide specific rules on who has the right to be registered and how the registration process will be conducted. Once the rules and regulations are in place, a comprehensive public information campaign must be developed to cover the registration process. This plan should be developed and implemented well before the registration process begins. The public information campaign on the registration process should continue until the close of the registration period and all complaints and appeals are adjudicated.

In order for the population registration to be effective, eligible people must be encouraged to take the step to register. Assumptions should not be made by the planners that the eligible population will register voluntarily. The public information effort will have to rigorously encourage people to register and inform them of the advantages of having the identification card and the consequences of not registering.

A strategy for implementing a public information campaign on the registration process should take into consideration the current circumstances in the region and the resources presently available to implement the project. The comments below are not meant to be inclusive but instead are meant to highlight important issues for consideration by the implementing authority.

The civic or public information campaign should be carried out in phases. The phases have to be determined according to the operational plan for the registration process. However, for example, a registration campaign could have the following three phases:

Phase 1 - The first and most important phase could start at least one month prior to the start of the registration process until the end of the first month of registration. This is a very crucial phase of the registration process. The public must be aware of their right to register and the procedures to be followed before the registration officials are ready to implement the process. Typically the majority of resources should be allocated to this phase of the campaign.

Phase 2 - The second phase could be carried out in the middle of the registration process. The essential messages contained in the first phase of the campaign could continue during this phase.

Phase 3 - The final phase could cover the last month of the registration process for a period after the close of registration until all complaints and appeals in the registration process have been adjudicated. It will be important in this phase to ensure that all those who have not registered must do so before the close of registration.

The public information campaign should focus on the essential issues that the public needs to know about the registration process. As an example, the campaign should focus on the following issues:

- Why should a person register?
- What will a person who registers receive?
- Who is eligible to register?

What if a person does not register?
What documents are necessary to prove eligibility?
What if the necessary documents are missing?
Where and when can a person register?

Research should be undertaken to determine the most effective and available means to disseminate information to the public in Kosovo that is currently in existence. It is important not to rely on assumptions when developing a registration campaign. Therefore, it is essential to speak with local institutions in the region to obtain advice on the most effective means to reach the maximum number of people within a limited time. Generally, the planners need to know for example, if radio will reach a higher percentage of the public than television, or if newspapers are more effective way to inform the public than radio or television.

It is important to understand that it will be necessary to utilize all means available to deliver the registration message to the public. However, with limited funding and severe time constraints allocation of these resources should be concentrated on the most effective means for reaching the public.

A well-developed public information campaign must be well timed otherwise the plan could fail. It is essential that a timeline be produced for the production and distribution of the various types of information materials. Therefore, it is necessary to assess the existing capacity to produce the materials in the region at the beginning of the project. Should there be insufficient capacity to produce materials in the region, then arrangements should be made early to produce the materials outside of Kosovo. It is also crucial to have an effective logistics plan for distribution of any material throughout the region which will require coordination with institutions, both national and international, in the region.

B. Production of Materials

After research has been carried out into the most effective means to deliver the registration campaign message in the region, a plan should be developed for the production of materials. It is important, given the time constraints and budgetary limitations, to know what materials can be produced in the region and what materials would have to be produced outside of Kosovo. This factor will have a significant impact on the timing of the registration information campaign.

Television – television segments would have to be produced either by the implementing agency or it might have to be contracted to a production company. Airtime to televise the registration message would have to be arranged with the broadcasters. Production for the television campaign might have to be done out of the country.

Radio – radio segments would also have to be produced, and as with television the radio spots could be produced either by the implementing agency or be contracted to a production company. Airtime would either have to be bought or arrangements made for free airtime to be given for the registration.

Newspapers and Magazines – an effective print campaign should be organized for all newspapers and magazines with circulation in the region throughout the registration process.

Video – a registration information video could be produced to air on television as well as to distribute throughout the region where access to VCR equipment is available. Production of the video and copying of the master for distribution might have to be done outside of the region if the capability does not currently exist inside Kosovo.

Poster, Booklets, Flyers – a plan for printed materials must be developed and then the printing capacity to produce the materials must be assessed at an early stage of the project. Even though there might be printers in Kosovo, they might already be committed to printing for other contractors. It is very important that printers are available to print the materials when the implementing agency needs them. If the existing printers do not have the capacity to meet the demand placed on them by the implementing agency, then the options outside the region must be considered well in advance.

Once the materials are produced, distribution within the timeframe is critical to the success of the public information campaign. All effective means of distributing material must be considered. The registration implementing agency should use its internal structure to distribute materials as well as other agencies in the organization. However, it is essential to coordinate with a variety of outside institutions to assist in the distribution of public information materials. Suggested institutions are the following:

Broadcast media organizations

- Print media organizations
- Educational institutions
- Religious institutions
- Civil society groups
- Non-governmental organizations (both national and international)
- International organizations

Registration Training

Training of those involved in the registration process is essential to ensure that uniform and consistent procedures are implemented throughout the region. A comprehensive training program will ensure that the registration process is properly implemented which will further enhance the integrity of the process.

Training for all personnel involved with the registration process should be conducted and divided into the relevant sections of the registration office staff. It is particularly important that the registration teams (i.e. those who will be in the field registering individuals) and registration adjudication officials receive proper training.

Training sessions should focus on procedural aspects of the registration process. The sessions should cover all essential elements of the process in a clear, simple and easily understood format. Registration procedure manuals should be written for registration teams and for the registration adjudication officers. The manuals should be concise, easy to understand and include all essential information to implement the registration process. Registration procedure and adjudication manuals will help to ensure greater uniformity in application of the registration procedures and reduce the likelihood of frivolous complaints being made.

Registration Adjudication

Introduction

A fundamental component of any registration process is an adjudication mechanism. A well-structured adjudication process will help to strengthen the integrity of the registration process and may deflect any attempts to undermine it. In order to conduct a credible population registration it is essential that the registration process, including requirements for eligibility, be clearly identified in legislation (rules and regulations). In addition, it is necessary for an adjudication process to be established so that an individual who believes that their right may have been violated can file a complaint to a competent authority. The competent bodies to receive complaints and appeals must be established in the rules and regulations.

Research into registration adjudication in neighbouring jurisdictions such as Bosnia Herzegovina, where international organizations have been responsible for implementing a registration system would be worthwhile. Various models could be analyzed and then the structures could be adapted to best fit the requirements for a population registration in Kosovo.

An adjudication structure for registration, with competent bodies of adjudication, could be established as part of a larger judicial structure that has jurisdiction over other civil or election related matters as well. These competent adjudication authorities could either be newly created or the judicial structures currently in existence in Kosovo could be used. However, given the priority to implement a population registration in Kosovo immediately, time constraints might require that an adjudication structure be established to deal only with issues of registration. These are issues that the implementing authority will have to analyze.

The implementing authority will also have to give consideration to whether the rules and regulations for registration adjudication can be applied to out-of area registration.

Legal Framework

Clear and concise legislation on the population registration process including adjudication of complaints must be incorporated into the legal framework at an early stage. The rules and regulations governing the population registration process should be clear and easily understood by those who are responsible for implementation, the registration teams, and by those who are eligible for registration.

Registration Process

The legislation should precisely outline the registration process and the requirements to be met to be eligible to register. More specifically, the rules and regulations should indicate the procedures that are to be followed by the registration officials responsible for conducting the population registration. The rules and regulations should list what documents are essential to determine eligibility.

Clear and simple procedures must be contained in the rules and regulations if these essential documents are not produced to still entitle an individual to be registered. For instance, if witness statements are accepted as alternatives to essential documents then the procedures for

this process must be outlined. The credibility of the population registration will depend on these procedures being consistently enforced throughout the area of responsibility.

An additional factor to take into consideration by the legal drafters is that the less ambiguous the rules and procedures are the less the likelihood that frivolous complaints will be made.

Adjudication Authorities and Process

The legal framework must outline the type, structure, and mandate of the adjudication authorities that will be responsible for receiving complaints and appeals of the registration process. The competent bodies to implement the adjudication procedures could be judicial, quasi-judicial or administrative. Depending on the adjudication structure selected and the level of the authority in question, these bodies could be staffed with both legally trained and non-legally trained personnel.

Consideration could be given to having a competent body of first instance, which has the authority to adjudicate appeals of decisions made by registration teams. This body, for example, could have jurisdiction to adjudicate the following matters:

Violations of population registration procedures by the registration authority;
Violations of Rules of Conduct as outlined in the legal framework; and
Complaints involving actions of registration personnel.

Appeals from decisions of the body of first instance could then be made to a competent authority at a higher level. This authority would have broader jurisdiction.

Regardless of what type of adjudication bodies are established it is essential that certain fundamental principles be contained in the rules and regulations. For example, complaints and appeals should be made within strict time limitations, they should be in writing and signed by the complainant, notice of the complaint should be sent to the other party or parties and evidentiary rules, remedies, and penalties should be contained in the rules and regulations.

It is essential that the legislation contain adjudication procedures to be followed for those individuals who believe that their right to register may have been violated. An individual should not only know how to file a complaint or appeal a decision but the requirements to be met to file a complaint should not be overly restrictive or the procedures for filing too complicated. Attempts should be made to ensure that the integrity of the registration process is not undermined. One way to achieve this is to try and ensure those legitimate complaints and appeals are heard without undue restrictions placed on individuals; while at the same time mechanisms are in place to prevent frivolous or vexatious complaints.

Other Factors

An effective adjudication process for registration will be dependent upon not only a legal framework but on other components involved in the implementation of a population register.

Accessibility

It is very important that the adjudication process be accessible to those who feel they have a legitimate right to be registered. A registration adjudication process will be more accessible if an individual who wishes to file a complaint or make an appeal can do so in a location that is within reasonably close proximity to where the individual lives. Consideration will have to be given to the weather conditions at the time of the registration process in Kosovo. The process will be unduly restrictive if the structure of the adjudication process becomes too centralized. The registration process runs the risk of being undermined if individuals do not have relatively easy access to the adjudication process.

Training

A thorough training programme for registration officers and those involved with adjudicating complaints and appeals is an essential component of the population registration process.

A well developed training programme would not only help to ensure accessibility to the registration and adjudication process but it would also help to ensure that legitimate complaints and appeals are processed and adjudicated consistently throughout Kosovo. Uniformity and consistency in application of procedures throughout the jurisdiction will help to ensure that a credible registration process is being implemented.

Public Education and Information

An essential component of a population registration is a comprehensive public information programme. Such a programme must be carried out well in advance of the implementation phase and continue throughout the registration process. In addition, it must include an adjudication component as part of the campaign.

The campaign should be developed to ensure that all of the population would receive information on the registration well in advance of the registration teams beginning the process of registering. The timing of an information campaign is crucial to the success of implementing the registration process.

Various informational programmes could be developed using a variety of sources (apart from the implementing authority) to disseminate the information such, as radio, television, print media, educational and religious institutions, and civil society or non-governmental organizations.

Regardless of how the population registration information is disseminated, it is essential that the population to be registered clearly understand the following matters:

- What the registration process is for
- Eligibility
- Date and location of registration
- Essential documents for proving eligibility
- What requirements must be met if essential documents are missing
- What an individual can do if the right to register has been denied

The essential information should be clearly worded, easily understood and accessible to the population. As mentioned previously, a well developed public information campaign on the registration process that is comprehensive, widely disseminated, and accurately timed is fundamental to the integrity of a registration process.

Professional Development and Capacity Building

Assuming the development of the Population Register, and the possible development of a civil register, will be conceived, organized, managed, and held by UNMIK authorities, at some point consideration must be given to its future sustainability.

Future Registration Operations

The first overriding consideration is that of security and privacy. Those responsible for holding, maintaining and updating the register(s) must protect the private information relating to each individual on the list and ensure that this information is not accessible for purposes other than for which it was originally provided.

The second consideration is that the international community cannot continue to oversee and maintain these lists indefinitely, and the capacity to do so must be handed over to Kosovar authorities. In order to transfer responsibility for the list to a “local body” the international community must be satisfied that trained and responsible bodies or organizations are in place to assume the tasks involved.

Developing a Local Capacity

To achieve these ends the involvement and training of local staff in all aspects of the registry, including data entry and management, active involvement in the population and civil registration activities at all levels is essential from the outset. It would be especially valuable at the field level, to involve as many persons as possible who were responsible for local registries in the past.

As it is conceivable that municipalities will be responsible for the maintenance and updating of the voters lists on a centralized or decentralized basis, these could become the foundation for the future maintenance of both the Civil and Voter registers.

At the central level, initially it may be that the central election body would carry responsibility for the overall voters list. This, plus the Civil Register might continue to be the responsibility of either or both of UNMIK or OSCE. During this period, responsible local officials might be trained to manage the lists “independently” with a view to their transfer to a central statistics or other body. This should be done when political and cost considerations would permit.

V. APPENDICES

A - Major Decisions⁴

The checklist items presented below offers major decision points, which are effective whether one is designing a plan to computerize the entire civil register system or a plan to computerize a portion of the system.

Defining the framework of civil registration

Decisions are to be made as to what civil events should be included in the computerized system and to prioritize the inclusion of the events, if a phased implementation is performed. A phased implementation means that some events and/or system functions are implemented prior to others.

Defining the unique key to be used in the civil registration system

To create the interface between the civil registration system and the vital civil events information from the register, a unique number must be assigned to each event. In this connection a major decision will be whether to appoint the unique number of the civil registration system as the national unique identification of the individual. If the plan is to follow a phased system that leads to the civil registration system changing into a population registration system, the use of the unique number for each individual is the option to select.

Defining the objectives and purposes of computerization

Computerization will from the start of advance planning until the final implementation and operation of the system influence several related areas and agencies. To make the project work smoothly without obstruction, it is recommended to define as clearly as possible at an early stage the purposes of computerization and the benefits that should occur.

Establishing the organization that will handle computerization

The introduction of computerized systems will influence the organizational structures of the agencies that have been responsible of the civil register system before the computerization. The new requirements for management and staffing will affect the operation and it will be advisable to involve all active partners and their existing personnel and, to provide training, and use external expertise. Procedures will have to be changed completely in order to support the computerized system.

Deciding on overall development strategy and operational strategy

The most difficult and time-consuming part of advance planning will usually be the establishment of legal and administrative framework for the computerized systems. However, experience indicates that one should conclude the advance planning and implementation of the required framework before implementing the electronic data processing system.

⁴ Civil Registration - UN Studies in Methods Series F. No. 73

Hardware configuration and procurement

The hardware requirements will depend on size of the population as well as the strategies chosen from among those listed above. It is important to stress that decisions on hardware procurement should not be made before the above strategies are quite clear and agreement has been reached.

Choosing a initialization strategy

Before the computerization system becomes *fully operational*, it is important to initialize any already existing information about the population's status and family links contained in the registers.

System functionality

The main decisions on system functionality include:

- Events and tabulations to be included;
- Definition of the logical entities and their data items;
- Functions to be included;
- Validation rules, business rules and procedures;
- Utilities to be included, notably security requirements.

Legislation

An important topic of the feasibility study is the careful analysis of the legislation and administrative procedures in place and the proposed changes and amendments. At a minimum, the following areas should be analyzed:

- The data items to be registered, and - if possible - samples of the registration forms;
- The reporting of civil events/compilation of vital statistics;
- The maintenance of information;
- The security of information;
- The use of a national PIN;
- The legal validity of computer produced certificates and other documents;
- The access to civil information by other public authorities.

B - Suggestions for System Performance Requirements

General

- The system should maintain a table that relates ID-card indexes and physical location of images.
- System should provide the means for relocation of image records to a new filing media (like CD-ROM).
- The system should be capable of generating usage reports about who accessed which functions of the system, which records, and date and time of access.
- System should provide protection against voltage fluctuations, and for power outages for at least 30 minutes.
- Capabilities to integrate to electronic office and other administrative systems are desired.

Hardware Specifications and Requirements

- Vendor should provide compatibility with hardware and software specifications.
- Software specifications included in other sections should also be taken in consideration.

Storage Requirements

- Disk drives should use RAID technology for on line storage backup, but Optical drives should be required for off line storage.
- Optical disks drives should be WORM type.

Workstations

- Compression of images is highly recommended.
- System workstations should have at least the capabilities of image rotation, and zooming.
- Monitors should have a minimum resolution of 1024 x768 and .28 dot.
- Monitors size should allow for display of 17 inches minimum, to display images. Larger images should be scrolled.
- The Image of a record should display in the workstation screen on a mean time of 25 seconds, with a maximum of 50 seconds. Subsequent images of the same record should be available within 2 to 5 seconds of being called.
- There should be the capability that when a record is called the system should present a list of all other images in the record, by ID-card number, so the user can ask for a specific image.

Printers

- Vendor that supplies the Laser printers should keep in mind there be used in the production of the electoral lists should provide printers with the included features that would permit voter's photo in the voter lists.

Photographic Equipment

- Equipment should have dynamic and manual threshold to compensate for fluctuations in density contrast and reflection.

Data Communications and Network Requirements

- If a LAN system is used it should comply with Ethernet 100/10 Base T, or Token Ring topology standards.
- System should provide the backbone and all required interfaces with Main Computer, including software bridges and controllers for all peripherals/server of the system, as specified by vendor.
- Minimum transmission rates between Image Server and Main Computer system should be 100 megabits per second.

Security Requirements

- Security in the system should be achieved by the following methods:
- Once an image is scanned and indexed no one can erase it, or its index from the database. It can be removed from a record to a file of removed images, by a supervisor. There should be a database record of when, why and by whom the removal took place. These removed images should be kept in the magnetic image database for a year after the record is sent to dead files. Deletion has to be authorized by the Database Administrator.
- Passwords should be assigned to all personnel utilizing the system. Access to functions should be assigned to each password. A record should be kept of all functions and files accessed by date and time. printing of copies should also be monitored. Passwords should be known only by user and changed according to the policy.
- Internal Controls and Processes Redefinition
- The utilization of the ID-cards image system should have an impact on the controls and manual processes at the Central Office and the registration centers. Vendor should ascertain the impact of those changes, redefine the controls and processes utilized, prepare the manuals to train users.

Pre-Contract Demonstration

- A pre-contract demonstration should comply with requisites mentioned in other sections.

Delivery Schedule

- Vendor should produce a schedule showing and stating, in days, the completion of the following phases.

1 - DETAILED DESIGN

Vendor should state in how many calendar days after signing of the contract he should produce a detailed design of the system for approval by UNMIK.

2 - PILOT SYSTEM

Vendor should state how many calendar days, after approval of the detailed design, he needs to produce a pilot system.

3 – KOSOVO PRODUCTION SYSTEM

Vendor should state how many calendar days, after the approval of the pilot system, he needs to be able to produce a working system.

4 - SYSTEM EXPANSION

Vendor should state how many calendar days, after the approval of the working system he needs to be able to complete the project, including conversion and training.

System Acceptance Test Plan

- Vendors should prepare acceptance test plans. They should be discussed and incorporated into the contract. The acceptance test period begins in the date the installation is completed and operational from the hardware, software and application point of view.

System Acceptance Criteria

- System availability is defined as the ability to:
- Scan an ID-card, index it, store the image in main storage, ID-card verification and write the image to optical disk.
- Search the index database, select a record, select an image for viewing or printing, retrieve the image from main storage or jukebox or similar storage device, route the image to a workstation, and display or print the image.
- Percent availability is calculated by dividing the total time which comprises the normal work period (8 hours daily, Monday to Friday), into the total time the system is available. The percent must higher than 97 percent. To be acceptable individual components must meet minimum availability standards for a period of thirty consecutive days.

Component Acceptance Criteria

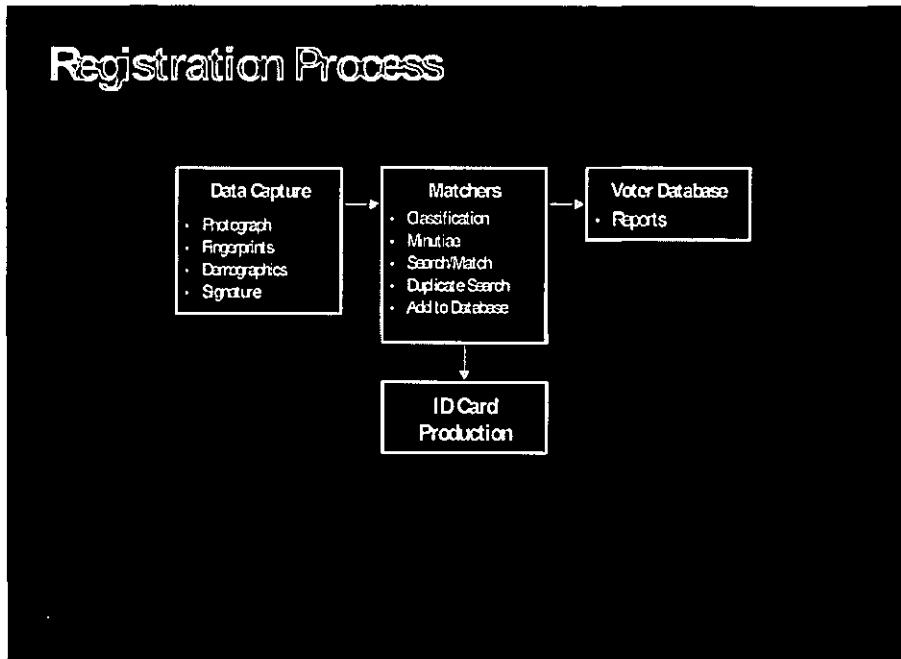
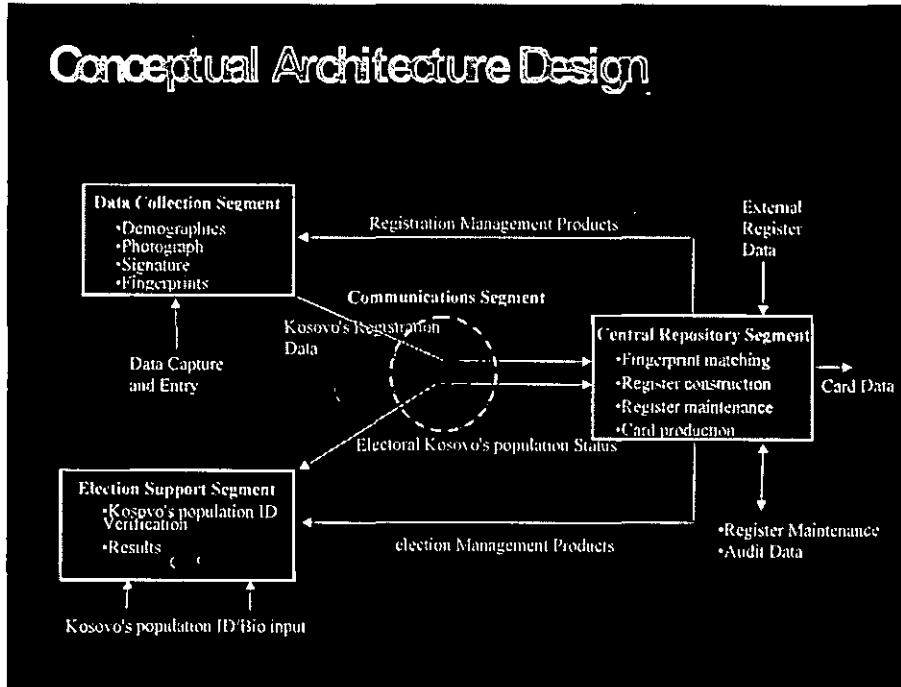
- Component availability is defined as follows:
- Workstations and their servers - Ability to access the indexing system, to perform a search, to select a picture for viewing, and to view or print the picture.
- Image capture devices and Servers - Ability to take photo and fingerprints, to display the image on the monitor associated with the image capture workstation, and to write the image to disk, and back media.
- Main Disk Storage, Optical disks drives Jukeboxes or similar devices and their servers. - The ability of the component, following a user command, to access or load and access the correct disk, to locate and read the correct file, and to transmit the image data to the users' workstation; or to write an image file to the optical disk upon command.

Percent availability is calculated by dividing the total time which comprises the normal work period (8 hours daily, Monday to Friday), into the total time the component is available, as described above. Availability of individual components, which are repeated in the proposed design, must be equal to or higher than 97 percent. To be acceptable individual components must meet minimum availability standards for a period of thirty consecutive days.

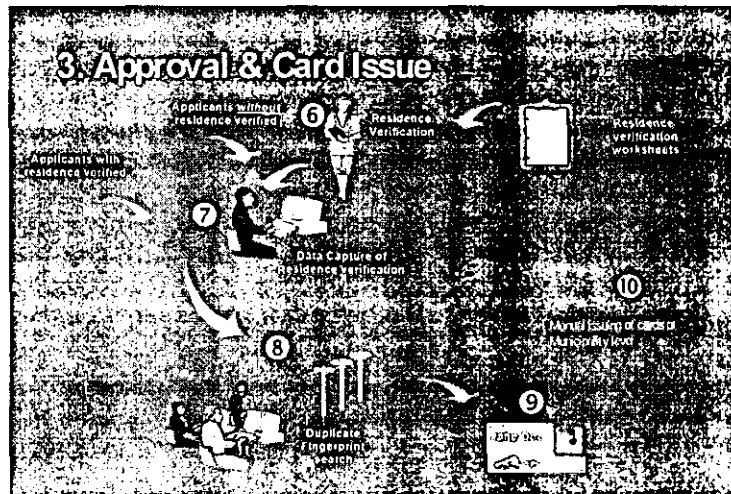
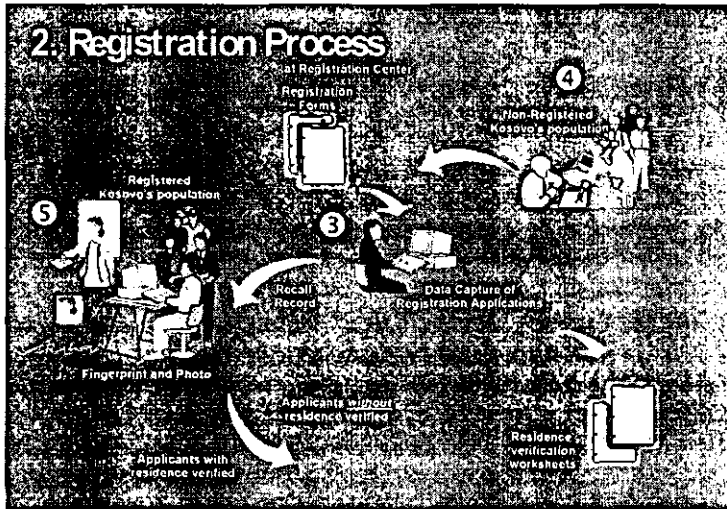
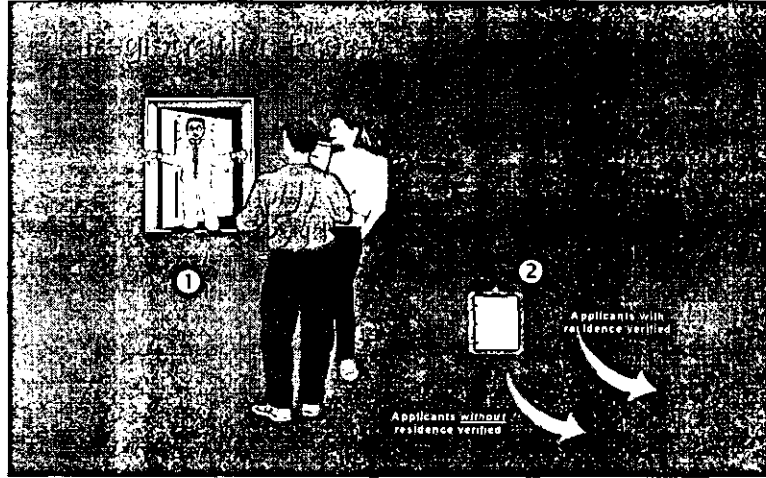
C - Municipality Population Distribution and Volume Projections Budget

Municipality Population Distribution and Volume Projections Budget					
Desired time of completion	Base	Estimated working days	Estimated	Estimated laps time	
Estimated Population to be registered	1,500,000				
Available Computer Kits	180				
Risk factor	10%				
Months	4			Days in month	31
Working days in month	26	Days estimated	104	Days estimated	124
Hrs. per working day	8	Hrs estimated	832	Hrs. Estimated	992
assumptions	Minimum Per office	Description	Total required	Average Cost per unit/month	Total Estimated Cost
	1	Registration Offices	180	1,000	720,000
	2	Registration Personnel	360	100	144,000
	1	Computer operators	180	100	72,000
	1	International Personnel	180	2,000	1,440,000
	1	Interpreter	180	700	504,000
	1	Transportation	180	1,000	720,000
	1	Equipment Kits	180	2,000	1,440,000
	29	IT Int. Person	29	2,000	232,000
	1	Others	10%	890	527,200
			\$ 9,790	\$ 5,799,200	
Basis of calculation time to register 1 person:					
	Laps time in minutes				
Manual process workflow	23.50				
Form completion	2.00				
Residence verification process	20.00				
Flow	1.50				
Biometrics capture process workf	5.00				
Bio/Photo Workstation	2.50				
Finger print scanning preparation	1.00				
Flow	1.50				
Average total processing time	28.50				

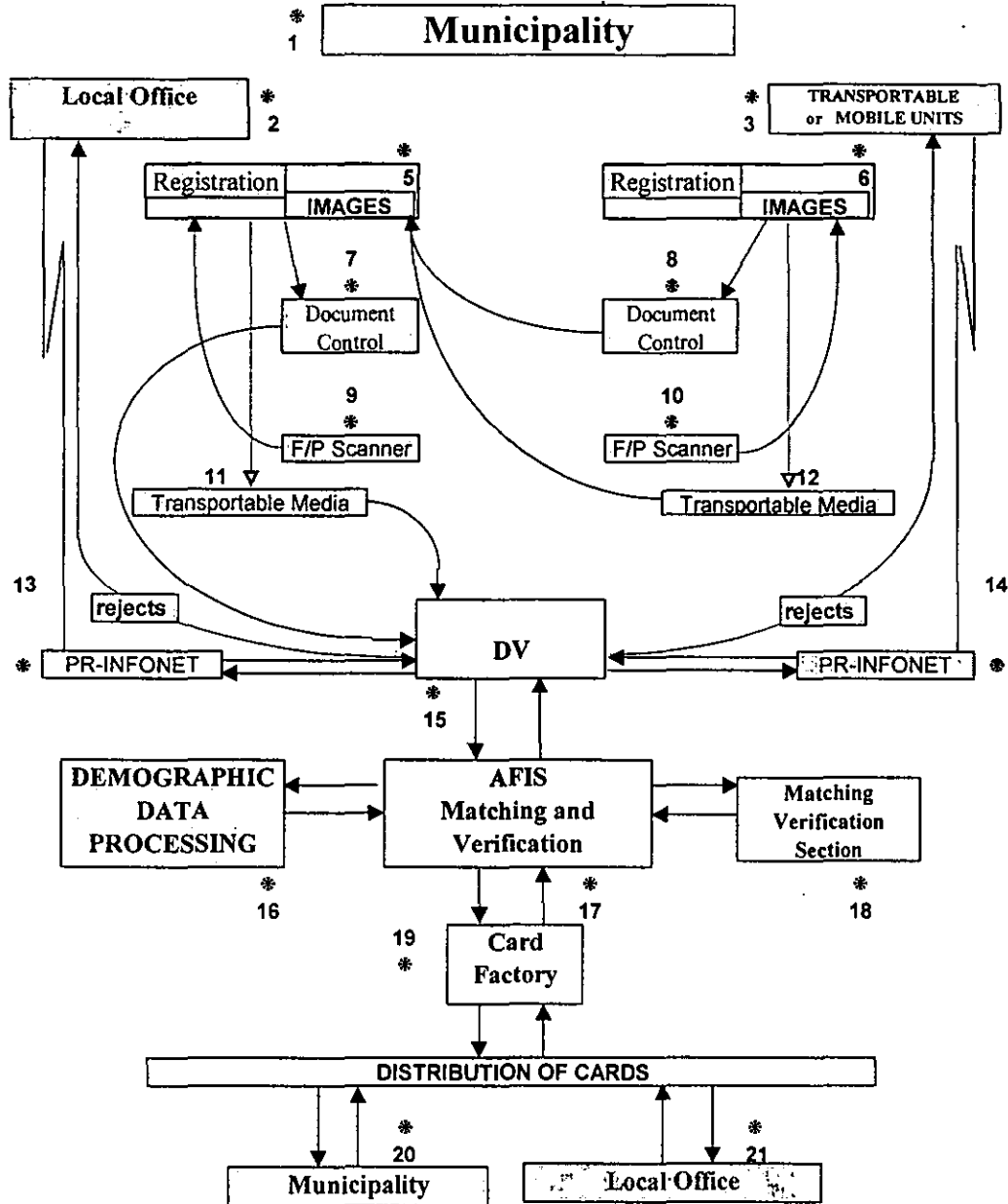
D - System Conceptual Design



E – Registration Process



F - Conceptual System Operations Flowchart



DV - Data Entry, Verification
 AFIS - Automatic Fingerprint Identification System
 PR-INFONET - Population Register Information Network
 F/P Scanner - Finger Print Scanner



G - Card Production Strategy and Logistics

CARD PRODUCTION STRATEGY AND LOGISTICS

Registration Sites	213		01-Apr-99	01-Jan-00	01-Jan-01	01-Jan-02	01-Jan-03	01-Jan-04	31-Dec-04
Population	Total		2,500,000	2,550,000	2,601,000	2,653,020	2,706,080	2,760,202	2,815,406
	Over 16 years of age (cards will be issued to)	59%	1,486,838	1,516,575	1,546,907	1,577,845	1,609,402	1,641,590	1,674,421
	Annual Rate of Population Growth		2.00%	2.00%	2.00%	2.00%	2.00%	2.00%	2.00%
New	(% over 16 years of age (% of new population))	6.50%	3,250	3,250	3,315	3,381	3,449	3,518	3,588
Duplicates	(% over 16 years of age (% of population over 16 years of age))	2.00%	29,737	30,332	30,938	31,557	32,188	32,832	33,488
Issues	(% over 16 years of age Laps time in moths)	3	495,613	0	0	0	0	0	0
Other	(% under 16 years of age Laps time in moths)	6	168,860						
Issues	(a after 1th year, next 4 years)		138,410	33,582	34,253	34,938	35,637		

CIVIL REGISTER OF KOSOVO
VOLUME CALCULATION OF ID CARDS TO BE PROCESSED

	VOLUMES BY DAYS				TOTAL Day	VOLUMES BY Month				TOTAL Month	TOTAL ID Cards
	New	Duplicates	Issues	Other		New	Duplicates	Issues	Other		
			1,486,838	1,013,162							
Jan-99	0	0	0	0	0	0	0	0	0	0	0
Feb-99	0	0	0	0	0	0	0	0	0	0	0
Mar-99	0	0	0	0	0	0	0	0	0	0	0
Apr-99	0	0	0	0	0	0	0	0	0	0	0
May-99	0	0	0	0	0	0	0	0	0	0	0
Jun-99	0	0	0	0	0	0	0	0	0	0	0
Jul-99	0	0	0	0	0	0	0	0	0	0	0
Aug-99	0	0	0	0	0	0	0	0	0	0	0
Sep-99	0	0	0	0	0	0	0	0	0	0	0
Oct-99	0	0	0	0	0	0	0	0	0	0	0
Nov-99	0	0	0	0	0	0	0	0	0	0	0
Dec-99	0	0	0	0	0	0	0	0	0	0	0
total 1999	0	0	0	0	0	0	0	0	0	0	0
Jan-00	0	0	0	0	0	0	0	0	0	0	0
Feb-00	0	0	0	0	0	0	0	0	0	0	0
Mar-00	0	0	0	0	0	0	0	0	0	0	0
Apr-00	16	150	22,528	0	22,694	361	3,304	495,613	0	499,278	499,278
May-00	16	150	22,528	0	22,694	361	3,304	495,613	0	499,278	998,556
Jun-00	16	150	22,528	0	22,694	361	3,304	495,613	0	499,278	1,497,834
Jul-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	1,670,359
Aug-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	1,842,885
Sep-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	2,015,410
Oct-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	2,187,936
Nov-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	2,360,461
Dec-00	16	150	0	7,675	7,842	361	3,304	0	168,860	172,525	2,532,987
total 2000	148	1,352	67,584	46,053	115,136	3,250	29,737	1,486,838	1,013,162	2,532,987	
tot. 1999-2001	148	1,352	67,584	46,053	115,136	3,250	29,737	1,486,838	1,013,162	2,532,987	
								1,486,838	1,013,162		

H - Visual Basic Function to Validate JMBG

Option Compare Database
Option Explicit

```
Function ValidMB(NationalID As String) As Boolean
    Dim D(1 To 7) As Integer, M(1 To 7) As Integer
    Dim x As Integer, y As Integer, z As Integer, i As Integer
    Dim CheckDigitOK As Boolean
    Dim DOB As String, MB As String
```

```
    CheckDigitOK = False
    DOB = Left(NationalID, 7)
    MB = Right(NationalID, 6)
```

```
    If Not IsNull(DOB) Then
        If Val(DOB) > 0 Then
            For x = 1 To 7
                D(x) = Val(Mid$(DOB, x, 1))
            Next
        End If
    End If
```

```
    If Not IsNull(MB) Then
        If Val(MB) > 0 Then
            For x = 1 To 6
                M(x) = Val(Mid$(MB, x, 1))
            Next
        End If
    End If
```

```
    If Not IsNull(DOB) And Val(MB) > 0 Then
        If Len(MB) = 6 Then
            i = (D(1) * 7) + (D(2) * 6) + (D(3) * 5) + (D(4) * 4) + (D(5) * 3) + (D(6) * 2) + (D(7) * 7) + (M(1) * 6) + (M(2) * 5) + (M(3) * 4) + (M(4) * 3) + (M(5) * 2)
            y = Int(i / 11)
            z = i - 11 * y
            x = 11 - z
            If x = 11 Then x = 0
            If Val(x) = Val(M(6)) Then
                CheckDigitOK = True
            End If
        End If
    End If
```

```
    ValidMB = CheckDigitOK
End Function
```

J - Summary of the Vendor's Solution Commitment

Vendor's Solution Commitment

Introduction

The United Nations Interim Administration in KOSOVO (UNMIK) has set its goal to enjoy a leadership position in terms of its Population Registration system. In order to obtain this leadership position, UNMIK has presented a dramatic vision for the future. This vision will have to recognize the role that the envisioned information technology will play in the future of the national civil registration and electoral processes, combined in a Population Registration system managed by UNMIK and operated by the private sector in a joint venture environment.

UNMIK has contacted several prospective bidders in an informal request for information (RFI) process, in order to exchange ideas and gather information to prepare a proposal for the population registration system implementation and operation. IFES has been selected to help UNMIK in the evaluation of the feasibility study and project plan preparation, and as a final product, help in the preparation of recommendations for implementation. The IFES report would entail recommendations as to the scope of work of the joint venture for the system development, implementation and operation of the initial population registration, identification card production, information needed for elections, and continuous update registration. IFES participation comes because of UNMIK's interest in a partnership with a knowledgeable organization that would help to implement and fulfill its vision. This position was presented to IFES in Washington, and IFES accepted UNMIK's invitation to perform the study for the Operational Plan.

The Joint Venture Partnership

The joint venture partnership entails the vendor having to develop and administer the population registration project, with the overall management of UNMIK. The vendor would also have to focus on incorporating the necessary elements that will be needed to establish the basis for the re-engineering of the future electoral process. As well as, to incorporate the basic components, for the Population Registration development process and, the needed steps and information required in the incorporation of the National Civil Register at a later stage. The vendor will commit to bring forward an innovating system for the identification card renovation process of over close to one million four hundred thousand (1.4 million) potential registrations of individuals over 16 years of age. The potential partner(s) should keep in mind the electoral events and the use of such an identification system as the basis for the voter identification, as well as the creation of a database geared to substantiate the election day polling place distribution and, voter lists used at the polling places. Consideration should be given to the possible use of the register in the new elections technology that has been contemplated (finger print identification, and others).

Other than a fixed priced per card issued, set forth in other jurisdictions negotiation, all professional services associated with this development, implementation and operations efforts would be provided at a "Turn Key System" fixed price, with **no additional cost to UNMIK**. The requirements for the implementation of the re-engineered system would entail technical

education for the UNMIK staff, management and administration tasks at the central and distributed offices, as well as equipment needed.

IFES was not present at initial vendor presentations, negotiations and/or country visits, but IFES met with the vendors in several occasions, last week, to discuss our concerns in some of the issues and areas covered by the project. IFES read and analyzed some technical documents, and evaluated the vendor's verbal technical plan to implement the Population Registration and Identification System, as well as commentaries on the different alternatives presented. IFES did not have access to the detail or even conceptual implementation plan, for it was in a development stage. In general IFES' meetings with the vendor were very useful and an educational process for UNMIK's personnel and consultants. Without the opportunity to look and evaluate the different alternatives and possibilities presented, UNMIK would not be able to assess to the technical knowledge presented.

Due to the fact that the vendor's projects implemented in other jurisdictions have shown to be very successful, UNMIK's vision of the project has been modified. UNMIK has decided that a tender procedure is not necessary. Nevertheless, the need to implement the project still stands. Therefore, IFES participation could still be required for implementation.

A draft of the conceptual agreement was handed to IFES for our review and comments. After evaluating the document, IFES came to the conclusion that it is not very detailed and that a lot of work has to be dedicated to its final outcome. Some solutions presented do not address all the required issues, yet others have been very good in addressing UNMIK's needs. It conveys important information on the technology that should be used in the implementation of the system. However, we have gathered comments and suggestions that should be considered in order to enhance the rules by which the project should be governed. Our comments and suggestions are detailed in the following sections of this document.

Outcome

IFES' *Feasibility Assessment* has gathered sufficient information to indicate that the expectations of UNMIK on the partnership or joint venture, in the use of electronic means as a solution for the integrated registration and identification purposes, could be technically implemented to a large extent. The advances in fingerprints, photo and data capturing, and secured ID card preparation have evolved to a point where portable integrated devices could be used to capture information and images. New ID card technology that will allow the carrying of large amounts of information on one card for future electoral and Civil Register use, like: digitized photos or fingerprints, that could be read by portable units are available today for immediate use. Such units have been utilized in several countries around the world, under adverse conditions. Therefore, there is no reason to doubt that in the future the use of similar devices could be a reality in Kosovo, under a controlled environment. Portable units could be deployed at different locations or fixed at a remote or regional office, where eligible individuals would go to register. In all cases, it is known that the technology feasibility is real, and it is a matter of integration and implementation.

Important factors to consider in the implementation of electronic equipment, are training and time to implement the project. The use of electronic equipment integrated to a computer could present a lot of problems to people with little or no knowledge of computer operations. It is necessary to train users in the use of the computers, computer programs and electronic

devices attached to the computer (known as peripherals). The training of novices, thus not entirely a difficult task, could take a considerable amount of time for a large number of users. For beginners or first time users, the need to practice under a supervised environment is essential, and even then, once in the field, close supervision and guidance will be essential.

According to the information conveyed to us, a general election has been called for the year 2000. This scheduled election has imposed time constraints which must be incorporated into the registration and identification process. Therefore, time is not on our side and to implement innovating ideas like the use of portable equipment in an election voting identification process, will entail a considerable amount of effort and time. The integration of new technology, equipment production, field testing of equipment, implementation of a pilot project, and most important, training efficient operators will be a considerable task in the time available.

Joint Venture Agreement

The vendor's proposal sets forth the implementation of the Population Registration system project in a joint venture environment, managed by UNMIK and operated by the vendor (SAGEM/BIS). IFES has not seen the basic agreement, but from meetings with SAGEM/BIS and UNMIK, as well as information gathered from the proposals, IFES has been able to identify possible gray areas in the foreseen contractual relationship. In this section, it is our intention to enumerate and discuss these issues.

The basic contractual agreement should incorporate a clear view of the goals and objectives of the partners, as well as their responsibilities in the joint venture commitment. It should describe the vendor's financial stability and it's ability to submit a performance bond of at least 75% of the total project cost. It should indicate that the vendor has demonstrated that its offering presented a schematic structure of resources assigned to the project, and that it will implement a successful pilot project prior to the award of the total project. It should further indicate that the award of the total project is contingent upon the outcome of the pilot project. Each of the following sections will reflect IFES' comments and recommendations:

Services and Challenges

The need to incorporate a section to describe the services to be rendered and the project's challenges, should be considered. The vendor should understand the objectives of the project and how it would address the challenges that UNMIK is facing. Some matters that should be addressed are how the pilot project will be able to comply with the expected results, and how it will be able to address issues such as ;

- Potential lack of system flexibility and capabilities to meet the UNMIK's needs;
- Implementation plan to handle the total project;
- Maintaining a true integrated Master File to serve the Electoral Register as well as the Civil Register;
- A desire to establish the positive identity of the applicant, in order to perform the initial identification process to qualify for the registration and identification process as credibly as possible;
- A desire to perform the registration and identification process as credibly as possible;

- A desire to perform the registration and identification process as quickly as possible; and
- A desire to protect UNMIK's investment and options in Information Technology for the future.

How Services will be Provided

Emphasis should be given to the incorporation of a section to describe the current vendor's solution and approach to: implement and operate the project, how re-engineering and operating UNMIK's registration and identification system will work, how it will enhance the operation taking into consideration important factors such as:

- Establish a fully functional Population Registration system including: the registration and identification (card issuing) process of close to one million five hundred thousand (1.5 million) potential registrations, and the incorporation of the necessary data and vital elements for the re-engineered Voter Registration System, that should be implemented in less than 8 months from today⁵;
- Process fingerprint matching of all registered population. Establish an ongoing matching and verification system to: detect possible duplicates, eliminate fraudulent registration, and increase the accuracy of the future election voter identification process;
- Produce and distribute ID cards in a timely manner, insuring the security of the card and the integrity of the distribution process and logistics;
- Establish a centralized registration control and administration system, including: telecommunications network design and installation; centralized information and image databases, centralized or remote maintenance and update; electoral register, basis to the election voting lists and report preparation; and implementation of a security system.
- Implementing a system that can be easily modified to meet ever changing regulations and national civil registration user demands;
- Protection to the UNMIK's investment in technology;
- Effective training for technical staff in the registration and identification process and vendors technology (hardware and software); and
- Establish a logistics plan to handle transportation of information, whether captured data to be processed, as well as information to be transmitted via telecommunications or transported via electronic media.

Solution Commitment and Management Approach

The Vendor should take a special approach to manage the project and work within a limited timeframe to implement the system. They should provide both the development environment and the consulting services needed to fulfill the common interest of the ultimate success of the project. After all, a project that does not turn out well reflects poorly on both parties involved.

IFES believe that UNMIK will not succeed until the vendor has succeeded. Therefore the need to work together with the vendor is essential, in a long-term, strategic partnership between UNMIK and the vendor. UNMIK should be present and support the vendor in all phases of the application development process.

⁵ The date for election is an unsolved issue at this time

To ensure the success of the Population Registration system implementation, the vendor shall ensure adequate access to high-quality education for technical staff, appropriate degree of end user involvement, frequent communication about successes and challenges, and an efficient, comprehensive approach to application implementation.

Technical Approach

The vendor should understand that the highest priority for the Population Registration system re-engineering effort is to create and implement a credible system in a quick and cost effective manner. Also, the system should be flexible in such a way that it incorporates or can be modified with minimum effort to keep up with future requirements for the electoral and Civil Registration Process.

The proposed technical approach should result in a fully functioning and implemented system in an extremely cost effective and timely manner. The approach to developing applications should begin by jointly defining the UNMIK functional requirements. Use of Rapid Application Development techniques including Joint Application Design and prototype should ensure that quality solutions are delivered within a time frame and budget UNMIK can afford.

The vendor's tools should be platform independent, as much as possible. That is, applications written for one technical environment can be migrated to other environments with little or no modification. This will ensure that the development investment is protected even if there is a need to change environments. To ensure ownership title, all developed systems should become the property of UNMIK.

Solution

As organizations move toward an open systems environment, it is important to acknowledge that manufacturer independence still requires control. The vendor should take the role of a strategic partner by helping UNMIK combine the best technologies and information resources to solve the Population Registration system and registration problems.

The vendor's products and services should allow UNMIK to implement a turnkey integrated information solution. The vendor's offering should be growth oriented, so they can solve today's problems with continued support, as needs change.

Professional and Education Services

Services and support from application and systems consulting to on-site systems development and implementation should be provided through education, consulting and product training services.

The vendor's professional services should enable UNMIK to optimize their information management environment. Efforts should be tailored to the client's needs and toward building self-reliance within UNMIK. Expertise should be available (as needed) for customization, performance analysis and fine-tuning of the application solutions, as well as:

needs analysis; requirements definition; systems design, creation, coding and documentation of new applications.

The vendor education services should offer training on all core products targeted to varied skill levels. Education consulting will help UNMIK determine and plan for its current and future training needs. Computer based training and self study publications should be additional alternative training options for UNMIK.

Environmental Impact of the Project

The project does not represent an adverse impact to the environment. Little or no effect on the environment will be present on the development and implementation of the envisioned computerized system. The only waste produced by the process, will be the excess materials left over at the time of card preparation, but these materials can be recollected for recycling purposes presuppose at time of card production. The leftovers of useless or obsolete paper reports should also be recycled, eliminating environmental contamination by trash. Printer ink cartridges and other components should be recycled for reuse, so that they don't represent hazardous waste.

Cutoff Activities

The following are essential activities that are necessary to carry out prior to implementing the re-engineered systems. Both UNMIK and the vendor's staff must participate.

- Assess system hardware and software requirements necessary to implement the system. Verify that all requirements are in order.
- Install and test the system products on the "target" UNMIK hardware.
- Populate all the security, administrative, and parameter tables with necessary information.
- Perform an integrated test. This test will simulate all the key registration activities that are performed against the current system. This test will focus primarily on verifying the "completeness" and "correctness" of the system.
- Provide enhancements and additional functions as necessary to support the registration process.
- If feasible, simulate a "stress test." This should be performed by logging on a number of users equal in size to the number that logs on during peak registration activities. The objective of this test is to evaluate performance parameters such as response-time, throughput, and system utilization.
- Train the trainers. Provide training to the key users on the enhancements and differences between both systems.
- Perform a pilot project test prior to installing it at the selected sites.

Population Registration System Security

The Population Registration system should be equipped with a robust, multifaceted, yet flexible security system. This allows management to fully control and track registration activities. It further helps ensure that fraud possibilities are minimized. The following are some of its highlights:

Capabilities at the central site

- All transactions should be tagged with the Remote Office's information. This enables UNMIK to account for which Remote Office did what transaction, when, and by whom.
- All Remote Office transactions should be stamped with designated "operator."
- Enable tracking of the Personal Identification Number. This gives Remote Offices the flexibility to find and perform registrations based on the persons PIN.
- Enable fast and flexible on-line search against individual records.
- Enable on-line viewing of active logged-on Remote Offices by UNMIK Managers.
- Robust, multifaceted, parameter-driven security system.
- Demographic information for all offices and system users should be managed.
- Rich and user-friendly on-line help.
- Portability across all leading platforms.
- Most transactions should be performed on-line, real-time, incorporating the use of a fixed master file and a working extract of changed and new records.

Remote Office Security

- Each Remote Office terminal should have a unique ID. Remote Office logons can be done only from valid terminals.
- Authorized logon "time-windows" can be established for any of the Remote Office terminals. This allows UNMIK to control when remote Office activities can be performed.
- All Remote Office logon users must be authorized to use the Remote Office system.
- Any function/transaction can be enabled or disabled for Remote Office user instantaneously by an administrative (on-line) transaction.
- Remote Office users can only perform transactions for Voters within their authorized "domain".
- Remote Office users can view and report on only their Remote Office activities.
- UNMIK administrators can on-line, view and report on which Remote Offices and what users are logged-on at what times.

User Access to Programs

- Any user or user group can be (on-line) restricted from having access to any program or function.
- Each user is assigned to a Security Group. For example, Remote Office Group, Managers, etc. This simplifies security management.
- Extensive security facilities are available for administrators and managers. These allow controlling and managing authorization levels for various programs, users, and security groups.

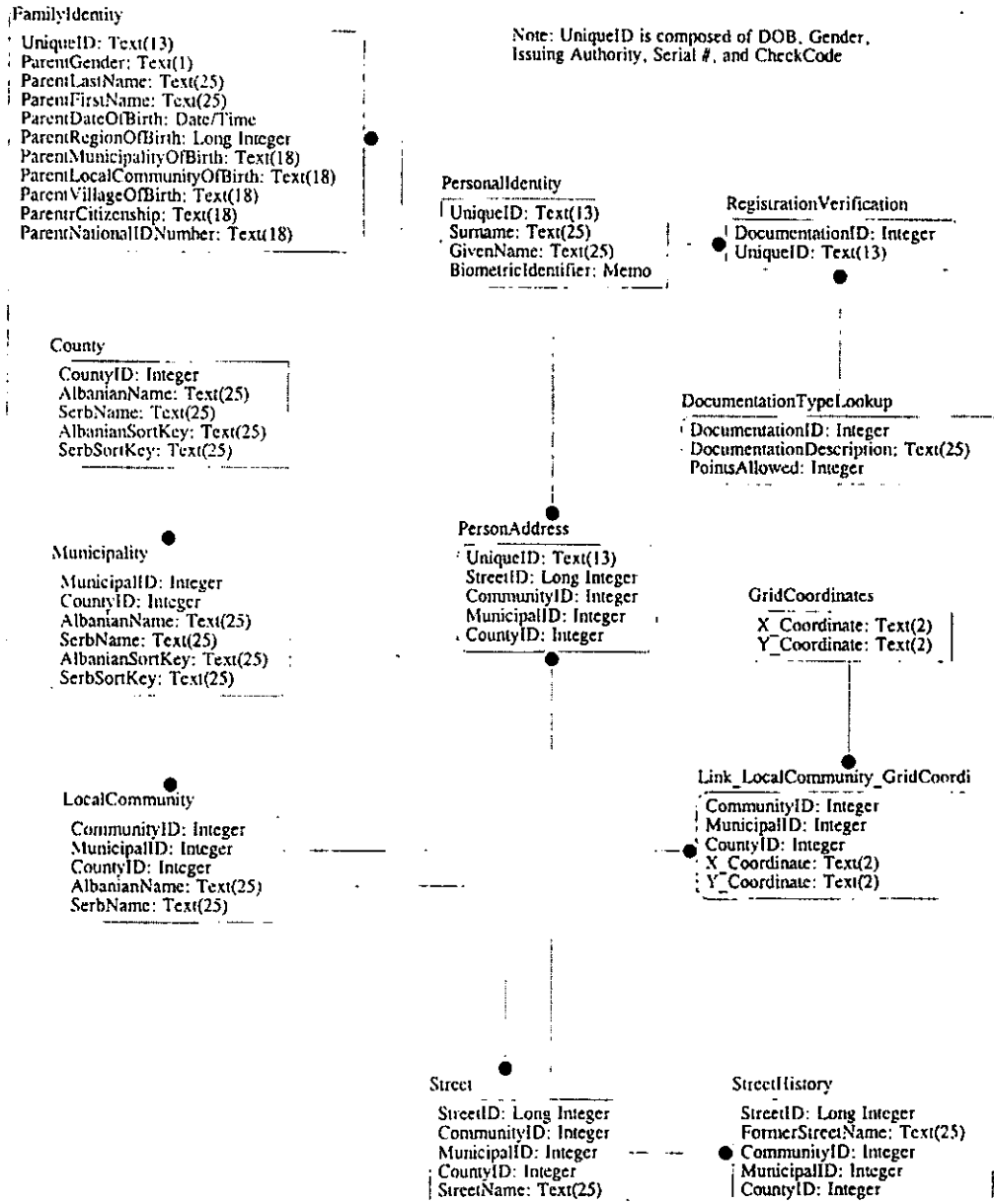
Data Security

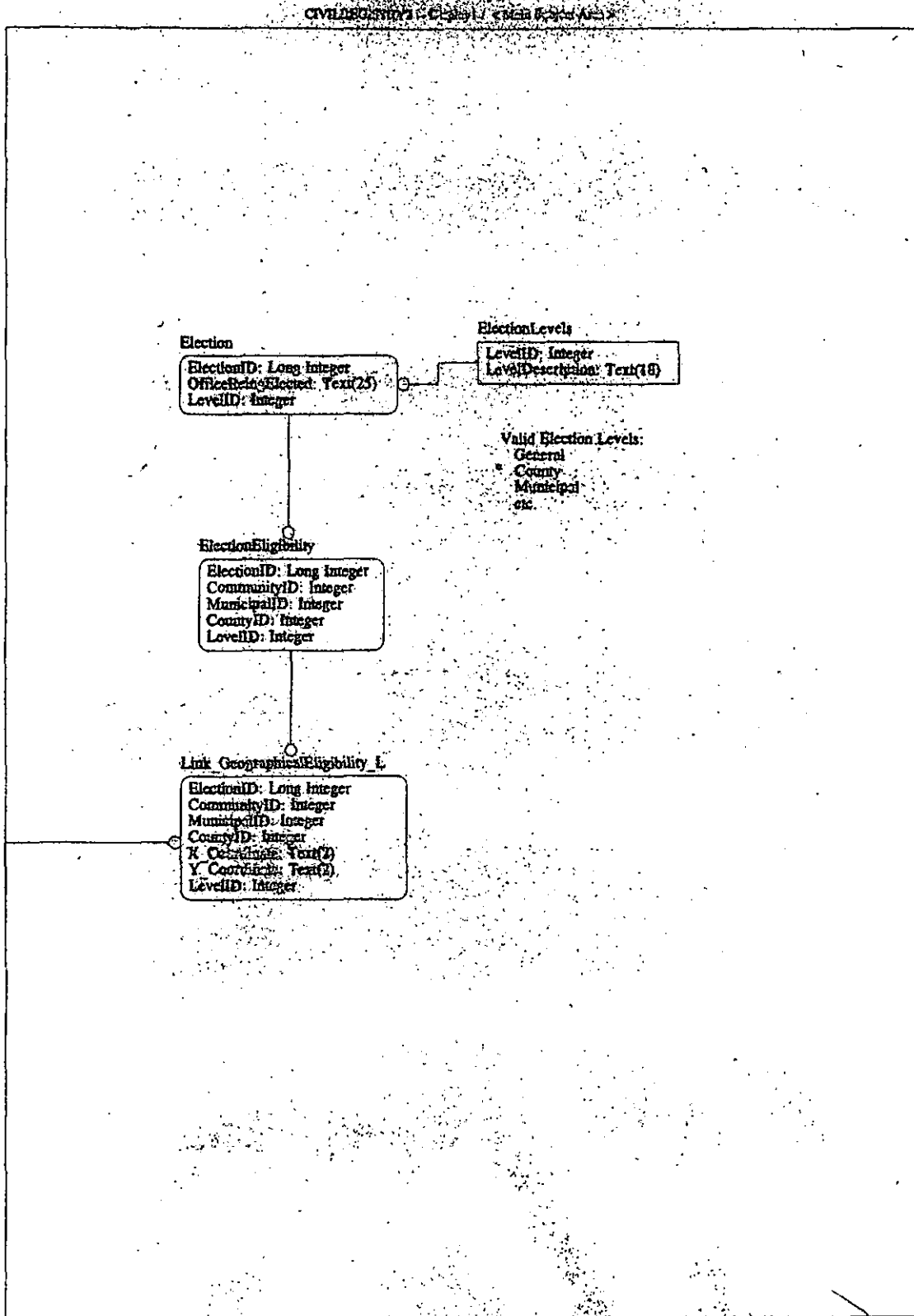
- Remote Office users can perform transactions only against person records within their authorized "domain".

- Remote Office users can view and report on registration activities only for their Remote Office.
- Managers can view and update their Remote Office user security authorizations.
- UNMIK managers can view, but not update, user security information.
- Any user or user-group can be (on-line) restricted from having access to any class of information.

J – Database Design / Entity Relationship Diagram

CIVILREGISTRY2 -- Display1 / <Main Subject Area>





K - Institutional Capacity

The Foundation

The International Foundation for Election Systems (IFES) is a private, non-profit organization established in 1987 to support public, electoral and other democratic institutions in emerging, evolving, and experienced democracies. Non-partisan and technical in approach, IFES has conducted project, conference, or observation activities in over 100 countries around the world.

Over the past twelve years IFES has witnessed an increasing demand for the creation of an integrated national and voter registry with the inclusion of a highly secured identification system which will lend credibility to the system. The growing responsibility of Governments to provide a wide range of services for citizens and residents creates a greater awareness of the need for establishing more effective systems for the identification of persons and for the maintenance of records about those persons. A system of identification of persons (or their records) should be designed in such a manner as to minimise the chances of duplication or opportunities for manipulation and, in particular, to facilitate easy coordination between various governmental activities.

IFES has conducted civil and voter registration in numerous countries and post-conflict situations, including reconstruction and computerisation of existing paper documentation, design of registration databases, large-scale fixed and mobile operations, integration into public administrative or international structures, as well as verification and adjudication of registration claims.

Relevant Experience

Civil and Voter Registration

Bosnia-Herzegovina

In 1996, IFES created the voter registry by implementing an information technology project wherein the 1991 census was brought into a usable format to serve as the provisional voters list. Subsequently, IFES technicians have transformed that registry from a single-use tool into a rolling database open to ongoing data management.

This process, integrating three languages, two character sets, over three hundred thousand out-of-country and absentee voters, 'real-time' connections to municipal centres and provision of voter identification documentation set a new standard of registration operations and technology integration.

Albania

In 1998 and 1999, IFES provided the core technical personnel to OSCE in order to carry out a project to analyse the existing civil/voter registration practices in Albania, test methodologies in six pilot locations to create and maintain a computerised registry, and make recommendations for a nation-wide registration exercise.

In carrying out the project, IFES/OSCE inter alia: set up a network of interviewers to collect personal data in the pilot project locations; contracted a local company to create the software for the exercise; entered the data collected into the database and verified its integrity against existing lists/registries; trained personnel to manage and maintain the data and transferred the technical capacity to municipal authorities in each pilot location.

Ghana

In 1996, IFES provided a broad range of election assistance to the Electoral Commission of Ghana. The primary focus of the program was to assist the Commission in developing a voter registration program; train registrants and political party poll watchers; design a voter education and registration drive; establish a multi-level database system to manage the information at appropriate technology levels; and to issue a vote card to eligible voters and produce an accurate voter registry. This program registered more than 9 million voters in a two-week period, using OMR forms as the source document. The voter's list produced was translated into CD-ROM and distributed to the political parties.

Guyana

IFES deployed a team of consultants to develop a comprehensive study of the Guyanese civil and voter registry and proposed the construction of an integrated national civil and voter registry during the months of July and August of 1995. The study includes an implementation plan for instituting the appropriate legislative framework, creating an effective management structure, updating the cartographic framework, constructing a database, and issuance and distribution of a new identification card. The team provided the Guyanese Elections Commission with cost options and analysis of various ID card systems.

Jamaica

In 1994 IFES conducted a feasibility study of the technical and operational aspects and cost consideration in relation to the proposed electronic fingerprint-recognition and voting system. The voter, once registered, receives an ID card which has his/her fingerprint encrypted in a bi-dimensional bar code on the back of the card. The card is matched to the live fingerprint of the voter to allow him/her to vote.

Peru

In 1997 IFES conducted a feasibility study for Identidad, the Peruvian National Identification and Civil Registry. Through strategic partnerships with providers, Identidad sought to establish a new, efficient, computerised and secure civil registry, issuing new identity cards to Peru's estimated 13.1 million adult population. The registry would be a reliable source of information for a wide array of governmental agencies, ranging from the electoral authorities to the Finance ministry. The feasibility study confirmed the technical, economic, and financial viability of the project.

El Salvador

From December 1997 to July 1998 in coordination with UNDP, IFES conducted a feasibility study of the development of the National Registry of Natural Persons (Registro Nacional de

las Personas Naturales - RNPN) and its related service of a single identity card (Documento Unico de Identidad - DUI). The RNPN would be the responsible agency for the issuance of citizen identification cards which would serve a variety of purposes including voter identification. The study included an assessment of the legal framework, management structures, data base design, and identification card design.

Armenia

In 1998, IFES senior registration experts performed a study of the voter registration system which proposed several short-term, technologically appropriate recommendations for its improvement. In 1999, IFES plans to complete a design and feasibility activity that will propose long-term reform options to address the sustainability of the voter registry.

Georgia

In 1998, IFES senior registration experts conducted an assessment of the Georgian system of voter registration, focusing on the legal basis for voter registration, the registration process as envisioned by the Central Election Commission, and the actual process of registration practised at the local level by Precinct Election Commission members. This preliminary effort was followed by design and feasibility activities in early 1999 to determine appropriate alternatives for the reform of the country's voter registration system. IFES/Georgia maintains a voter registration specialist as part of its election support team.

Philippines

In 1997 following the successful completion of an IFES voter information project designing a plan to educate the electorate on election modernisation and new procedures, IFES initiated a technical assessment and needs analysis to upgrade, modernise, and improve computerised information collection and dissemination capabilities in the Congress.

Co-operation with the United Nations

Armenia

In 1998, the UNDP contributed funds to the IFES voter education effort. The effort resulted in over 200,000 posters and fliers distributed, newspaper articles and special editions, and televised forums produced with the CEC. In 1999, IFES has continued to collaborate with the UNDP in the field of voter education.

In 1999, IFES co-operated closely with the OSCE in the provision of technical assistance to the CEC and in the development of election administration training materials.

Indonesia

In 1999, IFES was contracted by the United Nations Development Program to provide approximately \$13 million of assistance to the electoral process, including large scale voter education and registration activities, sub-granting to national civic groups and international technical support to the Election Commission

Yemen

The First Colloquium on the Development of Election Administration in Yemen, the first official conference in the Arab world to convene governmental and non-governmental actors on the issue of election organization, was organized by the Supreme Elections Committee (SEC), with support from IFES. This historic Colloquium brought together a diverse group of sixty leading Yemenis in Sana'a in March, 1997, for intensive discussions on the organization of Yemen's elections. Participants included SEC members, representatives from the six major political parties, Parliament, civil society, and relevant government ministries, and some of Yemen's most prominent women. Conferees met in working group sessions on the topics of voter education and awareness; the election system; voter registration; election day procedures and the vote count; the independence and neutrality of the SEC; and election administration and training. Eleven distinguished international moderators selected by IFES facilitated the working group discussions. By the close of the conference, participants had adopted more than one hundred recommendations for improvements to the election process. The Colloquium was supported by the British Government, the United Nations Development Program, and the governments of Japan and Canada with funding totaling over \$200,000.

East Timor

At the request of the Secretary-General of the UN, IFES provided its Executive Vice-President, Jeff Fischer, to be the Chief Electoral Officer for the UN administered referendum in East Timor.

Nigeria

With the support of the Department for International Development (UK), U.S. Agency for International Development and the United Nations (through funding received from the European Commission), IFES collaborated with the Independent National Electoral Commission (INEC) of Nigeria to conduct a post-election needs assessment in June-July 1999.

The objectives of the mission were twofold: 1) to assess the conduct of the 1998-1999 transitional elections, and 2) to begin planning for future elections. Following this mission, IFES has received DFID funding to support the provision of technical assistance to the INEC for the development of the Commission's voter registration plan. This five-week project is scheduled for October 1999.

Eastern Slavonia, Croatia

In 1997, IFES was contracted by the United Nations Transitional Authority in Eastern Slavonia (UNTAES) to provide key technical personnel in preparation for elections in the region prior to the hand-over of the region back to Croatian control.

Co-operation with the OSCE

Azerbaijan

Prior to the October 1998 election, IFES and OSCE collaborated closely in the provision of technical assistance to the CEC. Also, IFES together with OSCE, assisted the CEC in the development of the Official Election Day Manual and jointly trained over 500 election officials.

Georgia

IFES and OSCE are currently co-ordinating technical assistance to the CEC by providing election administration training to regional and precinct election commissioners in preparation for the 1999 October Parliamentary elections. IFES and OSCE will jointly develop an election administration training manual and deliver joint training in all regions of the country.

Bosnia and Herzegovina

In 1996, IFES provided over twenty long-term technical personnel to the Elections Department of the OSCE Mission in Bosnia in advance of the Presidential, Parliamentary and Cantonal elections in September. IFES continued to support the electoral process in Bosnia in 1997 and 1998, including a large-scale professional development, institution and capacity-building project in 1999.

Albania

Following wide-spread unrest in Albania in Spring 1997, IFES was contracted by OSCE to provide sixteen technical personnel to the OSCE Presence in Albania to prepare and conduct elections in the country.

Kosovo

Following an assessment by the OSCE Office of Democratic Institutions and Human Rights (ODIHR), IFES provided four technical experts to the Election Department of the OSCE Kosovo Verification Mission, including the Director of Elections, Senior Electoral Legal Specialist, and Co-ordinators of Registration and Operations.

OSCE Secretariat and Office of Democratic Institutions and Human Rights

IFES has a long-standing relationship with the OSCE Secretariat and Office of Democratic Institutions and Human Rights (ODIHR). IFES has been called upon by the Secretariat to provide planning, implementation and review services for a number of Missions. The Foundation has also co-operated with ODIHR on joint project ranging from conference preparation, voter education, implementation review and survey projects.

Technology Integration

IFES has been a leading institution in technology integration for registration, elections and public administration. The Foundation has introduced automated fingerprint information systems (AFIS) technology, two-dimensional bar coding, electronic voting, and centralised

ID card design and security to registration and electoral systems in dozens of countries around the world.

Post-Conflict Operations

The Foundation has also been active in reconstruction projects in conflict and post-conflict zones, focused on population registration and elections. Having worked in Bosnia and Herzegovina, Eastern Slavonia, Liberia, Congo, Albania, Tajikistan, Cambodia, El Salvador, and East Timor, IFES possesses unique experience in the complexities of post conflict democratic and public administration development.

Resources and Advantages

Topical Experience – Kosovo

IFES has been working in Kosovo on registration issues since November 1998, when the Foundation took part on a technical assessment conducted by the OSCE Office of Democratic Institutions and Human Rights (ODIHR). IFES Program Officer for Central and Eastern Europe, Alexander Knapp, remained for an additional six weeks to assist the OSCE Kosovo Verification Mission (KVM) in Pristina focused on voter registration operations and integrity.

In January 1999, IFES deployed three technical specialists to the KVM Elections Unit to further develop technical assessment and planning for voter registration based upon goals outlined in the draft Rambouillet agreement. The IFES experts remained until the evacuation of KVM in March 1999.

During the NATO bombing campaign and the intensification of the conflict, IFES served as an advisor to the OSCE on registration issues and standards, focused specifically on the expatriate refugee population, as well as operational planning for an eventual civil registration activity in the province.

In June 1999, IFES seconded Knapp to return to Kosovo with a technical team under the auspices of the OSCE Secretariat to assess the status of existing, original documentation, and review existing registration efforts in refugee camps. Since that time, he has remained assigned to the issue as a member of the OSCE Mission to Kosovo, providing technical and operational direction to the civil registration and identification effort.

IFES remains the single organization focused on registration, identification and electoral issues in Kosovo since the entry of the international community into the province in winter of 1998.

International Reputation and Staff

The Foundation bases its work on several principles, foremost among them its international, technical and non-partisan status, which guides Foundation grants and projects. Transparency in both the design and implementation of assistance programming, as well as the provision of comparative resources and experience and the inclusivity of international-domestic partnerships strengthen IFES activities world-wide.

IFES' work in the fields of public administration and electoral development has been carried out by thousands of specialists and experts from over fifty different countries. Foundation technical teams are generally made up of international staff and domestic experts, supported from IFES' headquarters in Washington D.C., and over twenty-five field offices around the world.

The Foundation has co-operated often with international organisations, globally and regionally. IFES has worked within OSCE and UN Missions, as well as in co-operation with the Organization of African Unity (OAU), the Organization of American States (OAS) and the Association of South East Asian Nations (ASEAN). Furthermore, the Foundation has founded and supported regional professional associations of electoral and other public administrative officials with whom we co-ordinate on a regular and project basis. The oldest and most active of these, the Association of Central and Eastern European Election Officials (ACEEEO), has offered its services in support of eventual civil registration, identification and electoral activities in Kosovo.

Specifically, having been an integral part of electoral aspects of OSCE Missions in Bosnia, Albania and Kosovo, as well as a regular consultant to the OSCE Secretariat and Office of Democratic Institutions and Human Rights, IFES brings with it a wide range of excellent relationships with the OSCE Chairman-in-Office, Secretariat and other institutions, Heads-of-Mission and technical specialists.

Civil-Military Experience and Relations

IFES co-operates with the Center for Strategic and International Studies (CSIS) to strengthen the civilian and military relationship within the transition countries through encouraging transparency in the planning and budgeting of national defence programs, ensuring democratic control of defence forces, and promoting co-operative regional military relations. In addition, IFES focuses on educating the populace as to the nature and responsibilities of the military in a democracy, as well as to what their own rights and responsibilities are in relation to the armed and security forces. Basing civil-military development upon NATO's Partnership for Peace and OSCE standards, IFES reinforces European institutions' efforts through targeted technical assistance.

IFES has also worked closely with NATO-led peacekeeping forces to integrate military support and protection into the registration and electoral processes, namely:

- Provision of Motorola repeater sites and equipment as required, particularly in poor weather;
- Net monitoring and control from SFOR bases;
- Provision of transport support for the delivery of both non sensitive and sensitive materials;
- Long term storage of electoral materials on SFOR bases. In Bosnia this amounted to 3,200 pallets which had to be secured in weatherproof and damp proof conditions;
- The distribution of voter information materials using a variety of media, particularly into rural areas;
- Reconnaissance of polling stations, followed by engineering support, including the provision of electrical generators and sanitation;

- Detailed reconnaissance and clearance of explosive ordnance around polling stations and the marking of routes to these sites;
- The designation of secured voter routes, to allow minority access to polling stations;
- Provision of air transport and support to polling station supervisors;
- Provision of security, medical support, and evacuation assistance, as necessary, to elections personnel including polling station supervisors, all of whom were declared to be 'persons of designated special status';

Topical Resources and Archives

The F. Clifton White Resource Center, housed at IFES' headquarters in Washington D.C., serves as a clearinghouse for all types of information related to registration, elections and democracy building. This information is available upon request by countries, election officials from the United States and abroad, U.S. Government agencies, NGOs, academic researchers, and the general public. IFES' database includes a country-by-country file of electoral system information, names and addresses of election officials, voting eligibility requirements, election dates and results, and basic background information, as well as a vendor file that assists the IFES staff in procuring election-related commodities and equipment.

IFES also maintains hard-copy files containing constitutions, election laws, election statistics, sample ballots, sample election documentation, pollworker training materials, observer orientation materials, news articles, and sample civic education materials. The Resource Center houses a rapidly growing specialised library of books, videos, magazines, journals, election observer reports, posters, and other reference materials pertaining to the field of public and electoral administration.

Development Capacity, Partner and Donor Co-ordination

As a technical leader in public and democratic development, IFES is a focal point for international funding and donor organizations. Large-scale registration, electoral and post-conflict programming often requires the co-ordinated funding and integration of multiple donor and implementor organisations.

IFES can provide the technical leadership for a complex project soliciting and incorporating funding from multiple sources and directing partner organizations in a unified operation.

L - BRAINSTORMING OF TASKS FOR CIVIL REGISTRATION

Please note that the following list was produced at an informal brainstorming session and is not intended to represent a comprehensive list of required tasks. Rather the list is intended to help identify tasks which may have been missed in a more formal process of project planning.

CREATE LEGAL FRAMEWORK

Identify issues which must be addressed by regulation

Who, when, where

Definition of “absentee” and rights associated with “absentee” registration

Use of JMBG (former Yugoslav national ID number)

Who has access to data? Who is denied access to data?

Requirement for duration of data storage, paper storage

Residency date requirements

Define requirements for proving identity

Sanctions / deterrent for forgery of documents?

Addresses – old or new street names?

Divide into “Early Resolution” and “Later Resolution” issues

Early includes voter eligibility, levels or classes of civil register status (green card?), whether to keep or discard National ID (JMBG), street names, language / alphabet to use on cards and registration forms

Late resolution includes appellate procedures for adverse registration decisions, uses of data, infrastructure for continuation of civil register

Define legal process for

Passing regs

Administrative determinations / appeals

Define registration authority, eligibility, value of existing documentaion, alternative methods of verification, adjudication and appeals processes

Draft registration law

Write all supporting commentary explaining issues which were considered, pros and cons of controversial decisions

Review of draft law by New York

IDENTIFY REGISTRATION CENTRES (RC's)

Follow up stock-taking tour

Define space requirements

Define infrastructure requirements (phone, electricity, water, accessibility?)

Identify premises for registration centres (primary and alternate sites)

Create security plan for centres

Draft contracts for use of premises

Process of registration

Number of people registering per RC

Who is allowed to register

Number of workers

Type of equipment

Operating hours

Identify density / general location for centers – How many centers in each municipality? City? Local community? for most efficient operation

Inform local population of registration sites and where they must go to register

- Address requirements for mobile registration teams
- Plan for “special needs” access
- Evaluate appropriateness of space for “movement control” as defined in “Establish Procedures...” task
- Plan for ethnic accessibility
- Identify previously-used Registration Centres (publicly held, so UNMIK not required to rent space; known to population, so decreases public information campaign requirements)

RECRUIT STAFF

- Define required organisational structure (pyramid structure)
- Draft job descriptions / qualifications requirements for international staff
- Identify local staff requirements, write job descriptions
- Locate local staff from pre-existing registration centres wherever possible
- Define staff needed for “peak demand” periods
- Temporary staff (translators, secretarial)

COLLECT EXISTING DOCUMENTS

- Identify existing documentation types
- Make recommendations for legal framework to use existing docs
- How they can be used to validate citizenship / residency
- Accessibility to public documents
- Requirement to provide assistance for people seeking copies of documents
- Identify requirements for copies of a document to be issued
 - (Note that this is a chicken and egg issue: I can't get a photocopy of my vehicle registration because I don't have any kind of ID card; I can't get an ID card without showing several kinds of documentation such as vehicle registration.)
- Put order into existing backup records
- Decide where / how to house existing docs
- Draft policy on archival of documents
- Provide for physical access to existing docs for verification purposes
- Should docs be co-located with registration or separate?
- Record-keeping (pre-civil reg) and integration

DESIGN REGISTRATION FORM

- Decide which languages must be supported (Albanian, Serbian – cyrillic or latin?, English, Turkish?)
- Get copies of registration forms used by other registrations in Balkans (Bosnia, E. Slavonia)
- Determine whether the data on the forms will be captured by manual input, OMR (optical mark recognition, or “bubbles”), ICR (intelligent character recognition of handwriting) or other
- Define what data must be collected
- Conduct usability tests, data capture tests, time / motion tests, etc. and revise form to optimize speed and accuracy

ESTABLISH PROCEDURES FOR OPERATING REGISTRATION CENTRE

- Arrange for road maps, radios, other logistical support

- Define security requirements / procedures
- Coordinate with CIVPOL, KFOR
- Define flow of people through center, procedures for each worker processing both people and paperwork
- Identify requirements for BIS / SAGEM to scan photo, fingerprint and collect required data
- Define movement controls (stages of registration, adjudication procedures)
- Requirements for electricity, comms, backup generators?
- Equipment requirements, redundancy to handle failure
- Pilot test of “mock registration centre”
- Make list of FAQ (frequently asked questions) – plan for keeping updated in each registration centre
- Define immediately procedures for appeal in cases where registration is denied

LAUNCH CIVIC EDUCATION / PUBLIC RELATIONS CAMPAIGN

- Establish relationships with radio stations
- Determine which newspapers exist, circulation of each
- Find out capacity of local print houses
- TV spots with famous personalities (pop stars, actors)
- Create civic education plan to ensure broadest possible coverage
- Design flyers
- Message development (Information, Motivation elements)
- Media Review (what electronic, print, direct media exist?)
- Trainer selection and orientation
- Use NGO’s to spread information since many have roots in communities or in certain groups

TRAIN REGISTRATION CENTRE WORKERS

- Create training manual (after all procedures have been defined)
- Carefully analyze roles of BIS / SAGEM, International staff, local staff
- Design cascading training program, using “training of trainers” approach
- “Dry run” of training session in central location to calibrate workers with procedures and identify any problems and FAQ’s (frequently asked questions)
- Recruit international and local training staff (possible source for local staff – Pisa, Pristina University)
- Conduct two training sessions

COORDINATE SECURITY

- Civilian international police presence
- KFOR support – quick reaction plan if needed upon incidents
- Poll watchers from both major ethnic groups to keep process honest
- Safeguard forms / database / registration sites
- Develop plan to react to attempts to sabotage the process – put counter-intelligence in place

DESIGN LOGISTICAL PLAN

- Delegate to Andy Michaels, Bob Crus, Col. Iadiasco (and German KFOR Officer as required)
- What equipment is required

- What supplies
- Distribution plan
- Funding, staffing requirements for logistical support
- Environmental requirements (heat, electric, water)
- Identify buildings for running warehouse, supply office, vehicle support
- Communications system (satellite?)
- Feasibility of courier

PROCURE REQUIRED GOODS & SERVICES

- Identify requirements based upon law
- Determine systems requirements for each registration centre based upon population density
- Integrate requirements into ops plan to maximize parallel activities (save time) and redundant use of resources (save money)
- Funding must be secured well in advance
- Establish procurement procedures, request forms
- Create system for tracking materials, including focus on security requirements for registration forms, ID cards, etc.
- Identify goods required for central office
- Identify goods required for regional offices

COMPLETE BUDGET AND FUND DEVELOPMENT

- Determine what will be provided by BIS / SAGEM and at what cost
- Consult with budgeting experts (State Dept., Swiss Development Agcy)
- One project budget
- Target relevant funders
- Define audit procedures (may be specific requirements by UN or funders)
- What results are guaranteed by funding? Quick election? Free and fair election?
- Contingency plan for event that projected funds are insufficient to run process to completion
- Who will guarantee shortfall to ensure that registration is completed?

DESIGN ID CARD / SECURITY

- Determine what information will be visible on card
- Define “dynamic” elements of card (2D barcode, magnetic stripe)
- Decide whether it is more efficient to centralize or decentralize printing of cards
- Anticipate possible future legitimate and/or illegitimate uses of the cards
- Plan procedures for handling lost or stolen cards and replacement ID’s

OUT OF AREA REGISTRATION

DATABASE DESIGN

- Identify and evaluate usability of existing datasets (Mother Theresa lists)
- Implement strategy for unique identifier
- Design database structure to allow integration of biometric data from SAGEM / BIS
- Define data import / synchronisation requirements with data from ___? different workstations distributed throughout the province
- Ensure integration of scanned images with demographic data on each individual

Train local development staff to assume responsibility for database development

ESTABLISH DATABASE SECURITY

Consult with SAGEM / BIS about database requirements – what information must they provide

Plan steps for preservation of privacy of data (both physical security of database servers and media, and password-protected security levels to allow required access)

Establish backup procedures, including offsite backup of data on regular basis

USER INTERFACE DESIGN

RISK MANAGEMENT

PROFESSIONAL DEVELOPMENT

Create plan for local counterpart for all critical positions and for orderly handover of registration process



**TECHNICAL ASSISTANCE FOR CIVIL
REGISTRATION/IDENTIFICATION AND DEVELOPMENT
OF A CENTRAL ELECTION COMMISSION - KOSOVO**

FINAL ACTIVITY REPORT

**September 1999- January 2000
USAID COOPERATIVE AGREEMENT
NO. AEP-5468-A-00-5038-00**

Submitted to the

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

by the

INTERNATIONAL FOUNDATION FOR ELECTION SYSTEMS

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INTRODUCTION

The International Foundation for Election Systems (IFES) is a private non-profit organization, dedicated to supporting and strengthening the democratic process and democratic institutions in emerging and consolidated democracies around the world. IFES offers specialized technical assistance in areas such as elections, civil registration, civil society and rule of law.

In September 1999, IFES initiated a project in Kosovo through funding made available from the United States Agency for International Development (USAID/Kosovo). The main objective of this agreement was the provision of technical assistance to the international authority in Kosovo, United Nations Mission in Kosovo (UNMIK), and in particular UNMIK's Pillars II (UN Civil Administration or UN/CA) and Pillar III (Organization for Security and Cooperation in Europe or OSCE), to initiate civil registration/identification planning in Kosovo. Upon the submission of an operations plan for Population Registration and Identification of the Kosovar population to Pillar II and USAID in October of 1999, IFES modified its work plan to assist Pillar III in the development of a Central Election Commission and to ensure election considerations were integrated into the implementation of the Population Registration. This second phase of assistance was initiated in November 1999 and concluded with the submission of an Elections Operations Plan to Pillar III and USAID in January 2000.

The final report covers all project activities between September 1999 until the expiration of the Cooperative Agreement in January 2000. In compliance with the terms of the cooperative agreement, this report seeks to review the activities and achievements of the program in relation to its stated objectives.

PURPOSE AND OBJECTIVES OF THE PROGRAM

Within its main purpose of providing technical leadership and expertise to initiate civil registration/identification planning and development of a provisional Central Election Commission (CEC), the technical assistance program conducted by IFES in Kosovo had two principal goals:

- To design a comprehensive operational plan for civil registration and identification in the territory of Kosovo; and
- To design a comprehensive election operational plan for the CEC and OSCE.

Accordingly, the Project set forth the following specific objectives:

Phase I (Civil Registration and Identification)

1. Draft a detailed outline and work plan that addresses the concern regarding a sequence of activities that may induce early elections in Kosovo.
2. Address and identify a funding schematic that addresses the elements of a cost effective voter registration program that can stand-alone and that produce identification cards and a workable voter registry. Address the possibility that identification cards and a working voter registry be created in such a way that is not dependent upon other elements of a civil registry should extra, non-USAID, funding prove impossible to secure.
3. Provide the technical and operational leadership in the collection and cataloguing of remaining original relevant records, registries, documentation in Kosovo for use in civil registration, identity verification and other applications;
4. Draft the design and initial implementation of a first-phase civic education campaign on the registration and identification process;
5. Provide an in-depth analysis of international standards of civil registry database design and comparative data content;
6. Draft a version of a civil registry database including initial data fields from international and domestic public sector specialists;
7. Draft a technical plan for data capture of remaining original relevant records, registries, documentation in Kosovo for use in civil registration compatible with the beta version of the civil registry;
8. Draft a legal framework on civil registration for presentation to the UN Special Representative of the Secretary General for passage into interim law; and
9. Conduct a legal review of eligibility criteria for a range of public services and rights (health, residency, citizenship, voting, et. al) and provide recommendations for training priorities for public administrators and civil servants.

Phase II (Development of a Central Election Commission - CEC)

1. Draft CEC mandate and scope of work;
2. Draft prioritization of CEC objectives and benchmarks –short and long term;

3. Draft CEC structure - organizational chart and division of labor;
4. Draft division guidelines for areas such as registration, election official and poll worker training, candidate information and support services, and voter education;
5. Draft CEC operational procedures;
6. Draft operational election budget(s);
7. Draft management plan for CEC local bodies ;
8. Report on CEC outreach to ensure electoral considerations were integrated into the implementation of the UNMIK registration plan and future management plans;
9. Draft a CEC security plan; and
10. Draft a training curriculum on elections for a proposed OSCE Civil Administration Training Academy.

**ACTIVITIES FOR
(SEPTEMBER 1999-JANUARY 2000)**

I. CHRONOLOGY

**A. PHASE I (CIVIL REGISTRATION AND IDENTIFICATION)
(SEPTEMBER – OCTOBER 1999)**

1. DEPLOYMENT OF IFES TEAM 1: SEPTEMBER 28, 1999
2. DEPLOYMENT OF IFES TEAM 2: OCTOBER 8, 1999
3. SUBMISSION OF OPERATIONS PLAN: OCTOBER 15, 1999
4. UN/CA DECISION TO DISREGARD IFES
RECOMMENDATION ON A SPRING REGISTRATION TIMETABLE:
OCTOBER 15, 1999

**B. PHASE II (DEVELOPMENT OF A CEC)
(NOVEMBER – JANUARY 2000)**

1. DEPLOYMENT OF IFES TEAM 1: NOVEMBER 24, 1999
2. DEPLOYMENT OF IFES TEAM 2: DECEMBER 1, 1999
3. FIRST DRAFT OF ELECTION OPERATIONS PLAN: DECEMBER 15,
1999
4. OSCE AND UN/CA DECISION TO
JOINTLY CONDUCT REGISTRATION: DECEMBER 15, 1999
5. IFES SUBMISSION OF FINAL
REGISTRATION/ELECTION OPERATIONS PLAN: JANUARY 23,
2000

I. NARRATIVE DESCRIPTION OF THE ACTIVITIES FOR PHASE ONE

A. BACKGROUND

Initial IFES involvement prior to September 1999

In October 1998, IFES participated in an assessment sponsored by the OSCE Office of Democratic Institutions and Human Rights (ODIHR) to review technical needs and challenges in conducting eventual elections in Kosovo. This assessment, part of the operations undertaken by the OSCE after the agreement between Yugoslav President Slobodan Milosevic and negotiator Richard Holbrooke, aimed to establish the quality of population and other registries for the province, and the extent to which the Kosovar Albanian population would participate in the public administration and electoral processes.

The long-standing boycott of Serb governmental structures by the Kosovar Albanian population (since 1990) resulted in the serious degradation of public services and administration since then. Furthermore, the creation of a 'shadow' government and institutions by the Kosovar Albanians added an additional level of complexity as informal political and civil authorities operated without sufficient resources or an internationally recognized mandate.

As a result, voter rolls and other population registries in Kosovo were plagued by serious issues of data integrity, an issue which was then exacerbated by the confiscation of refugees' identification documents by Serb border police during the recent exodus of ethnic Albanians from the province. With the cessation of hostilities in the Province and the rapid return of refugees to Kosovo, registration of citizens and voters became the most complex issue in the reconstructed public administration and eventual elections.

The massive population movements which resulted from the conflict required that civil and electoral planning include elements taking into account the issues of return, voter eligibility, and possibly out-of country voting. In the initial months of activity, 'real-world' concerns and issues inherent in the refugee populations had to be incorporated into strategic electoral planning.

IFES involvement in immediate Post conflict Kosovo/OSCE

In the end of May 1999, Ambassador Marton Krasznai, Director of the OSCE Conflict Prevention Centre, requested IFES to provide the OSCE Secretariat with technical assistance in operational assessment and planning for activities in Kosovo.

Immediately following the cessation of NATO airstrikes and a military agreement directing the withdrawal of Yugoslav troops, IFES (under OSCE auspices) conducted a technical assessment to Kosovo and the region to:

- Review existing refugee registration efforts by UNHCR, IOM, OSCE and others to determine their feasibility for use as a basis for registration within Kosovo;
- Examine the operational conditions within the eventual Mission Area (including likely 'Out-of-Country' areas and environments) in order to accurately update OSCE operational plans to include technical, logistical, personnel and budgetary priorities in preparation for deployment; and
- Interface with local personnel and political authorities both inside and outside of Kosovo to determine likely levels of confidence in various registration and identification models.

IFES technicians also spent two weeks co-located in the OSCE Secretariat to:

- Review and update the OSCE planning document on elections to include issues of refugee and out-of-country populations, civil registration and identification;
- Draft detailed operational plans and priorities for deployment of registration personnel to Kosovo.

General Findings of IFES involvement prior to September 1999

During the original IFES technical assessment to Kosovo in October 1998, it was clear that issues of data integrity and quality would necessitate a full, new voter registration. Events surrounding the conflict and airstrikes only reinforced that recommendation as the scope of the destruction of personal identity documents and original registries becomes clear.

The much-publicized partnership between UNHCR and Microsoft to register refugees became mired in technical and political difficulties and resulted in only 80,000 registered individuals, without any permanent ID cards being handed out.

Serb municipal administration structures were rendered essentially defunct, except where critical to public safety or basic services, in which case they were and continue to be heavily supported by KFOR resources. In addition, the Kosovar Albanian shadow institutions were undermined by the flight of qualified personnel out of the country and the rise of the Thaci government as a political power.

And while provisional authorities will be eventually appointed by the United Nations Mission in Kosovo (UNMIK), the international community continued to move slowly to secure documentation, initiate operational planning for registration, locate and train staff and draft the legal framework for the activity.

B. PROJECT ACTIVITIES

Overview

In September and October 1999, IFES conducted an assessment sponsored by USAID in coordination with the Special Representative Secretary General (SRSG) of the United Nations Mission in Kosovo (UNMIK) and Deputy Representative Secretary General (DRSG) of Institution Capacity Building (relegated to the Organization for Security and Cooperation in Europe-OSCE – known as Pillar III) and DRSG of Civil Administration (UN/CA –known as Pillar II) which resulted in the development of an Operational Plan for a Population Registration and Identification of the Kosovar population. Although the original intent of the Plan was the conduct of a civil registration¹ by UNMIK, time constraints imposed on the registration exercise by the expressed UNMIK objective of registering Kosovars for an eventual Spring 2000 electoral process required a “scaled down” population registration exercise².

The IFES plan delineates the basic requirements that must be met in order to comply with the goals of the “scaled down” registration exercise:

- to provide an ID card to all Kosovars aged 16 and above;
- to create a registration database which will be the basis for creating a voters list; and
- to use this as the first step towards the creation of a civil registry.

UNMIK has received and initially indicated its intent to use the IFES Operational Plan as a source for the population registration.

¹ Civil registration is a continuous process that gathers and screens documents, files, secures, corrects, updates and certifies information on the occurrences of vital events as they relate to the civil status of individuals. It is characterized by the legal documents that it produces, such as birth, marriage, and death certificates. A computerized civil registration system involves the electronic registration and updating of civil status information. Information can be passed on to other institutions, such as election commissions.

² Population registration unlike civil registration is not continuous. While information gathered from a population registration may be retained and ultimately used within the civil registration system, it is effectively a one-time event.

Accomplishment of objectives

The following stated objectives are included in the Draft Operations Plan:

1. A detailed outline and work plan that addresses the concern regarding a sequence of activities that may induce early elections in Kosovo.
2. Funding schematic that addresses the elements of a cost effective voter registration program that can stand-alone and that produce identification cards and a workable voter registry. Address the possibility that identification cards and a working voter registry be created in such a way that is not dependent upon other elements of a civil registry should extra, non-USAID, funding prove impossible to secure.
3. Draft guidelines on procedures for the collection and cataloguing of remaining original relevant records, registries, documentation in Kosovo for use in civil registration, identity verification and other applications;
4. Draft design of a first-phase civic education campaign on the registration and identification process. Initial implementation could not be conducted due to the lack of UN funding and disregard for IFES recommended timetables.
5. In-depth analysis of international standards of civil registry database design and comparative data content;
6. Recommendations for civil registry database specifications including initial data fields;
7. Draft technical plan for data capture of remaining original relevant records, registries, documentation in Kosovo for use in population registration;
8. Draft legal framework on civil registration; and
9. A legal review of eligibility criteria for a range of public services and rights (health, residency, citizenship, voting); and
10. Recommendations for training priorities for future registration officials.

Additionally, IFES complied with the request of the UN/CA and provided a review of the vendor SAGEM/BIS consortium's initial proposal for the provision of AFIS (Automated Fingerprint Identification System) and ID card technology and services within the Operations Plan.

C. PROGRAM ADMINISTRATION

On September 28, the first three members of the team arrived. Mr. Mike Yard, IT Integration Specialist, Jorge Tirado, ID Document Expert, and Dan Blessington, Legal Specialist, received logistic support from OSCE including office space. On October 8, 1999, IFES' second team arrived: Mr. Jeff Fischer, Senior Advisor, Mr. Ron Gould, Senior Election Administration and Registration Expert, and Mr. Ben Goldsmith, IT Database Expert. Due to the UN/CA decision to disregard IFES' recommendation to initiate registration in the spring, IFES did not deploy Registration specialist Christen Christensen as originally intended. The team submitted the draft Population Registration Operations plan to UN/CA on October 15, 1999 and USAID. As requested, this plan includes a review of the vendor selected (sole sourced) by UN/CA for the provision of AFIS and card technology, SAGEM-BIS consortium. During the latter part of October, IFES hired Chief of Party Bronwen Morrison. Ms. Morrison worked on the modification of the work plan for Phase II and led the transition of its implementation in the field.

II. NARRATIVE DESCRIPTION OF THE ACTIVITIES FOR PHASE TWO

A. BACKGROUND

On October 15, 1999, UNMIK Pillar II, UN/CA, received and initially indicated its intent to use the IFES Operational Plan as a source for the population registration. While the start date for registration implementation continued to be announced and postponed throughout October-December, activities aimed at ensuring electoral and sustainable considerations were integrated into the implementation of the population registration needed to be continued and reinforced through a module of international and local coordination and cooperation. Applying lessons learned in other countries, IFES strongly believed that the early establishment of a provisional Kosovar Central Election Commission and its insertion in the early phases of electoral planning was and is of paramount importance for short-term legitimacy and long-term effective local capacity.

While the OSCE was awarded the mandate to organize and supervise the holding of elections in Kosovo³, two critical policy issues needed but had yet to be determined between the SRSG and OSCE: mandate, structure and composition of the provisional

³ According to the July 1999 Exchange of Letters between the UN and OSCE, the OSCE is responsible to "organize and supervise the holding of elections in Kosovo". Further, the SRSG shall, in consultation with the OSCE: "determine the date of elections; determine the applicable rules and regulations; certify the election results". Finally, "the OSCE shall provide to the SRSG a list of qualified candidates for appointment to the Central Elections Commission of Kosovo".

Kosovo Central Election Commission and division of responsibilities concerning the Rules and Regulation. These critical decisions had to take into consideration the receipt and management of the UNMIK population registration list and certain highly political issues such as eligibility, dates and voter options. The bottom line objective had to be drafting a process that is inclusive of domestic interests yet efficient, which is extremely complicated. The UN and OSCE had to be lockstep on all important policy issues.

B. PROGRAM ACTIVITIES PHASE TWO

In coordination with the United Nations Interim Administration Mission in Kosovo and OSCE, IFES provided technical and organizational assistance to initiate the development of a provisional Kosovar Central Election Commission (KCEC) and drafted an Election Operations Work Plan for the CEC and OSCE. With the concurrence and logistical support of the OSCE Secretariat and Mission in Kosovo, IFES deployed a rapid-reaction team of 7 experts to the province to initiate planning activities during the months of November - December. A mid term draft of a CEC work plan was submitted to USAID on December 15, 1999. One substantial modification to the election operations occurred in mid December when the UN/CA and OSCE decided to form a Joint Registration Task Force (JRTF). IFES assisted both the UN/CA and OSCE with the concept, scope and mandate of the JRTF in late December and January. This structural change reflected IFES' earlier conviction that registration should be under an election context. This modification to the operations added considerable tasks for the IFES team as the JRTF now has direct relations to the CEC. A final draft was delivered on January 23, 2000.

As part of usual IFES review procedures, IFES assembled a small international planning review committee. This review committee was comprised of additional internationally recognized election system designers (Horacio Boneo, Rafael Lopez Pintor and Ron Gould) who reviewed the mid term draft plan and the final work-product.

Accomplishment of stated objectives

The IFES Election Operations Plan includes the following stated objectives:

1. Draft of CEC mandate and scope of work.
Additionally, IFES drafted mandate and scope of work for an Election Complaints and Appeals Commission, CEC Secretariat, and subsidiary bodies, and JRTF.
2. Draft prioritization of CEC objectives and benchmarks –short term.
Due to the short time on the ground and immediate needs facing a 2000 election, long term objectives and benchmarks were not drafted in the operations plan.
3. Draft CEC structure - organizational chart and division of labor.
The ECAC, Secretariat, and subsidiary bodies and input on the JRTF.

4. Draft division guidelines for registration, election official and poll worker training, political party and candidate information and support services, and voter education, Information Technology, Database, Operations and Logistics, and a calendar for CEC in narrative and Microsoft Project format.
5. Draft CEC operational procedures and a draft of ALL election forms;
6. Review of OSCE draft operational election and registration budgets;
7. Draft management plan for CEC local bodies (MECs – Municipal Election commission).
8. A OSCE/KFOR/CEC security plan;

IFES did not draft an Election training curriculum for Civil Administration Training Academy as OSCE has not yet established this institution and it will not due so at this time due to the monumental constraints placed upon their current personnel for election planning. IFES did however draft a registration handbook for registration officials and provided a draft handbook for polling officials.

Challenges to the accomplishment of CEC development objectives

The development of a Kosovo Central Election Commission (KCEC) as a viable provisional entity in the early stages of the election process signifies an international commitment to a sustainable electoral and democratic process in Kosovo. OSCE was very aware of the importance of constituting the CEC but bureaucratic administrative procedures between the OSCE and UNMIK legal unit and UN/NY delayed the approval process of three critical legislative pieces: CEC Composition legislation Draft Rules and Regulations (to be approved by a future CEC); and draft Civil Registration legislation. All three pieces of legislation are still under review. While the CEC draft legislation calls for a majority of local officials (9 out of the 12 proposed slots will be reserved for local officials), the international community has a veto power. IFES and OSCE however do agree on the need for institution building measures during the composition of the regional and municipal staffing plans. The OSCE has dedicated a division aptly named Local Capacity to work on these issues. The IFES drafted Election plan provides guidelines for the implementation of this local capacity strategy.

C. PROGRAM ADMINISTRATION: PHASE TWO

In November 1999, Chief of Party and Registration specialist Bronwen Morrison arrived with advance IFES team: Mr. Dan Blessington, Legal Specialist, Mr. Christen Christensen, Registration expert, Ms. Elise Schoux, Education and Training Specialist. Additional team members, Dana Debouviour (election administration) and Bruce Hatch (logistics) arrived in late November and by December 1, 1999 Mr. Jeff Fischer, Senior Advisor, arrived in territory. The team was given office space and some logistic support by OSCE's Election

Unit. On December 15, 1999 the team forwarded the draft plan to OSCE, USAID and its review committee (Horacio Boneo, Ron Gould and Rafael Lopez Pintor). After a short holiday break, IFES returned to Kosovo with a slightly revised team. Due to some professional commitments, Ms. Dana Debouvior, Election Administration Expert, could not return to Kosovo in January and was replaced by Lorie Wells (Elections Canada). Mr. Bruce Hatch also could not return and was replaced by John Landry (Elections Canada) for the logistics and operations needs. The team was also amplified by two new slots; Information Technology specialist, Mike Yard, and Political Party Services/Election Administration Expert, Charles Lasham. During the latter part of the January presence, review committee members Mr. Ron Gould and Horacio Boneo assisted the team and OSCE/CEC on outstanding policy issues (drafting a potential framework for territory wide elections, dual option voting and cut off dates for registration). The final draft of the election plan was submitted on January 23, 2000 to USAID and OSCE/CEC.

III. WORK PRODUCTS

Attached to this final report are copies of the two work products: Draft Operational Plan for Population Registration and Final Draft of Election Operations.