

# **PNG Electoral Support Program Phase 2**

## **Program Design Document**

***February 2005***



**Australian Government**

**AusAID**

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## Acronyms

|          |                                                                             |
|----------|-----------------------------------------------------------------------------|
| AEC      | Australian Electoral Commission                                             |
| ANCP     | AusAID NGO Cooperation Program                                              |
| ASF      | Advisory Support Facility                                                   |
| AusAID   | Australian Agency for International Development                             |
| BRIDGE   | Building Resources in Democracy, Governance and Elections (training course) |
| CACC     | Central Agencies Coordinating Committee                                     |
| CCAC     | Community Coalition Against Corruption                                      |
| CDC      | Constitutional Development Commission                                       |
| CDS      | Community Development Scheme                                                |
| CFBM     | Central Fund Board of Management                                            |
| CIMC     | Consultative Implementation and Monitoring Council                          |
| CSO      | Civil society organisation                                                  |
| DNPRD    | Department of National Planning and Rural Development                       |
| DPM      | Department of Personnel Management                                          |
| EM       | Election manager                                                            |
| ESP      | Electoral Support Program                                                   |
| GOA      | Government of Australia                                                     |
| GOPNG    | Government of Papua New Guinea                                              |
| IT       | Information technology                                                      |
| IRM      | Impartial Review Mechanism                                                  |
| LLG      | Local Level Government                                                      |
| LPV      | Limited preferential voting                                                 |
| M&E      | Monitoring and evaluation                                                   |
| NCD      | National Capital District                                                   |
| NCW      | National Council of Women                                                   |
| NDF      | National Development Fund                                                   |
| NEC      | National Executive Council                                                  |
| NGO      | Non-government organisation                                                 |
| NRL      | National Rugby League                                                       |
| NZ AID   | New Zealand Agency for International Development                            |
| OLDRL    | Organic Law on Duties and Responsibilities of Leadership (Leadership Code)  |
| OLIPPAC  | Organic Law on Integrity of Political Parties and Candidates 2000           |
| OLPLLG   | Organic Law on Provincial and Local Level Governments 1997                  |
| PDD      | Program design document                                                     |
| PFMTP    | Provincial Financial Management Training Program                            |
| PM & NEC | Prime Minister and National Executive Council                               |
|          |                                                                             |
| PNGEC    | Papua New Guinea Electoral Commission                                       |
| PNGOC    | PNG Ombudsman Commission                                                    |
| PSC      | Public Service Commission                                                   |
| PSMRU    | Public Sector Management and Reform Unit                                    |
| ROU      | Record of Understanding                                                     |
| RPNGC    | Royal Papua New Guinea Constabulary                                         |
| SHP      | Southern Highlands Province                                                 |
| SOS      | Scope of Services                                                           |
| TA       | Technical Assistance                                                        |
| TAP      | Technical advisory panel                                                    |
| TI       | Transparency International                                                  |
| UN       | United Nations                                                              |
| UNIFEM   | United Nations Development Fund for Women                                   |
| UPNG     | University of Papua New Guinea                                              |
| WIP      | Women in Politics                                                           |

## **Executive summary**

### **Background**

The AusAID-funded support to the PNG Electoral Commission (PNGEC) provided by the Australian Electoral Commission (AEC) started in April 2000. Phase 1 involved supporting the update of the common roll and strengthening the capacity of the PNGEC to plan and conduct the June-July 2002 national election; as well as promoting community awareness for the Southern Highlands Province (SHP) supplementary elections and planning for the new Limited Preferential Voting (LPV) system, which was introduced for all Open and Provincial by-elections and national elections taking place after the 2003 Southern Highlands supplementary elections.

The 2002 national elections were generally considered to be the ‘worst ever’. In November 2002 AusAID reviewed the ongoing relevance and possible future shape of Australia’s electoral support program. The review found that the causes of electoral problems were far greater than simply the management, resources and operations of the PNGEC and extended across the administrative capacities of the PNG state as a whole. The review recommended that future AusAID assistance be focused on improving the broader electoral system rather than just the PNGEC. This would require involving a wide community of stakeholders in the assistance program, including national, provincial and district governments, NGOs, churches and civil society organisations. This Program Design Document (PDD) has been developed to reflect these broad recommendations, to develop a program of assistance to 2008 to support reform and improvement of the electoral system in PNG.

Since the 2002 elections there have been two important developments. The first is the successful conduct of the SHP supplementary elections, which demonstrated how issues of security and logistics can be overcome when there is good coordination and cooperation between the PNGEC and the Police. However, this success was only achieved at considerable cost and substantial input from external advisers. Secondly, the progress made by the PNGEC in involving key stakeholders, including the media, NGOs, churches, other community groups, and provincial and district level staff, in planning the LPV awareness campaign, and the willingness of these stakeholders to contribute, is very encouraging. Already they are developing innovative ideas and, importantly, are taking ownership of the issues. The successful conducting of the Abau by-election in December 2003, the first to use the new LPV system, is also a notable achievement.

### **Key issues**

Despite these encouraging signs, several of the major issues facing the PNGEC in planning and conducting elections, identified in the AusAID review, continue to be relevant. The main issues are:

- There is no overall ‘reform champion’, task force or existing committee within PNG that is actively promoting the need for electoral reform
- The process of coordination and cooperation across government agencies has not yet become part of ‘standard operating procedures’ and there is a need for an interdepartmental committee to plan and coordinate by-elections and elections
- There is still considerable uncertainty over, and lack of commitment to, LPV at senior levels in government, and there is talk of amending the legislation to change to optional preferential voting

- The accuracy of the common roll continues to be a significant problem, although some progress has been made with the AusAID-funded assistance to process the outstanding amendments
- New challenges are emerging, for example reviewing and implementing new electoral boundaries, the need for elections for the new autonomous government in Bougainville and the possibility of further by-elections. These could place considerable demands on the PNGEC and other government agencies.

Another pressing issue is the need to implement an effective national LPV awareness campaign prior to the 2007 national elections. Progress has already been made on this front with AusAID and AEC support, through the preparation of community awareness materials, the establishment within the PNGEC of a specialised community awareness unit and some initial training for electoral officials and police during recent by-elections. Although a good start has been made, the challenges for implementing the awareness campaign nationally before the 2007 election, as well as for actually planning and conducting the elections are significant and must not be underestimated. Considerable time is needed to prepare briefing materials, then brief and train a wide range of stakeholders, including candidates and supporters, returning officers and polling staff, the police, provincial and district administrators, civil society organisations and the voters. Substantial funding is also needed, but the Government faces severe financial constraints which are likely to continue for the foreseeable future.

### **Proposed Electoral Support Program Phase 2**

The recommended approach for future assistance to the electoral system is:

1. The development of a long-term program of support for improvements to the electoral system in PNG, starting with a three-year Phase 2 of the PNG Electoral Support Program, from 2005 until mid 2008, that is, until after the next national election.
2. Continuation of the existing interim assistance on an 'as needs' basis, particularly to support the introduction of LPV for by-elections. The interim assistance would end once the long-term program commences.

This design focuses on the arrangements for the long-term program. It is anticipated that further phases of the program will be needed, to continue to re-build the professionalism and capability of the PNGEC, improve coordination across government, assist the Government and civil society to address important policy and legislative reforms, and improve election planning, budgeting and management. Voter awareness and education programs will also need to be ongoing and long-term. It is likely that it will take more than one national election before benefits from the LPV system can start to be realised.

The design for Phase 2 is based on the following principles:

1. The program will rely on the effective operation of the **GOPNG interdepartmental electoral committee** to ensure GOPNG ownership of the reforms that this program will support. The committee should provide a forum for discussion of electoral reform in PNG as well as overseeing preparation for elections and other electoral matters
2. The program should support initiatives by **either government or civil society organisations** aiming to improve the electoral system
3. It should be **performance-based**, with inputs of technical or financial assistance clearly linked to specific, measurable improvements or reforms, rather than general

‘capacity building’. Continuing funding for activities under the program should be tied to the achievement of tangible results, or progress against objectives. Poorly performing activities should be de-funded in favour of other priorities.

4. A **flexible** approach to implementation, based on an agreed annual budget ceiling of AUD \$3 million and regular reviews of program priorities and activities funded under the program.
5. **Consultative** management arrangements encouraging the involvement of a broad range of **stakeholders**, including civil society organisations.

The proposed **goal** for the program is:

To contribute to the improvement of stability and democracy in Papua New Guinea.

The proposed **purpose** of the program is:

To support reform and improvement of the electoral system in Papua New Guinea.

The four proposed **components** of the program are:

**1. Electoral governance and policy**

This might include activities to review the current governance arrangements for the PNGEC, legislative reviews to make elections more affordable or to enable easier updating of the common roll, etc

**2. Election administration**

This component will cover specific assistance for planning and conducting by-elections, updating the common roll, and the preparations for the 2007 national election.

**3. Electoral awareness and education**

This component will expand on the current activities relating to LPV awareness, and will support voter education initiatives by civil society in particular.

**4. PNGEC organisational development**

This component will be focused on the PNGEC and the need to build its planning, management and supervisory capacity and accountability to stakeholders, as well as financial management skills.

The program will fund a series of projects and activities in the four components each year. The projects and activities will be developed and submitted by the program partners – national, provincial and district government agencies, NGOs, churches and other civil society organisations. A selection process will take place according to agreed criteria covering quality, relevance to component objectives, value for money, use of local consultants and organisations, demonstrable senior level commitment to the project or activity etc. Initial screening of submissions will be done by the Program Manager. The Program Board will make the final selection and approval. The Program Manager will develop a four-year strategy to provide direction for the program, coordinate the process of selecting and funding projects and activities, identify needs and opportunities, encourage agencies to develop submissions, and provide advice on concepts, ideas and specific proposals.

**Program management arrangements**

The program management arrangements comprise the following elements:

- A Program Board to oversee the program, approve the annual work program prioritise and approve projects and activities.
- A PNG-based Program Manager and a locally engaged Program Administrator supported by a Program Management Organisation;
- An Impartial Review Mechanism (IRM), recruited by the PMO.

The **Program Board**, to be established by GOPNG, will be made up of the GOPNG Interdepartmental Electoral Committee (with high-level decision makers from the PNGEC, Police, Finance and Planning), a senior representative from PNG civil society, AusAID and possibly other donor agencies involved in supporting reform of the electoral system. The Board will meet every six months. The Program Board may appoint a Working Group of operational managers to meet more frequently to more closely monitor activities and projects/activities that make up the annual program.

The **Program Management Organisation (PMO)** will recruit, contract and manage specialist short-term experts (local or international) as required to implement activities under the program, as well as a Program Manager and Administrator. This will include sourcing appropriate advisers from the AEC who, if available, may be released on leave without pay and would be responsible to the PMO for the performance of their work. The PMO, through the Program Manager, will be responsible for fully accounting for funds disbursed under the program.

The Program Manager will work in PNG with the Electoral Commission, Police and other key government agencies, and with civil society organisations. It is envisaged that the Program Manager will be co-located in the PNG Electoral Commission head office in Boroko, Port Moresby. The Program Manager will report to the Board and will be responsible for planning and managing the wide range of activities and inputs involved in the program. The Program Manager will have a proven track record in management and policy advice at senior levels in government or the private sector.

The program will continue to build on the twinning arrangements developed between the PNGEC and the AEC during the first phase. Opportunities for twinning activities might be identified in any component, but particularly in components 2 and 4. The agreed activities under the twinning arrangements will be managed through a Record of Understanding (ROU) between the AEC and AusAID in Canberra.

The PMO be responsible for the recruitment of an **Impartial Review Mechanism (IRM)**. This will be undertaken in consultation with the PNGEC, the Program Board and AusAID. The IRM will be made up of specialist consultants, including PNG nationals if and where possible, and headed by a Principal Monitoring and Evaluation specialist.

The IRM will work closely with the PMO, but autonomously. The IRM will provide independent review of the PMO, and IRM members will have no further commercial association with the PMO for the duration of their engagement. The size and membership of the IRM may vary from time to time according to requirements for specialist skills. The IRM will be contracted by the PMO to support the Program, through the Board and Program Manager. The IRM will be involved in the initial Program planning and establishment phase, conducting annual performance assessments and evaluation reviews, contributing to six monthly planning reviews and providing additional advice and assistance as required and deemed appropriate by the Program Board.

The IRM mandate will include the review of selected completed and in-progress activities, assessment of program impact and progress towards objectives and outputs, and identification of emerging issues and problems. The IRM will also provide an opportunity for PNGEC and DNPRD capacity development in monitoring and review.

The IRM may recommend strategies for problem solving, however the PMO retains responsibility for taking steps to address performance deficiencies, if any, which emerge from IRM monitoring, or monitoring by any other means, and to remedy them in a pro-active manner.

The PMO is required to cooperate fully with IRM members by providing all documentation and information reasonably requested and setting aside time to discuss issues and demonstrate program progress.

### **Monitoring, risk and feasibility**

The Program Manager in conjunction with the IRM will develop and implement a monitoring and evaluation framework which will use participatory methods and will include collecting baseline data. Activities funded under the program will be regularly monitored, and the program of work will be reviewed at an annual workshop involving all key stakeholders. The program will be subject to annual performance reviews and a mid-term review. It is envisaged that this monitoring and review work will be carried out by the IRM comprising independent, professional monitoring and evaluation and technical specialists. The relevant AusAID activity manager and GOPNG counterparts will also take part in this review process.

There are a relatively large number of significant risks associated with the program, particularly that funds for the PNGEC will not be available or not provided in a timely manner, the continuation of an inaccurate and highly inflated common roll, inadequate preparation for the introduction of the new LPV voting system, and a lack of political and institutional willingness to address electoral reform and development. A particular risk is that AusAID, the PNGEC, and possibly the AEC, will again be unfairly blamed if the 2007 elections are not completely successful. Increased involvement by the wider range of stakeholders who can support the PNGEC in preparing for the elections will assist in mitigating this and the other main risks. The flexible nature of the program approach will also assist in minimising the impact of risks as the program can adjust to suit the changing demands of electoral reform.

Management of the program will be more complex than under Phase 1, due to a greater number of stakeholders and activities. However, only activities with strong commitment and involvement from stakeholders will be funded. The program management does not require high levels of technical skills, other than specialised skills related to electoral law and processes which can be provided by specific advisors through either the AEC or other electoral agencies in the Pacific.

There is the potential for an indirect positive impact on poverty, through improved electoral processes, reduced costs to PNG in terms of the costs of elections, reduced loss of life and injuries during elections, and improved representation and equity of resource distribution.

The electoral reforms, particularly the introduction of the new LPV voting system, are expected to benefit women as they will enable women to have a greater choice after meeting clan obligations, and may well result, eventually, in the election of an increased number of women members of parliament. Improvements to the administration of elections should increase security, reduce the level of intimidation and produce a more accurate common roll, which should also contribute to improvements in women's ability to vote freely and fairly.

The program does not impose undue additional costs on the partners, as it does not require purchase or maintenance of expensive equipment. The program will actively seek to develop ways in which the existing very high costs of elections and by-elections can be reduced.

## 1 Program origin and preparation

The Papua New Guinea Electoral Commission (PNGEC) first requested assistance from the Government of Australia (GOA) in 1998, and started to receive assistance from the Australian Electoral Commission (AEC), funded by AusAID, in April 2000. The program of assistance has evolved over that time, as shown in the following table.

**Table 1.1 Steps in electoral support program development**

| <b>Date</b>            | <b>Action</b>                                                                                                                                                                                                                                                                                                                                                                    |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| October 1998           | Scoping mission by AEC at request of GOPNG, funded by AusAID                                                                                                                                                                                                                                                                                                                     |
| March 1999             | Office (now Department) of National Planning requested support from GOA to strengthen the capacity of the PNGEC.                                                                                                                                                                                                                                                                 |
| Nov-Dec 1999           | Design mission – produced original PDD for assistance to 2008 covering: <ul style="list-style-type: none"> <li>• Organisation and management of the PNGEC</li> <li>• Update of the common roll</li> <li>• The conduct of elections</li> <li>• Initiatives in community awareness</li> <li>• Project management</li> </ul>                                                        |
| April 2000 – Sept 2001 | Pre-project activities to support 2002 election preparation undertaken by the AEC under a Record of Understanding (ROU) agreed with AusAID. Work focused primarily on the common roll                                                                                                                                                                                            |
| March 2001             | GOPNG and GOA agreed to change design to focus a first phase on operational work needed to prepare for 2002 elections, with a second phase starting after the elections and focusing more on capacity building of PNGEC                                                                                                                                                          |
| May 2001               | Redesign mission, resulted in revised PDD with 2 phases and incorporating an evaluation of 2002 elections. Second phase would be designed based on findings from evaluation. Outputs were: <ul style="list-style-type: none"> <li>• Strengthen the PNGEC to plan, conduct and evaluate national elections</li> <li>• Develop core institutional capacity in the PNGEC</li> </ul> |
| Oct 2001 – Nov 2002    | AEC worked collaboratively with PNGEC on activities of Phase 1, including updating common roll, preparing training materials for electoral officials, and producing procedural manuals for election officers, candidates, scrutineers                                                                                                                                            |
| June-July 2002         | National elections held. Elections generally regarded as having gone very badly, with logistical and management problems in PNGEC, and widespread corruption, electoral fraud, intimidation and violence, particularly in the Highlands.                                                                                                                                         |
| Oct 2002               | Commonwealth Expert Group review of the election at request of GOPNG                                                                                                                                                                                                                                                                                                             |
| Nov 2002               | AusAID review team assessed effectiveness of AusAID-funded project, and concluded that the focus of assistance should be on the wider electoral system                                                                                                                                                                                                                           |

|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                        | rather than just the PNGEC                                                                                                                                                                                                                                                                                                                                                                                                 |
| March 2003                             | PNGEC / AEC published evaluation report of the 2002 election                                                                                                                                                                                                                                                                                                                                                               |
| April-May 2003                         | Southern Highlands Province supplementary elections successfully held, with considerable support from AusAID, and from AEC, Commonwealth Secretariat. A key factor in the success appears to be the PNGEC's increased engagement with partners and stakeholders.                                                                                                                                                           |
| Jan – June, then extended to Sept 2003 | AEC support provided on an 'as needs' basis to PNGEC, to assist particularly with community awareness, and financial forecasting for the Southern Highlands supplementary elections and the LPV by-elections, and planning for the by-elections, particularly for the scrutiny.                                                                                                                                            |
| Aug 2003                               | AusAID design mission to design Phase 2, based on consultations with stakeholders including PNGEC, other central and provincial government agencies, NGOs, churches and civil society organisations and drawing on the three reviews: <ul style="list-style-type: none"> <li>• Commonwealth Expert Group review Oct 2002</li> <li>• AusAID review Nov 2002</li> <li>• PNGEC / AEC evaluation report March 2003.</li> </ul> |

This program design document (PDD) is the result of the August 2003 design mission. The design team comprised Nic Notarpietro (Team Leader, Executive Officer, PNG Branch, AusAID Canberra), Jan Morgan (Organisational Development Adviser, AusAID Canberra), Dezma Maxwell (Project Manager AEC-PNGEC Capacity Building Project, AEC), Roger Dickson (Design Specialist, MDG Consultants), Freda Talao (Senior Program Officer, Law & Justice, AusAID Port Moresby), and Hakaua Harry (Senior Planner, Department of National Planning, Port Moresby). Andrew Trawen, Acting Electoral Commissioner, PNGEC and Paul Dacey, Deputy Electoral Commissioner, AEC, acted as a reference group for the design team.

The terms of reference for the design mission, given in Appendix A, are summarised in the box below.

#### **Box 1.1 Terms of reference for electoral support program design mission**

The objective of the design mission is to develop a program of assistance to 2007, to support reform and improvement of the electoral system in PNG, which faces several important tests in the near and medium term:

- The introduction of a new LPV voting system in forthcoming by-elections in late 2003/early 2004
- Planning and management of elections for an autonomous government in Bougainville in 2005
- A possible review of electoral boundaries prior to the next national election in 2007
- Revision and refinement of the highly inflated and inaccurate electoral (common) roll in preparation for the 2007 elections; and
- Planning and management of the national election in 2007.

The program of assistance will include a flexible mix of:

- (i) High-level policy and management advice to support policy development and reforms and management, organisational and operational improvements;
- (ii) Specialised technical assistance in the field of election administration; and
- (iii) Special-purpose funding of local costs to support the development, trialling and implementation of initiatives to improve the electoral system.

The design study will be responsible for developing a conceptual design and summary Logframe for Phase 2. In consultation with stakeholders, the study will also need to develop and define management arrangements for the implementation of Phase 2. The study will develop initial tendering, scope of services and other documentation needed to allow AusAID to contract for the implementation of the Phase 2 program.

The team visited PNG in August 2003 and consulted a wide range of stakeholders, including the Acting Electoral Commissioner and staff of the PNGEC, other central government agencies including the Police, Defence, Finance and Planning, the Morobe provincial government and district officers, and civil society organisations, including Transparency International (TI) and the Community Coalition against Corruption (CCAC). The team also met with two stakeholder committees, in Port Moresby and Lae, set up to support the introduction of LPV. A list of people consulted is attached at Appendix B. The team would like to thank these people for making time available to talk to us, and for their ongoing commitment to wanting to improve the electoral processes in PNG.

The draft design was discussed at two stakeholder workshops in Port Moresby in December 2003. Comments and suggestions from the workshops have been incorporated into this document.

## **2 The context and the development problem**

### ***The PNG electoral system***

Papua New Guinea is an independent state with a modified Westminster system of government and universal suffrage for all citizens over 18. Administratively it is divided into 19 provinces and a national capital district (NCD). Each province has a number of districts, which are also the electorates for the single chamber national parliament. Provinces are headed, politically, by a provincial governor who is also a member of the national parliament and is elected during the national election held every five years. Each district comprises three or four local level governments (LLGs), each made up of around 20 wards. LLG councillors are elected through LLG elections every five years. The presidents of each LLG are elected by the councillors and are also members of the provincial assemblies. In total there are 89 districts/electorates, 298 LLGs and 5,873 wards.

Political allegiances are largely based on the local and personal ties of men, including marriage ties, rather than on ideology or party. Consequently the majority of MPs have localised and small support bases within their electorates. Despite the introduction of the *Organic Law on the Integrity of Political Parties and Candidates 2000*, which is designed to strengthen the role of political parties, the party system remains relatively weak.

The foundation law for electoral matters is the *Constitution*, which provides for the establishment of an independent Electoral Commission to conduct elections and the Commissioner as an independent constitutional office holder. The major operational law is the *Organic Law on National and Local-Level Government Elections* (No.3/1997) (the Election Law). The voting system used for the six elections since Independence has been 'first past the post'. However, following recent amendments to the law, all national elections and by-elections will in future be conducted under a limited preferential voting (LPV) system. LLG elections, however, will continue to use the first past the post system.

The management of elections in PNG presents unique challenges because of:

- Broad issues relating to geography and culture of PNG, including issues of security, logistics of reaching remote areas, localised political corruption, electoral fraud, violence and intimidation. These problems are particularly acute in the Highlands
- Specific election-related issues such as recruitment and training of a large temporary workforce of returning officers and polling officials, uncertainty over electoral boundaries, mobile polling, voter education and the lack of accuracy and integrity of the common roll.

### ***The Papua New Guinea Electoral Commission (PNGEC)***

The PNGEC has a staff establishment of approximately 55, with approximately 50 positions currently filled. It is headed by an Electoral Commissioner, supported by a Deputy Electoral Commissioner. Most positions are based in the head office in Port Moresby, including the Election Managers for NCD and Central Province. The other provinces each have an election manager located in the main regional centre. Election managers are supervised by three operations managers based in Port Moresby who report to the Director of Election Administration.

Elections are administered by the PNGEC from Port Moresby, assisted by a provincial administrative system involving the election managers and seconded provincial government staff. The PNGEC appoints the returning officers, who are usually nominated by the provincial administration. However, as these officials are not employees of the PNGEC the Commissioner's only effective sanction is to refuse an appointment or to revoke an appointment.

A number of important changes have occurred since 2000. Amendments to the electoral law will (if they remain in force) directly affect the PNGEC, as they will increase its complexity and workload. The amendments include, as well as introducing the LPV system:

- An increase in the size of Parliament to between 110 and 120 open electorate members, plus the 20 provincial seats (which were originally intended to be abolished)
- Removing the ability of Parliament to delay the redistribution of electorates after a census.

### ***Other key stakeholders in the electoral system***

A summary of the key stakeholders and their roles and responsibilities in relation to the electoral system is given in the following table.

**Table 2.1 Key stakeholders**

| <b>Agency</b>                                                             | <b>Roles and responsibilities relating to electoral system</b>                                                                                                                                                                                                                                                                                                                                                |
|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Provincial, District and LLG administrations                              | Officers in the provinces and districts play a key role in the conduct of elections as returning officers, assistant returning officers, presiding officers and polling clerks.                                                                                                                                                                                                                               |
| The Royal Papua New Guinea Constabulary (RPNGC)                           | The Police play a critical role at election time in providing security for polling and counting to take place. The PNGEC and the RPNGC must work closely in planning and conducting the polling. The RPNGC co-opts other agencies such as the Defence Forces if required to ensure election security.                                                                                                         |
| Department of Prime Minister and NEC                                      | 'Home' department for the work of the PNGEC.                                                                                                                                                                                                                                                                                                                                                                  |
| Treasury and Finance Departments                                          | Responsible for funds allocation and release to enable the conduct of elections.                                                                                                                                                                                                                                                                                                                              |
| Central Fund Board of Management                                          | The CFBM is required to establish and manage systems to register political parties, scrutinise the financial returns from successful candidates and all political parties, and manage the allocation of government funding to parties.                                                                                                                                                                        |
| Boundaries Commission                                                     | Responsible for determining and reviewing electoral boundaries. Members are Electoral Commissioner, Chief Statistician and head of National Mapping Bureau                                                                                                                                                                                                                                                    |
| National Statistics Office                                                | Responsible for the collection and dissemination of official statistics, including the census.                                                                                                                                                                                                                                                                                                                |
| Department of Education                                                   | Has the potential to be instrumental in improving voter and civics awareness.                                                                                                                                                                                                                                                                                                                                 |
| National Mapping Bureau                                                   | Responsible for producing maps of provinces, districts (electorates), local government wards and villages. Authority for correct names of villages.                                                                                                                                                                                                                                                           |
| Civil society, including NGOs, churches and community-based organisations | Organisations such as National Council of Women, Transparency International (TI), Community Coalition Against Corruption, churches, business sector, media, academics, etc are involved in voter education, popular civics education and empowerment as well as in advocating for electoral reform. They also have the potential to be involved in education and awareness on LPV and for monitoring results. |

### ***Phase one of the electoral assistance project***

AusAID's assistance to the PNGEC started in April 2000 with funding for AEC advisers to undertake a number of pre-project activities focused primarily on improving the accuracy of the common roll. This was followed by Phase 1 of the project, from October 2001 until 30 June 2003 with a subsequent extension until September 2003. Phase 1 sought to strengthen the capacity of the PNG Electoral Commission to plan, conduct and evaluate the 2002 national election, and specifically to:

- Extend and build capacity of the PNGEC through work related training, mentoring and coaching
- Develop a twinning relationship between the PNGEC and AEC
- Provide quality advice and assistance to the PNGEC in electoral matters
- Foster greater community awareness on electoral matters
- Improve the planning of the conduct of elections
- Provide physical resources for common roll activities
- Use technology to update processes and systems
- Develop a Limited Preferential Voting Package.

The design was guided by the objective of improving and maintaining the common roll, and the planning for the conduct of elections. The key strategy of the project was to help build capacity within the PNGEC to fulfil these roles through a program of institutional strengthening activities.

At the request of the PNGEC, the project was implemented under a twinning arrangement with the AEC. The AEC sent teams of up to four electoral officers to work with PNGEC staff for three months at a time, to provide advice, assistance and training. Several AEC officers returned on a number of occasions, thus building up their knowledge and experience of the unique conditions in PNG. Additional short-term advisers were recruited as required in specialist areas such as training and information technology.

The main achievements of the pre-project phase and Phase 1 of the project include:

- The design and implementation of a computerised common roll system
- Technical support and materials to enable the PNGEC to start a comprehensive update of information on the common roll, although delays in funding from GOPNG meant that the update was not completed, which in turn led to problems during the national election
- Development of handbooks and procedural manuals for officers involved in running elections, candidates and scrutineers
- Support for operations training for returning officers and polling staff
- An increase in the skills and confidence of PNGEC staff which enabled election officials to be better equipped to perform their duties
- An evaluation of the PNGEC's administration of the 2002 national election and the common roll, leading to detailed recommendations for future improvements.

A fuller list of the main activities and achievements over the period April 2000 – August 2003 is given in Appendix C.

### ***The 2002 national election***

The 2002 national elections were held concurrently with the LLG elections in June and July 2002. This enormous exercise was undertaken in a context of high political tension.

Political competition was intense partly as a result of declining service capacity and the incentive to gain access to various resources and electorate development funds that are controlled by MPs. The high number of candidates, which averaged 26 per seat, increased the complexity and expense of conducting the elections. A successful election requires general acceptance of the 'rules of the political game' by members of the public and by political candidates. Without full public commitment to procedures designed to ensure democratic choice, it is almost impossible to conduct a free and fair election. There is clear evidence that in some areas many people were prepared to cheat in the election, which worsened the administrative difficulties faced by officials.

While the conduct of the elections proceeded relatively smoothly in many provinces, planning, logistical and communication problems were evident to varying degrees across the country. Delays in polling and counting occurred in some locations, which created tension. Other factors contributing to the difficulty of administering the election included the deteriorating infrastructure, the quality of the common roll and lack of understanding by the public and polling officials about the composition of the roll, remoteness and poor accessibility to many rural areas, limited communication links, unseasonably poor weather conditions, the lack of funds and other resources, and the reduced independence of public servants arising from political interference.

In the Highlands regions in particular the elections were characterised by violence, intimidation and alleged corruption and electoral fraud which was largely unchecked because of inadequate security. Elections for 6 national seats in the Southern Highlands Province were deemed by the PNGEC to have failed and supplementary elections were subsequently conducted in April to May 2003.

Following the 2002 national election three reviews were undertaken. First, the Government of PNG requested that a **Commonwealth Expert Group** examine PNG's electoral arrangements and issues arising from the way in which elections are conducted. The Expert Group reported that in many parts of PNG the elections went reasonably smoothly. However lack of security in the Highland Provinces was problematic, with widespread violence and intimidation and alleged corruption. The Group concluded there was a lack of adequate planning, coordination and interaction between the PNGEC and the various Government agencies tasked with conducting and supporting the elections. Major inadequacies in the common roll, deficiencies in planning, lack of institutional capacity in the PNGEC, and budgetary, logistical and transport problems were also identified as contributors to what was labelled by some as the 'worst ever' election in PNG.

The second review of the elections was carried out in November 2002 by an **AusAID** team. The purpose of the review was to assess the impact of the AusAID funded project and to consider options for future assistance in light of the conduct of the 2002 election. In relation to the election, the concerns identified by the Expert Group were reiterated. The review found that in the Highlands, and to a lesser extent Port Moresby, serious problems were widespread: threats, intimidation, violence, massive fraudulent voting, stolen ballot boxes and the denial for many people of the opportunity to vote. The review stated that 'Perhaps the most serious factors undermining the democratic elections are the underlying, deep-rooted ones, in which coercion, violence, bribery and corruption are becoming more widespread and are in danger of becoming an accepted part of the way elections are to be conducted.'

The AusAID review also identified problems in the way the election was planned and managed, logistical arrangements, coordination across agencies, funding, and the common roll. In conclusion the review found that the problems extended beyond the scope of the PNGEC and recommended that future AusAID assistance focus on improving the broader electoral system in PNG, including relevant national, provincial and district governments, NGOs and civil society organisations, rather than on simply strengthening the Electoral Commission.

The third review was the evaluation of the PNGEC's management and administrative arrangements for the 2002 elections, jointly undertaken by the **AEC and PNGEC** as part of Phase 1 of the project. This evaluation was intended to provide the basis for the design of Phase 2. The Evaluation Reports, on the 2002 Election and the common roll, noted that uncontrolled electoral related violence, intimidation and fraud appeared to be escalating problems in PNG which required a multi-pronged response from the Government, including enhanced security measures during the election. While the PNGEC had borne the brunt of much criticism for the election, it alone was not in a position to counter the deteriorating civic culture towards elections. The evaluation noted that conducting elections in PNG is an enormous logistical exercise facing a multitude of difficulties, including infrastructure, cultural, geographic, finances and language.

While noting that the PNGEC is a relatively small organisation with limited resources to undertake its responsibilities, the evaluation identified deficiencies in the PNGEC's administration of the elections. The evaluation found that the PNGEC was not as well prepared as it might have been to face the challenges of the 2002 elections. Its management fell short in a number of areas, detailed in the reports, including planning, monitoring plans, communication within the PNGEC and with external partner organisations, financial management, organisational management, staff supervision, and decision making. The common roll attracted significant criticism during the election. It is imperative that the roll be demonstrably more accurate and be better understood by polling officials for the 2007 elections, otherwise public confidence in the integrity of the electoral system will be further undermined.

The recommendations from these three reviews are included in Appendix D.

### ***Developments since the reviews***

Since the reviews of the 2002 national election, a number of commendable changes have been noted. The first is the successful conduct of the SHP supplementary elections and of several subsequent by-elections under the new LPV system. These localised elections demonstrated how issues of security and logistics can be overcome when there is good coordination and cooperation between the PNGEC and the Police, through the planning and preparation stages, the polling and the count, and large numbers of external police with air transport support can be brought to bear for the provision of security. However, this success was only achieved at considerable cost and substantial external support, of a scale that may not be replicable in the context of a future national election.

Secondly, the progress made in involving key stakeholders, including the media, NGOs, churches, other community groups, and provincial and district level staff, in planning the successful community awareness campaign for the SHP supplementary elections, as well as for the LPV awareness campaign (although civil society engagement appears to have fallen off again in subsequent by-elections). The willingness of these stakeholders to

contribute, and the beneficial effect their contribution has had on the PNGEC's performance, is also very encouraging. The PNGEC is to be commended on the actions it has taken since the reviews, to set up these consultative groups and allow the participants to be truly involved. Stakeholders interviewed commented favourably on the acting Electoral Commissioner's willingness to communicate with them and include them in the planning process. Already they are developing innovative ideas and, importantly, are taking ownership of the issues rather than leaving them to the PNGEC to resolve. One interesting and creative idea, put forward by the Post-Courier newspaper, was to run a campaign to encourage people to vote for their favourite NRL player using LPV. The campaign successfully raised awareness of the new voting system and its possible effects. The new voting system was also used for a 'people's choice' vote for Miss PNG. In both cases the PNGEC counted the votes.

Thirdly, with the establishment of an IT system within the PNGEC, and the employment of quality staff in the IT Section, the PNGEC now has the opportunity to use the system as an effective and efficient election planning tool. The potential afforded by the new IT capacity should be explored in more depth by the PNGEC.

Finally, a recent concern over PNGEC leadership has been resolved with the appointment of the former Deputy Electoral Commissioner to the top post for a six year term. A number of other acting appointments and a critical vacancy, that of Director, Community Awareness and Information, have also been resolved. These developments augur well for the stability of the Electoral Commission and the success of the future program.

Despite these encouraging signs, several of the major issues facing the PNGEC in planning and conducting elections, as identified in the reviews, continue to be relevant. The main issues identified by the design team are:

- There is no overall 'reform champion', task force or existing committee within PNG that is actively promoting the need for electoral reform. Neither the task force set up to consider the recommendations from the Commonwealth Expert Group review, nor the Law and Order Committee of the Consultative Implementation and Monitoring Council (CIMC), which expressed concern over the 2002 elections, are actively continuing to argue for reforms.
- The process of coordination and cooperation across government agencies has not yet become part of 'standard operating procedures' and there is a real need for an interdepartmental committee to plan and coordinate by-elections, elections and other electoral matters, including budgeting for the forthcoming by-elections.
- There is still considerable uncertainty over, and lack of commitment to, LPV at senior levels in government. There was talk of amending the legislation to change to optional preferential voting, on the assumption that the first few by-elections would show that it would not work. The Morobe provincial government lobbied for a delay in introducing LPV for the planned by-election in Tewae-Siassi on the grounds that not enough people understand the system
- The accuracy of the common roll continues to be a significant problem. Some progress has been made with the AusAID-funded assistance to process the outstanding amendments, but there are further concerns:
  - A very expensive proposal from an overseas company for introducing identity cards has reached senior levels of government, without any

feasibility or cost-effectiveness studies. But it is unrealistic to expect that there is any 'quick fix' to the problems of the common roll

- The PNGEC is reluctant to publish the current common roll to enable people to identify duplications and false names, because of the growing culture of deliberately corrupting it. Perversely, such checking could lead to a further inflated roll.
- The IT system could be used for identifying duplicate names of voters, but a preliminary step is to clarify village names and electoral boundaries, as well as deciding on the allocation to electorates of a number of unallocated or incorrectly allocated villages. The PNGEC needs to liaise with the National Mapping Bureau to get a definitive answer on the correct spelling / naming of a particular village.
- The fundamental problem however, remains the difficulty of obtaining and maintaining an accurate roll in the face of the strong political incentives for local actors in some provinces to inflate data to undermine the probity of the electoral process.

A further challenge is the widespread expectation that LPV will be a panacea, leading to more representative and less corrupt members being elected. Yet in some locations, particularly in the Highlands, there will continue to be coercion, bribery and bloc voting with clan leaders doing deals and, in some instances, instructing their clan members to vote 1, 2 and 3 for specific candidates.

For LPV to be implemented nation-wide, an effective national LPV awareness campaign will need to be undertaken prior to the 2007 national elections. Progress has already been made on this front with AusAID and AEC support, through the preparation of community awareness materials, the establishment within the PNGEC of a specialised community awareness unit and some initial training for electoral officials and police during recent by-elections. Although a good start has been made, the challenges for implementing the awareness campaign nationally before the 2007 election, as well as for actually planning and conducting the elections are significant and must not be underestimated. Considerable time is needed to prepare briefing materials, then brief and train a wide range of stakeholders, including candidates and supporters, returning officers and polling staff, the police, provincial and district administrators, civil society organisations and the voters. Substantial funding is also needed, but the Government faces severe financial constraints which are likely to continue for the foreseeable future.

Other new challenges are emerging, including:

- The possibility of reviewing and implementing new electoral boundaries, which could have major implications for the number of seats in Parliament and the number of administrative districts, and could increase the number of seats in the Highlands relative to other areas. If the review is to be based on the common roll rather than the census then the general acceptance that the roll is wildly overstated might mean the review would need to be delayed until after the next national election
- The need for elections for the new autonomous government in Bougainville, provisionally scheduled for May 2005. An initial joint needs assessment study undertaken with AusAID and AEC support has identified several fundamental policy and legislative issues that need to be clarified before detailed planning and budgeting for the election be undertaken.

All of these tasks could place considerable financial and other resource demands on the PNGEC and other government agencies, particularly in the current difficult budgeting climate.

***Other related AusAID projects***

There are a number of existing and planned AusAID projects and programs that have potential links to Phase 2 of the electoral support program, either because they work with the same stakeholder groups or because the processes they use are similar to those proposed in this design. For example, the policies and procedures used in the Community Development Scheme could be used for ESP. It is expected that the program staff will familiarise themselves with these projects at an early stage of the program. The key programs and projects, as at August 2003, are given in the following table.

**Table 2.2 Other relevant AusAID projects and programs**

| <b>Project</b>                                                                    | <b>Description and link to Electoral Support Program</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Community Development Scheme (CDS)                                                | Funds some 900 community development initiatives undertaken by NGOs, CBOs and other civil society groups throughout PNG. Experiences generally and with specific NGOs will be useful for ESP, and policies and processes used by the CDS could be used by ESP.                                                                                                                                                                                                                                                                                                                        |
| PNG Church Partnership Program                                                    | Develops the capacity of PNG churches to contribute to improved governance, through partnerships between PNG churches and Australian church-based NGOs accredited under the AusAID NGO Cooperation Program (ANCP). ESP will need to liaise with this program to look for synergies and to ensure there are no competing demands from the same stakeholder group, as churches are expected to play an important role in LPV awareness and education at the grass roots level.                                                                                                          |
| Police                                                                            | Current Police project does not directly involve election support, but as the Police are a key stakeholder and police training officers need to be trained in LPV and its implications, the Police project should be aware of directions of ESP and any demands on Police. Also, Police advisers might be available to assist on specific issues.                                                                                                                                                                                                                                     |
| Advisory Support Facility (ASF)                                                   | This facility provides international short-term advisers in GOPNG central agencies, for specific identified needs. Processes, successes and lessons learned will be useful as and when the ESP PMO needs to recruit, contract and manage international short-term advisers.                                                                                                                                                                                                                                                                                                           |
| New Financial Management Training Program, and financial management strengthening | A new program will replace the Provincial Financial Management Training Program (PFMPT), which is likely to have a greater emphasis on on-job training. If and when Election Managers are trained in financial management, the resources and methodologies of this new program should be investigated. In addition, alternative approaches to strengthening financial management being trialled in GOPNG with AusAID support, including 'contracting in' from private accounting firms, and using ASF advisers, should be monitored and possibly investigated for relevance to PNGEC. |

### ***Other donor activity***

Two other donors, namely NZ AID and the European Union, have actively supported electoral issues, mainly through providing funding prior to the 2002 elections for community awareness, training and materials. Both have also provided funds to Transparency International (TI), for general core funding and specifically for TI's Electoral Reform Program.

**NZ AID** have recently reviewed their program of assistance to civil society organisations. Although the report has not yet been released, they expect to continue to fund NGOs, particularly for management training, mentoring and follow-up support, although in a more cost-effective way than has been done in the past. They will also continue to have a strong focus on women's development, and will continue to fund workshops and conferences for the National Council of Women (NCW), which is a key stakeholder group for phase 2 of the electoral support program.

NZ AID recognise the need for electoral awareness and education, especially among women voters and candidates, and would be keen to be involved in the AusAID Electoral Support Program. There may be an opportunity for funding from NZ AID, or indeed from other donors, to be channelled through the electoral support program, particularly if the program can demonstrate early successes.

The **European Union's** main involvement in electoral issues has been the funding of the Electoral Reform Program being implemented by TI. The Program is intended to assist in the promotion of voter awareness of the new LPV voting system, which TI has been actively supporting for several years.

Because of delays in introducing the LPV system until after the SHP supplementary elections were held, the EU funding for the ERP has now lapsed and the existing EU program of assistance in the governance sector has finished. The EU will be calling for proposals for the Pacific Region in early 2004 and may consider further proposals for the governance sector for PNG at that time.

The EU confirmed that they would be prepared to consider funding and assistance for 'Good Governance', including contribution through the ESP, if a satisfactory program of assistance can be successfully established and demonstrated.

Another donor which might become involved is **UNIFEM**, which plans to open an office in Port Moresby. They have recently funded a workshop for Women in Politics (WIP), an NGO which supports women who wish to stand for Parliament.

### 3 Analysis and response to the problem

#### *The design strategy*

The three reviews of the 2002 elections discussed in the previous chapter show a high level of agreement as to what the problems are, although there are differences in views as to the underlying causes of the problems, and differences in the recommendations to address them. There are almost too many recommendations and too little guidance on priority or sequencing. Yet before any analysis and prioritisation can be done, the PNGEC faces the challenges of finalising outstanding by-elections and providing technical support for the forthcoming election in Bougainville.

The strategy to address the problems is therefore twofold:

1. The development of a long-term program of support for improvements to the electoral system in PNG, starting with a Phase 2 of the PNG Electoral Support Program, which would run from mid 2005 until 2008, that is, until after the next national election. The long-term program will be managed by a professional Program Management Organisation (PMO) and governed by a Program Board consisting of PNG Government, Australian Government and PNG civil society representatives.
2. Continuation of the interim assistance program initiated on 30 September 2003 on an 'as needs' basis, particularly to support the introduction of LPV for by-elections, until the long-term program is fully mobilised. Such assistance:
  - a. Will continue to be provided by the AEC subject to the AEC's internal operational requirements;
  - b. May also be provided directly to PNG civil society organisations for example to support community awareness activities as part of the overall joint community awareness strategy
  - c. Will support monitoring and evaluation of LPV in the first few by-elections, using, for example, UPNG researchers.The interim assistance would end once the long-term program commences.

This design focuses on the arrangements for the long-term program.

#### *Design considerations*

The design team, from consultations with stakeholders and after reviewing the proposed budget, has slightly modified the design principles originally set out in the Terms of Reference (Appendix A). The proposed design principles are now:

1. The program will rely on the effective operation of the **GOPNG interdepartmental electoral committee** to ensure GOPNG ownership of the reforms that this program will support. The committee should provide a forum for discussion of electoral reform in PNG as well as overseeing preparation for elections and other electoral matters
2. The program should support initiatives by **either government or civil society organisations** aiming to improve the electoral system
3. It should be **performance-based**, with inputs of technical or financial assistance clearly linked to specific, measurable improvements or reforms, rather than general 'capacity building'. Continuing funding for activities under the program should be tied to the achievement of tangible results, or progress against objectives. Poorly performing activities should be de-funded in favour of other priorities

4. A **flexible** approach to implementation, based on an agreed annual budget ceiling of approximately AUD 3 million and regular reviews of program priorities and activities funded under the program
5. **Consultative** management arrangements encouraging the involvement of a broad range of **stakeholders**, including civil society organisations.

### Options

A number of options were considered when developing the design for the long-term program. The main options, with their benefits and drawbacks, are set out in the following table. The option chosen – option 7 of a hybrid between a program approach and a facility – tries to incorporate the benefits of the other options, particularly building on the successful working relationship between PNGEC and AEC, while overcoming the disadvantages of the other options.

**Table 3.1 Design Options**

| Option                                                                           | Benefits                                                                                                                                                                                                     | Drawbacks                                                                                                                                                                                 |
|----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Continue as with Phase 1 – AEC providing staff for 3 months at a time         | PNGEC know and trust AEC<br>AEC staff are experts on electoral matters                                                                                                                                       | Needs of the electoral system are wider, cover more than just electoral-related technical issues<br>Lack of continuity of advice<br>Not cost effective                                    |
| 2. Continue as with interim assistance – AEC providing staff on 'as needs' basis | As above, plus<br>Assistance more directly tailored to needs<br>More cost-effective than first option                                                                                                        | No overall strategy for meeting wider electoral system needs<br>No mechanism for providing assistance other than electoral-related technical<br>Lack of continuity of advice              |
| 3. Traditional project                                                           | Clear objectives and program of work                                                                                                                                                                         | Not flexible enough if work program is set for 4 years ahead<br>Typically only works with one main counterpart agency                                                                     |
| 4. Traditional technical assistance facility (TAF)                               | Assistance can be tailored to meet specific emerging needs                                                                                                                                                   | Not sufficient guidance for the areas of need to be supported                                                                                                                             |
| 5. Traditional program approach                                                  | Greater flexibility than a project; clear implementation strategy                                                                                                                                            | Not so easy to fund a wide range of small projects<br>May take a long time to plan and develop                                                                                            |
| 6. Use existing programs – ASF and CDS                                           | Already established so no significant extra overhead costs                                                                                                                                                   | Would lose electoral reform focus and sense of cohesion; may not be seen as high enough priority                                                                                          |
| 7. Hybrid program / facility approach                                            | Overall strategy and objectives<br>Program of work is flexible, set and reviewed every year<br>Opportunity for wide range of stakeholders to be involved and supported<br>Incorporates benefits of AEC input | Might face too many competing interests from different stakeholder groups.<br>Might be seen as the surrogate election management agency<br>Could become ad hoc and lack a strategic focus |

### Proposed approach

The approach proposed is really a hybrid between a program and a facility. For simplicity it is referred to as the Electoral Support Program, although it could just as easily be called the Electoral Support Facility. The distinction between a project, program and facility is shown in the following table.

**Table 3.2 Main features of project, program and facility approaches**

| <b>Feature</b>                    | <b>Project</b>                                                                             | <b>Program</b>                                                                                                                   | <b>Facility</b>                                                                                                                      |
|-----------------------------------|--------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|
| <b>Flexibility</b>                | Low                                                                                        | Moderate                                                                                                                         | High                                                                                                                                 |
| <b>Monitoring &amp; measuring</b> | Relatively easy                                                                            | Not straightforward                                                                                                              | Relatively complex                                                                                                                   |
| <b>Problem definition</b>         | Very specific problem definition                                                           | Clear problem analysis                                                                                                           | General problem analysis, or specific problems across a range of areas                                                               |
| <b>Implementation strategy</b>    | Clearly laid out implementation plan; specific tasks and activities known and scheduled    | Specific implementation strategy with some or all outputs known but indicative activities only and flexibility in implementation | Clearly defined management strategy for decision-making on priorities and resources. Outputs defined as each is approved and planned |
| <b>Indicators and targets</b>     | All levels of Logframe have defined targets for indicators, for quantity, quality and time | Indicators for goal and purpose are defined, and may have targets. Indicators for outputs are defined as program progresses      | Purpose and goal clearly defined but often without targets. Indicators and targets set for outputs as each is approved and planned   |
| <b>Contracting strategy</b>       | Outputs based, payment driven by milestones                                                | Outputs based hybrid – milestones relating to specific outputs for 20-30%                                                        | Inputs based hybrid – milestones relating to processes for 20-30%                                                                    |

*Source: AusAID course materials for AusGuide Module 4: Design and Appraisal*

There is a need for specific assistance to support known events, such as the introduction of LPV and the associated program of community awareness, the running of by-elections and preparations for the running of the national election in 2007. It would be relatively easy to design a project to focus on just these known events, which would then be largely a continuation of the approach adopted in Phase 1. Instead, the design team has decided to develop a program that can incorporate such specific projects while also promoting other approaches which will help to overcome some of the inherent problems and weaknesses in the electoral system as a whole.

Specifically, the approach will encourage demand-driven and participatory processes that can involve a wider community of stakeholders than just the PNGEC. Funding will be provided to a number of approved projects and activities that are designed to meet agreed priorities. An annual planning and funding cycle, with processes similar to a technical assistance facility, will be used. Criteria for a Program Board to assess and decide which submissions should be funded will be drawn up and agreed in advance. Funding will be provided for activities ranging from the provision of short-term high-level international election experts through to support for local NGOs and churches to run community awareness programs on LPV and electoral rights and responsibilities in remote villages.

The proposed approach is described in more detail in the following chapter. It uses a component structure so that the assistance will target needs and issues in four main areas:

1. Electoral governance and policy
2. Election administration
3. Electoral awareness and education
4. PNGEC organisational development.

This approach also continues to use AEC staff to work with the PNGEC, subject to the AEC's operational requirements, both through a continuation of the twinning arrangements and also through the option of temporary 'recruitment' of specialist assistance on leave without pay from the AEC.

The experiences in 2002 and in the SHP supplementary elections have demonstrated the need for other national, provincial and district government agencies and NGOs, including churches, to be more directly involved, under the leadership and coordination of the PNGEC. The national committee set up to manage the SHP supplementary elections worked very well, but such a committee has not yet become institutionalised, or part of the 'standard operating procedures' of conducting elections. Because of the importance of addressing the problems of elections now, rather than waiting until just before the 2007 elections, the design team considers it is essential that such a committee should be established and operating. In order to assist the committee to become part of 'standard operating procedures', the design team proposes that it has a role in oversight of this assistance program. The proposed Program Board, therefore, consists of the GOPNG Electoral Committee members, plus representatives of AusAID, civil society organisations, and possibly other donors with an interest in contributing funding to electoral reform.

The GOPNG together with the Electoral Commissioner will be responsible for deciding the membership of the GOPNG Electoral Committee. In discussions at the December 2003 workshops it was suggested that there may need to be a two-tier structure, with a formal 'National Electoral Advisory Committee' comprising the Chief Secretary and permanent heads of relevant government departments which would meet twice a year. A working group of operational managers representing the same departments would meet more frequently, every two or three months. The Provincial Electoral Steering Committees, which are already established, should also be linked into the overall management. Both the working group and the Provincial steering committees could be seen as committees of the Board. The management structure should be finalised at the start of the program, once the Program Manager has been appointed. In this document, for simplicity, the structure shows only the Program Board, to allow it the flexibility to set up working committees as it sees fit.

It is critically important that the program does not take over responsibility for running elections, either the by-elections or the national election in 2007. The PNGEC has, rightly, made it clear that it is responsible for conducting PNG elections. Therefore, there needs to be clear demarcation between the GOPNG Electoral Committee set up to conduct elections, and the Program Board set up to oversee the Electoral Support Program, even though there will be some overlap of membership.

The first design principle is that the program is contingent on the effective operation of the GOPNG interdepartmental electoral committee. Its incorporation into the Program Board,

which will be the decision-making body on the projects and activities to be funded each year, is the design team's attempt to encourage this committee to meet. Our discussions with relevant stakeholders in PNG indicate that there is a commitment to ensuring that elections are better planned and coordinated in the future. However, we also recognise that electoral matters may not be high priority for busy senior government officials, particularly when the next national election is still some years away. The two-tier structure outlined above may help to address these problems. The Program Manager, supported by AusAID, may need to encourage and motivate members to meet and work together effectively, but if it appears that the committee is in danger of becoming ineffective then AusAID may have to review the options for future funding of the program.

### ***Australian potential to contribute***

The history of the involvement of the Australian Electoral Commission with the PNG Electoral Commission and the excellent relationships and trust that have built up as a result of twinning visits and work placements, as well as the assistance provided under Phase 1, demonstrates the Australian potential to contribute to this program.

Phase 2 will require a Program Manager who has good strategic management and planning skills rather than necessarily a background in electoral administration. It is expected that a person with experience in management and policy advice at senior levels in government or the private sector would be selected for this position. Australia has considerable experience of fielding such advisers in PNG and elsewhere.

The Program Manager will need to be supported and employed by a PMO that can access specialist skills as required, including high level electoral advice which might be found in electoral commissions from other countries in the Pacific region, or from Commonwealth countries. The success of AusAID-funded facilities, such as the Advisory Support Facility (ASF) in PNG, indicates that Australian organisations have appropriate databases and recruitment processes for identifying such skills.

It is also important that local consultants and local civil society organisations, including NGOs, churches and academics, are involved in the program as much as possible.

## 4 Program description

### Overview

The analysis of the short and longer-term issues and a consideration of the options has led the design team to propose an approach with both immediate assistance through an extension of the current interim arrangements, and longer term assistance to be provided through a flexible funding program. This chapter outlines the program of longer-term assistance. The overall structure of the program, showing the components, the likely program partners for each component, and the management arrangements, are shown in the diagram on the following page.

The proposed **goal** for the program is:

To contribute to the improvement of stability and democracy in Papua New Guinea

The proposed **purpose** of the program is:

To support reform and improvement of the electoral system in Papua New Guinea

The four proposed **components** of the program are:

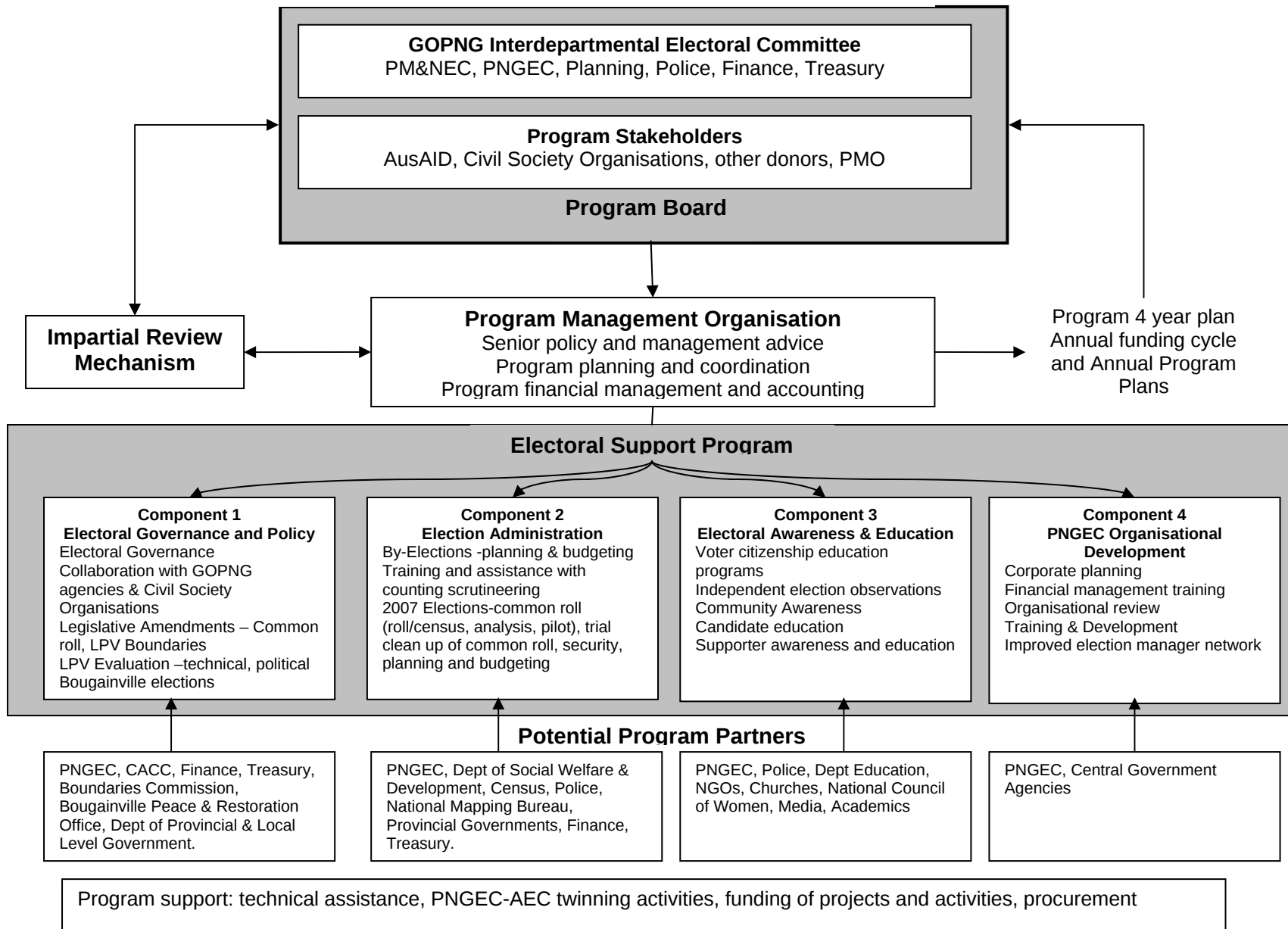
1. Electoral governance and policy
2. Election administration
3. Electoral awareness and education
4. PNGEC organisational development.

In summary, it is proposed that the program will fund a series of projects and activities in the four components each year, which are in line with a four-year strategic plan developed by the Program Manager and agreed by the Program Board. The projects and activities will be developed and submitted by the various program partners – national, provincial and district government agencies, NGOs, churches and other civil society organisations – either individually or jointly. A selection process will take place according to agreed criteria covering, for example, quality, relevance to component objectives, value for money, use of local consultants and organisations, and demonstrable senior level commitment to the project. Initial screening of submissions will be done by the PMO, through the Program Manager, who will then develop a short-list of recommended proposals. If necessary, the Program Manager may seek advice on specific proposals from one or more independent specialists (from a sub-contracted Impartial Review Mechanism or elsewhere). Final selection and approval will be made by the Program Board. The Program Manager will coordinate the process, identify needs and opportunities, encourage agencies to develop submissions, particularly to address strategic needs, and provide advice on concepts, ideas and specific proposals, to ensure that the proposals address the needs and selection criteria.

A Logframe showing the goal, purpose, component objectives, performance indicators and means of verification, together with the assumptions, is included in Appendix E. The Logframe is developed to component level only, because the outputs for any particular component are, in effect, the projects and activities and it is not appropriate to specify in advance precisely which projects and activities would be undertaken in any year.

The components are described in more detail below. The annual process of selecting and funding projects and activities is described at the end of the component descriptions.

**Diagram 4.1 Draft design structure for support to PNG electoral system**



## **Component 1 Electoral governance and policy**

The objective of Component 1 is:

**To support reform and development of electoral policy and improvements to the electoral system in PNG**

This component concerns broad matters of electoral governance, policy, legislation and electoral management in the widest sense. It is likely to include projects and activities that seek to tackle some of the fundamental issues that lead to electoral problems. Such a focus was not included in Phase 1, but has now been identified as a need by all the reviews, recognising that the PNGEC on its own cannot address all the issues that led to the problematic 2002 elections.

The process of identifying and selecting projects and activities for funding each year will ensure that they are only undertaken if they are initiated and supported by PNG stakeholders and approved by the Program Board – they will not be imposed by AusAID or any other donor. Until the first year's work program is agreed it is not known specifically which projects and activities will be funded. However, the following is an indication of likely areas, based on the findings of the reviews and confirmed during the design mission.

First, the component is likely to address one of the major issues identified by many stakeholders, namely the need for greater **involvement in and commitment to the elections from a wider range of government agencies and civil society organisations**, while still recognising the constitutional independence of the PNG Electoral Commission. The component might therefore support projects and activities that help to build on the good work already done in setting up committees for planning and coordinating the SHP supplementary elections and to plan and oversee the implementation of LPV. Thus it is expected that this component will help to increase the effectiveness of such committees, as well as making them part of 'standard operating procedures'.

The component may also support any studies undertaken to consider alternative methods of providing **electoral oversight**. The AusAID November 2002 review identified options such as increasing the number of electoral commissioners from one to three, as is done in Australia (with the other two commissioners being part-time and not directly involved in operational management of the AEC), or appointing a parliamentary committee. There is no one obvious answer that will meet PNG's needs, so a study of models from different countries, with an assessment of the benefits and disadvantages of each, might be undertaken, prior to consultations with relevant stakeholders. It is likely that such a study could be done by local consultants or academics.

The need for amendments to the **electoral legislation** has also been identified, for example to change the objections process for removing names from the common roll. The current legislation is based on outdated Australian legislation, and it may be appropriate to commission a study to review the whole legislation and modernise it. There may also be interest in strengthening the legislation to apply stronger sanctions and penalties to candidates who are obviously engaged in electoral fraud and/or intimidation.

The stakeholders involved in this component, including the Program Manager, should also be alert to any interest in **broader electoral reform**. There is widespread acceptance in

PNG of the need for elections as being fundamental to democracy. But the current system is proving to be very costly. Already there is talk about methods of limiting the number of candidates, because of the increased cost of counting under LPV. There might also be opportunities to review cost-effective alternatives to by-elections. For example, LPV provides an opportunity to select replacement candidates by recounting the votes, rather than through a by-election<sup>1</sup>. If there seems to be interest in exploring such ideas, the program might provide funding for a study of the options, producing perhaps a discussion paper, and facilitating forums and workshops for discussing the ideas further.

Other areas that might be considered for funding under Component 1 include support for:

- Policy reviews of aspects of the electoral system initiated by Government, for example to analyse pros and cons, and potential cost, of different proposals to update the common roll, including identity cards and civil registration system
- Monitoring and evaluation of initial experiences with LPV
- Planning and preparation for future Bougainville elections (assistance to conduct the elections would come into Component 2)
- A study to assess the legal, political, social and financial impacts and implications of reviewing, or not reviewing, the electoral boundaries, followed, if necessary, by assistance to the Boundaries Commission to undertake or implement such a review.

### ***Component 2 Election administration***

The objective of Component 2 is:

**To improve the capacity of the PNGEC to plan, prepare and conduct elections in PNG, including by-elections, the 2007 national election and future elections in Bougainville**

This component will cover specific assistance for planning and conducting by-elections, preparing for the 2007 national election, and the Bougainville elections. This component therefore covers the type of activities that were initially envisaged as comprising Phase 2 in the original design. The differences, however, are the more active involvement of other central government agencies, particularly Police, Treasury and Finance, in planning the elections, and greater coordination with Police in conducting the elections. Also, there will be greater involvement of civil society organisations, particularly in voter education and awareness and now included in Component 3. This model for electoral administration, which emphasises improved coordination across government, has proved successful with the SHP supplementary elections. The challenge is now to make the model 'standard operating procedures' and find ways of implementing it for other elections in a far more cost effective way than in the SHP.

The projects and activities to be funded under this component are likely to be more predictable than those under the first component, because there are certain events that **must** be addressed, such as conducting by-elections under LPV, and the national election in 2007. The activities to support these events will still go through the same submission and approval process as for activities in other components (see below), but some will be considered essential and therefore must be funded.

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<sup>1</sup> This is done in Australia for vacancies in the Legislative Assembly in the Australian Capital Territory. It means that the ballot papers have to be kept between elections, so the costs and logistics of doing so would need to be assessed against the costs of holding a by-election. Vacancies in the Australian Senate are also filled without a by-election, by the relevant State Parliament nominating a person from the same political party as the previous senator.

In addition, the issues and problems relating to election administration are better known, and, in some cases, ideas for addressing them have been discussed and agreed. For example, there is universal agreement that the common roll needs to be improved, and that actions to improve its accuracy should start as soon as possible rather than waiting until just before the 2007 election. There is still, however, a wide variety of opinion as to how this should be done, ranging from scrapping the roll altogether and starting again (which the design team considers is not feasible), through to revitalising the village recorder system. It is clear to the design team that different methods will need to be used in different provinces, even in different electorates in the same province<sup>2</sup>.

Given the greater predictability of the projects and activities to be funded in this component we would expect the Program Manager, in conjunction with other stakeholders, to develop a broad four-year plan of likely activities and events, followed by a more detailed annual plan. These plans will take into account the need for scheduling some activities before others. For example, in updating the common roll, the PNGEC, the National Mapping Bureau and the relevant provincial administration first need to review some of the names of villages on the common roll to remove any duplications and errors arising from mis-spellings, so that, secondly, the IT system can be used to remove duplicate voters, to the extent that they can be identified, in the duplicate or invalid villages. This will help to remove some of the obvious errors before the roll is released and thus reduce the workload for the third step, the fieldwork activities to validate the roll.

Improving and implementing planning for both the by-elections and the 2007 election is also likely to be a key project and is likely to extend over the length of the program. In addition to rectifying problems identified from the 2002 election, and incorporating the good aspects from the SHP supplementary elections, the existing PNGEC planning processes need to be amended to incorporate the changes arising from LPV. These will include revision of the polling and counting processes and training in LPV for the people who have an active role in the elections, including returning officers, polling officials, officers used for the count, the Police and, in some provinces, possibly Defence personnel.

Other projects and activities that might be funded under this component could be identified by an analysis of the recommendations of the 2002 election reviews, particularly the review and evaluation conducted by the PNGEC / AEC. The recommendations from this latter review are given in Appendix D, and the broad areas where problems have been identified are given in the box below.

There are some 110 detailed recommendations, which now need to be reviewed and assessed for their appropriateness, relevance and ease of implementation, as well as cost effectiveness. Those that are considered to be suitable for implementation might be able to be 'packaged' and sequenced, so that they can be implemented in a controlled way, taking into account the other demands on the PNGEC as well as the normal workload of the staff.

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<sup>2</sup> In Morobe, provincial and district staff considered that checking and amending the roll in most of the villages would be very straightforward, and the problems would be with the transient population in Lae.

| <b>Box 4.1 Broad areas for improving electoral administration</b>           |                                                                         |
|-----------------------------------------------------------------------------|-------------------------------------------------------------------------|
| <b>PNGEC policy &amp; management relating to election administration</b>    |                                                                         |
| Interpretation of the organic law                                           | Planning processes & implementation strategies                          |
| Decision-making processes                                                   | Financial management                                                    |
| Communication and relationships                                             |                                                                         |
| <b>Election administration</b>                                              |                                                                         |
| Relationships and contractual arrangements with suppliers                   | Ballot papers                                                           |
| Packaging, distribution & transport of resources                            | Polling schedules                                                       |
| Security of materials, personnel & information                              | Training of election managers and casual polling staff for the election |
| Procedures, operating materials & training                                  | Conduct of polling                                                      |
| Recruitment of returning officers, presiding officers and polling officials | Women's opportunities for voting                                        |
| Payment of staff salaries & allowances                                      | Management of ballot boxes                                              |
| Media liaison                                                               | The scrutiny                                                            |
| Procedures for nominating & processing nominations                          | Return of writs                                                         |
|                                                                             | Election returns and reports                                            |
| <b>Common roll update improvements</b>                                      |                                                                         |
| New enrolment form                                                          | Complaints of names not being found on the common roll                  |
| Training                                                                    | Enrolment education                                                     |
| Community awareness                                                         | Improving the current common roll                                       |
| Conduct of common roll update fieldwork                                     | Evaluating the options                                                  |
| Objections & deletions process                                              |                                                                         |
| Cleansing the common roll                                                   |                                                                         |

Sources: PNGEC / AEC Evaluation report on the 2002 election; PNGEC / AEC Evaluation report on the common roll.

### **Component 3 Electoral awareness and education**

The objective of Component 3 is:

**To improve the awareness and understanding of voters and the community of the PNG electoral system**

This component will focus on the need to educate voters about democracy and electoral matters generally, and specifically about the new LPV system. The more detailed training on LPV to be provided to election officials and other stakeholders directly associated with conducting the election is part of Component 2, although there will be linkages between this aspect of the two components.

There is a major task to educate people about the new LPV system, particularly in those electorates with the first by-elections, which are imminent. As the 2007 national election draws nearer it will become important to ensure the whole country is educated in LPV and what it means for them – as voters, candidates, supporters and scrutineers. In addition, there is a need for a wider understanding and acceptance of the importance of elections and people's civic rights and responsibilities, as this is one way of bringing about a change in the behaviour which undermines the democratic processes. Given the need for a nation-wide education and awareness program on LPV, there is an ideal opportunity to broaden the message and thus educate the public on electoral and citizenship matters more generally.

The SHP supplementary elections demonstrated the effectiveness of involving churches, women's groups and other NGOs and civil society organisations in getting across messages about the need for peaceful and fair elections. No doubt they were helped by the presence of a large contingent of police and defence personnel to reinforce the message,

but by involving a larger community of stakeholders in spreading the message, responsibility for the conduct of the elections can also be broadened.

The recent change of approach adopted by the PNGEC, to actively involve the various NGOs and civil society organisations in planning and implementing the LPV awareness campaigns, has been welcomed by the people concerned. The strategy and the ideas that are being generated appear to be very sound, and include promoting the LPV system for other elections so that people become familiar with it, including voting for school captains and a media promotion involving voting for NRL players.

There are already some challenges emerging, however. One is the understandable eagerness from NGOs, particularly TI which was one of the main advocates for the new system, to start the process of community awareness and education across the whole country as soon as possible. Yet with limited funds, the PNGEC needs to start with those electorates which will have a by-election. The normal 2 month timescale between the issue of writs (the formal announcement of the election), and the polling date is too short a time to conduct a full community awareness program. Therefore such a program needs to start in the relevant electorates well before the writs are issued.

Another challenge is the need to educate the NGOs and civil society organisations on LPV, to ensure that they fully understand the system and can answer questions, as well as ensuring that they are trained in presenting the materials appropriately. Already some misunderstandings and ambiguous messages have inadvertently appeared. This only emphasises the need for messages to be consistent with, and well-coordinated with, those promulgated by the PNGEC, as well as the need for a comprehensive education and training program for people who will be engaged in the community awareness activities, which could involve testing at the end to ensure they understand the processes.

Some of these issues will have been addressed by the time the long-term program starts, as it is expected that the first few by-elections will be run, monitored and evaluated, both technically and politically, during the interim assistance phase. It is important that the monitoring and evaluation work is well-designed so that the inevitable problems can be identified and worked on, either during the interim phase or as a project or activity during the long-term program. The challenge of getting the message about LPV out to the whole country in time for the 2007 election, however, will be one of the major tasks for the Phase 2 program.

The activities to be funded under Component 3 are thus in four broad areas:

- Community awareness and education programs in electorates with by-elections – this should be a continuation of activities and projects started under the interim phase
- The national community awareness and education program for LPV, ready for the 2007 national election
- A national electoral and citizenship education program to educate communities about the importance of free and fair elections. Such a project could be run by supporting the work of the NGOs and churches, by including appropriate messages with the LPV awareness program, as well as by incorporating material into the school curriculum
- Development of an independent election monitoring capacity by PNG civil society organisations, preferably in collaboration with PNGEC.

It is expected that most of the projects and activities undertaken in this component will be done by civil society organisations, particularly those with a strong presence at the grass roots level, such as the churches. A typical activity is described in the box below.

**Box 4.2 Component 3: Typical activity for electoral awareness**

Two or three people from a locally based NGO or church, possibly accompanied by a district officer, would travel around all or part of an electorate. The group would visit villages to explain and discuss LPV and other electoral and citizenship matters, and talk to village leaders, church officials and any local government employees or police officers to encourage them to emphasise the messages of LPV.

The activity might request funds for:

- Any travel, accommodation and per diems for initial training in LPV, typically at a provincial centre
- Travel (eg fuel for a vehicle or a boat), accommodation and per diems for the group to travel throughout the electorate
- Printing of training and briefing materials, posters, stickers, etc, or freight for materials already printed
- Use of local theatre groups or similar community-based information, education and communication strategies

It is likely that there could be a relatively large number of such activities in any one year. In order to manage these activities in a cost-effective way, the larger NGOs and churches should be encouraged to take on responsibility for coordinating a group of projects and activities, for example to cover a province or a number of provinces. The coordinating agency could be paid a management fee. If the NGOs and churches felt they did not have the immediate capacity to undertake such a management role, the PMO may need to employ a program officer on a temporary basis, both to manage the first projects and activities as well as to encourage potential coordinating agencies to take on the management role. Training for the management role might be available, for example through the AusAID-funded Church Partnership Program.

In addition to the normal management, supervision and financial acquittal of the projects and activities, the coordinating agencies should actively review the results to identify any common problems that the PNGEC or others need to address, particularly relating to LPV. The Program Manager should set up systems to enable the successes, innovations and lessons learned to be communicated to other civil society groups as part of a process of continuous improvement.

The relationship between the organisations responsible for these activities and the PNGEC needs to be clarified and agreed. It is expected that educational activities will cover both specific education on LPV and broad citizenship rights and responsibilities. As LPV is still new to PNG and is a complex area, it is important that the PNGEC can ensure that the messages being presented on LPV are accurate and consistent. However, there will be broader messages that different civil society groups will want to put across, using a variety of means, and it is appropriate that they can develop their own messages and methods without vetting by the PNGEC. This might, at times, present a difficult balance. However, if the 2007 elections fail because of a lack of understanding of LPV, it will be the PNGEC that will inevitably bear the blame, not the civil society organisations.

In order that the projects and activities are as effective as possible, the program should establish some basic principles. The principles should guide the development of the application form and instructions, and should also guide the assessment of proposals and their final selection. The principles should be drafted by the Program Manager for approval by the Program Board. Some draft principles are set out in Box 4.3 below.

**Box 4.3 Draft principles for Component 3 funding submissions**

- The submission is in accordance with the agreed ESP priority areas
- The program of visits is well-planned and villages are notified (wherever possible)
- The provincial and district officials and LLG members have agreed the program of visits, indicated, for example, by their signing the submission
- The people taking part are well-trained in the LPV process and skilled in presenting the material and leading a discussion, as well as being able to speak the local language
- The group provides a short written completion report with information on the successes, any problems, and in particular any messages about LPV that are not well understood or are causing confusion.
- The process is subject to continuous improvement, so that innovations, effective methods and aspects to be avoided are passed on to other groups
- The effectiveness of the methods used is assessed through a follow-up study of a small sample of activities
- Financial accountability is stressed so that groups receiving funds are required to present a statement of their expenses according to a pro forma, but also recognising the limited availability of formal receipts and the need to minimise bureaucracy.

It will be important to ensure that community awareness and education about LPV reaches all electorates, and ideally all villages, by the time the 2007 elections are held. This means that, as with Component 2, this component will require careful planning and scheduling. Again, there could be a number of essential projects and activities to be funded each year. The Program Manager will need to work closely with the PNGEC and the LPV Steering Committee, and may need to proactively seek out and encourage submissions if some geographical areas appear to be neglected.

Other projects and activities that might be considered for funding in this component could include the development of materials for community awareness and education, either for LPV or more generally for civics education. Some groups have talked about developing street theatre productions, and the Department of Education may be able to send out videos and incorporate material into the school curriculum. Community groups working on reducing violence and conflict during election times may also seek funding and should also be considered. The Program Manager will need to ensure that the activities do not become too focused on Port Moresby-based NGOs and CSOs, and should look for innovative ways of encouraging a wide range of community groups to become aware of the program.

This component might also support the development of independent election observation by civil society organisations and others, as was done in Vanuatu at the 2002 national election when an independent election observation group was established with active support from the electoral commission.

## **Component 4 PNGEC organisational development**

The objective of the fourth component is:

### **To improve the organisational capacity of the PNGEC to plan and run elections**

This component concerns **organisational development of the PNGEC**, and the need to build planning, management and supervisory capacity as well as financial management skills. The component has close links with Component 2 on improving electoral administration, the difference being that the focus of Component 4 is on the PNGEC, whereas Component 2 will involve a wider range of stakeholders in activities to improve electoral administration. Some of the areas of improvement identified through the PNGEC/AEC evaluation of the 2002 election could be addressed under Component 4. Examples of possible areas are given in the box below.

#### **Box 4.4 Broad areas for improving PNGEC organisational capacity**

|                                                |                                                     |
|------------------------------------------------|-----------------------------------------------------|
| Policy development                             | Office accommodation & equipment                    |
| Relevance and currency of the organic law      | Staff development – HO staff & election managers    |
| Decision-making processes                      | Performance management of staff                     |
| Communication and relationships                | Recruitment of PNGEC officers & succession planning |
| Planning processes & implementation strategies | Organisational structure of PNGEC                   |
| Monitoring and reporting systems               | Public awareness strategies & use of NGOs           |
| Use of information technology                  |                                                     |
| Financial management                           |                                                     |

*Source: PNGEC / AEC Evaluation report on the 2002 election*

In addition, other reviews have identified a number of opportunities for strengthening the PNGEC, although the severe financial constraints on the GOPNG may mean that some of them are impractical in the short term. The challenge for the program will be, therefore, to prioritise the areas of greatest need and look for ways of meeting them in a cost effective way. It may be possible to link to other donor-funded projects, for example for financial management training. It may also be possible for the program to consider funding the purchase of equipment, or for some office refurbishment to allow the PNGEC to be housed in the same building (rather than spread across two buildings as at present).

The proposed annual program of activities under this component will be subject to the same contestable arrangements as for the initiatives proposed under the other three components. Again, some activities might be regarded as essential or high priority and would need to be factored into the annual work program.

### **Twinning support from AEC**

It will be important to build on the achievements of phase 1, particularly the successful twinning relationship established between the PNGEC and the AEC, a relationship that both parties are keen to continue. In phase 2 there will be opportunities for the program to support existing arrangements whereby PNGEC staff can visit the AEC for training, to observe election processes, or for short-term work placements, and AEC staff can provide training, advisory and mentoring support to PNGEC staff. It is expected that the main opportunities for twinning support will come in components 2 (electoral administration) and 4 (PNGEC organisational development). As with the other program inputs, the twinning activities will be coordinated by the PMO through the Program Manager, and be

part of the annual plan. However, they will be managed through a Record of Understanding between AusAID and the AEC, rather than through a contract with the PMO .

Opportunities for twinning activities might be identified by the PNGEC, the Program Manager, or the AEC. Such twinning activities may be an input to one of the agreed projects and activities, or in response to an unforeseen need, or through an opportunity arising in Australia – the running of a training course or the holding of an election in Australia are examples of such opportunities. Examples of activities that might take place under twinning arrangements are given in the box below.

**Box 4.5 Potential PNGEC-AEC twinning activities to support components 2 and 4**

- Identify and publicise criteria for participation by PNGEC officers in the twinning program, and design an appropriate mentoring and coaching program
- Identify, train and accredit two PNGEC officers, identified jointly by the PNGEC and AEC as suitable candidates, as facilitators for a module in the Building Resources in Democracy, Governance and Elections (BRIDGE) training course, and run the module in PNG. Training of the facilitators would be subject to the availability of the appropriate training course being conducted in the timeframe
- Provide work placements for up to two months in Australia for one or two PNGEC officers
- Enable a small number of PNGEC officers to participate in the AEC Election Visitor Study Program and /or the AEC Election Visitor Polling Program for the Australian Federal Election due to be held in 2004
- Evaluate the effectiveness of the work placements and visitor programs in terms of both learning achieved and application of the learning to the job.

***Proposed process for selecting projects and activities***

It is anticipated that the process for selecting projects and activities for funding under the four program components each year will involve two broad stages. First, the stakeholders will agree the broad areas of concern that need to be addressed in the coming year. They will take into account the performance of projects and activities over the previous year, including their cost effectiveness. Secondly, specific projects and activities which address the broad areas will be assessed and selected. It is essential that the projects are **demand driven**, to ensure that the PNG stakeholders, including the PNGEC, other government agencies and the NGOs and civil society organisations, are committed to the projects they propose.

The process of selecting projects and activities in all four components, including the criteria for selection, will need to be developed by the Program Manager and agreed by the Program Board at an early stage in the program. Potential selection criteria, for further development by the Program Manager and discussion and approval by the Board, might include:

1. Relevance to agreed areas of focus
2. Demonstrated senior level commitment (from both government and civil society)
3. Demonstrable benefits
4. Value for money
5. Use of local consultants and organisations
6. Quality of proposal
7. Track record – relating to achievement of results and accountability (eg for ongoing projects)
8. Affordability and sustainability (eg no significant increase in recurrent costs).

A draft process for selecting projects for funding is set out in the box below.

**Box 4.6 Proposed process for selecting projects and activities**

1. Hold an annual workshop of all direct stakeholders to
  - Review the past year's activities, successes and lessons learned, and levels of funding received
  - Agree the broad areas to be addressed in the forthcoming year, under each of the four components and in line with the broad strategic plan.
  - Identify and agree those areas that **must** be addressed (particularly in Component 2 on election administration)
  - Start the process of discussions for collaborating between different stakeholder groups.
2. Stakeholders will prepare submissions, either as individual agencies or in partnership. The Program Manager will provide assistance as required. An application form, to include identifying any preconditions and dependencies which may require preparatory study, will be developed by the Program Manager.
3. Make a preliminary assessment of the submissions, according to criteria developed and agreed by the Program Board. First assessment to be done by the Program Manager who will return any submissions that do not meet the criteria but seem to have potential. The Program Manager may seek independent advice, for example on technical aspects of a proposal. The outcome from this step will be a short-list of feasible submissions, the total funding of which is likely to exceed the budget.
4. Meeting of Program Board to agree the list for funding new proposals. The decisions will be based on criteria relating to relevance, importance, logical sequence and funding constraints as well as absorptive capacity of the implementers (particularly the PNGEC).

It is expected that the Program Board will meet 6 monthly to review progress of the projects and activities, as well as review any that are not proceeding satisfactorily. Initial meetings might be every three months, changing to six-monthly if the program is running smoothly. Also, the Board may approve any urgent requests for funding for unforeseen emerging needs, subject to the same criteria and technical assessment. There will need to be a small contingency fund set aside for such unforeseen projects.

***Roles and responsibilities***

Based on the above description of the components and the process, the following table sets out the main roles and responsibilities of different stakeholders in each component. These roles and responsibilities should be discussed, amended and agreed at a workshop of all the main stakeholders to launch the new program, and reviewed at least on an annual basis.

**Table 4.1 Roles and responsibilities of stakeholders in each component**

| Stakeholder                                                          | Component                                                                                                                                                                                                                                                                                                                                             |                                                                                                                      |                                                                                                                    |                                                                                           |
|----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------|
|                                                                      | 1 Electoral governance & policy                                                                                                                                                                                                                                                                                                                       | 2 Election administration                                                                                            | 3 Electoral awareness                                                                                              | 4 PNGEC organisational development                                                        |
| <b>ESP Program Board and Working Group</b>                           | Decide on projects to be funded each year, review funded projects, ensure implementation                                                                                                                                                                                                                                                              |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>PNGEC</b>                                                         | Identify opportunities for study, provide expert input, implement agreed changes where relevant to PNGEC                                                                                                                                                                                                                                              | Identify and prioritise areas for assistance, provide resources, implement agreed changes.                           | Manage LPV awareness program, work with NGOs, CSOs, provide resources & support                                    | Identify and prioritise areas for assistance, provide resources, implement agreed changes |
|                                                                      | Identify, agree and implement twinning activities with AEC                                                                                                                                                                                                                                                                                            |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>Other GOPNG national agencies (Police, Finance, Planning etc)</b> | Identify opportunities for study, contribute input, help implement agreed changes                                                                                                                                                                                                                                                                     | Contribute resources and ideas as required for specific improvements to election administration                      | Take part in community awareness activities as appropriate                                                         | Provide input on whole of government methods, policies & procedures, etc as appropriate   |
| <b>Provincial &amp; district administrations</b>                     | Contribute to discussions of reforms                                                                                                                                                                                                                                                                                                                  | Contribute resources and ideas for specific improvements to election administration, eg for updating the common roll | Support local NGOs and CSOs in community awareness programs in the province; provide staff & resources as required | Stakeholders to be consulted areas of PNGEC that affect them, eg election managers        |
|                                                                      | Participate in Provincial Electoral Steering Committees                                                                                                                                                                                                                                                                                               |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>NGOs, churches and CSOs</b>                                       | Identify opportunities for study, contribute input, help implement agreed changes                                                                                                                                                                                                                                                                     | Assist with updating the common roll in districts                                                                    | Develop and implement LPV and civic education programs at the grass roots                                          | Stakeholders to be consulted on areas of PNGEC that affect them                           |
| <b>Program Management Organisation through Program manager</b>       | Plan, manage and coordinate program, identify potential projects, encourage submissions, assess submissions against criteria and provide a short-list. Assist with implementation, monitor program and individual projects. Provide annual review, including costs of individual activities. Assist organisations to develop projects and activities. |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>AusAID</b>                                                        | Participate in Program Board for deciding on annual program of projects and activities; appoint / approve members of the IRM.                                                                                                                                                                                                                         |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>AEC</b>                                                           | Identify, agree and implement twinning activities with PNGEC. Where appropriate, advertise specialist vacancies within the AEC, as requested by the Program Manager . Release staff selected by the Program Manager , subject to the AEC's operational requirements.                                                                                  |                                                                                                                      |                                                                                                                    |                                                                                           |
| <b>Impartial Review Mechanism</b>                                    | Assess program performance on an annual basis; recommend improvements to the program. Undertake mid-term review, recommend improvements to the remainder of the program and provide guidance on future program directions following completion of phase 2.                                                                                            |                                                                                                                      |                                                                                                                    |                                                                                           |

| Stakeholder                            | Component                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                           |                       |                                    |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-----------------------|------------------------------------|
|                                        | 1 Electoral governance & policy                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 2 Election administration | 3 Electoral awareness | 4 PNGEC organisational development |
| <b>Program management organisation</b> | Recruit, contract and manage the Program Manager, international and local technical assistance and administrative staff. Provide logistical support (eg security, insurance, travel etc) for international and local TA. Manage procurement. Enter into and manage agreements and sub-contracts with CSOs and other organisations for projects and activities. Set up and manage an imprest account or other flexible funding mechanisms for providing funds to GOPNG agencies (national, provincial or local). Manage, acquit and account for program finances. |                           |                       |                                    |

### ***Timeframe, resources and location***

Phase 2 of the electoral support program is intended to start by mid 2005. It will run for approximately three years, to end in mid 2008 after an evaluation of the 2007 elections has been conducted.

In view of the range and complexity of problems facing the electoral system in PNG, it is anticipated that further phases of the program will be needed beyond 2008, to continue to build the professionalism and capability of the PNGEC, improve coordination across government, assist the Government and civil society to address important policy and legislative reforms, and improve election planning, budgeting and management. Voter awareness and education programs will also need to be ongoing and long-term. It is likely that it will take more than one national election before the anticipated benefits from the LPV system can start to be realised. Depending on the achievements in Phase 2 and the performance of key stakeholders, including the GOPNG Electoral Committee and the PMO.

An annual budget ceiling of approximately AUD 3 million has been allocated to manage all project components, including:

- PMO Personnel (including a Project Manager)
- Technical Assistance (including the IRM)
- Disbursed funds
- Equipment
- Management, administration and operational costs
- Support to the Program Board

Any AusAID funding for major operational costs relating to elections, including support for air transport or for the Bougainville elections, may be provided in addition to the core annual budget for the program. Funding for priority unplanned activities may also be provided subject to approval by the Program Board.

The program will be based at the PNGEC office in Boroko, Port Moresby, and is expected to involve working at all levels of government, working proactively with civil society organisations and working in all provinces in PNG. The program staff will need to travel to provincial areas to monitor and evaluate activities as required.

### ***Counterpart contribution***

Counterpart contributions, such as the establishment of the Program Board, appointment of permanent staff to vacant positions in the PNGEC, and provision of office space, will tangibly demonstrate the value that the partners place on expected outcomes.

The PNGEC will continue to make its staff available, subject to operational requirements, to work with the Program Manager, Program Administrator and short-term local and international advisers as needed. It will also make available officers who are selected to visit Australia under the AEC twinning arrangements.

The PNGEC has also agreed to continue to make available the offices that were used by the AEC in Phase 1, although they have requested that, because of funding difficulties and the need for good communications, the program would pay for a dedicated telephone line.

The PNGEC would be responsible for making administrative arrangements for AEC twinning activities in PNG, for example to run BRIDGE training courses, including organising venues, travel for participants, etc. It would also be responsible for organising passports, visas, and other pre-departure arrangements for its officers who are participating in programs conducted in Australia.

Other GOPNG counterpart organisations would be expected to make staff available, as required.

### ***HIV/AIDS Mainstreaming Strategy***

PNG has a growing HIV/AIDS epidemic which is fast becoming the major health challenge for the country. PNG has an estimated 2% national HIV prevalence and its political, socio-economic and cultural climate has been assessed as highly conducive to a rapid spread of the virus. The epidemic can be described as sharing characteristics with many of Africa's worst affected countries. It is clear from countries with more mature epidemics that health agencies cannot tackle the issue alone: the Government of PNG has therefore committed itself to a strategy to combat HIV that draws on the resources available to it across all sectors. Civil society, including the media, faith based organisations and the private sector also have a critical role to play and thus new partnerships are needed. An important part of the response to HIV involves raising awareness and providing information on a range of issues including reducing transmission and care of people living with HIV. This information should also address the underlying factors promoting the spread of HIV such as domestic violence, the status and role of women and other gender related issues, poverty, and law and order.

Part of AusAID's response strategy is to mainstream HIV in its programs. Mainstreaming HIV can be defined as a process which enables development actors, in this case those implementing the ESP, to address the causes and consequences of HIV and AIDS in an effective and sustained manner, by adapting and improving both their existing development work and their workplace practices.

In the case of the ESP, it is likely that a number of activities could be undertaken under each component, including potentially:

- improved HIV training and awareness for electoral staff (including police);

- assisting the PNGEC and other stakeholders to review their own workplace practices;
- assisting the PNGEC to develop a corporate strategy for how it may be able to contribute to HIV prevention in PNG more broadly (for example, by linking HIV prevention to the planned national LPV community awareness campaign; or by considering the potential for electoral officers and police on electoral duties to contribute to prevention efforts)
- working with civil society stakeholders to help them develop their own HIV mainstreaming strategies.

The PMO will be required to develop an HIV/AIDS Mainstreaming Strategy as part of its initial 4-year Strategic Plan for the program, which will need to be reflected in more detail in the initial Annual Plan. The PMO will be able to sub-contract specialised HIV NGOs to assist with this work.

### ***First year's activities***

The Logframe in Appendix E shows the goal, purpose and component objectives only. For contractual purposes, the design team has outlined some indicative outputs that could become the basis for the program's activities in the first year. They are set out in the box below. These outputs were briefly discussed at the stakeholder workshops in December 2003. However, they will need fuller discussion with a wider range of stakeholders once the program commences.

#### **Box 4.7 Electoral Support Program: Indicative activities in the first year**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Component 1 - Electoral governance and policy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <ul style="list-style-type: none"> <li>• Policy reviews of aspects of the electoral system initiated by GOPNG – eg improvements to the common roll (including analysing pros and cons, and potential cost, of different proposals, such as identity cards and civil registration system)</li> <li>• Evaluation of initial experience with LPV</li> <li>• Study of options to improve governance/oversight arrangements for PNGEC</li> <li>• Review of legislation governing removal of deceased and non-existent people from the common roll – current legislation (old Australian law from the 1970s) is not appropriate in PNG context</li> </ul>                        |
| <b>Component 2 - Election administration</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <ul style="list-style-type: none"> <li>• Technical assistance with planning and costing by-elections</li> <li>• Trial 'clean-up' of common roll in one or two selected electorates (in a province with a well-functioning Provincial Election Planning Committee and involving civil society representatives - eg Morobe)</li> <li>• Improving financial management and budgeting for by-elections</li> <li>• Planning and preparation for future Bougainville elections, including funding and technical support for update of common roll of North Solomons Province</li> <li>• Development of plan to tackle problems identified in reviews of 2002 election</li> </ul> |
| <b>Component 3 - Electoral awareness and education</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <ul style="list-style-type: none"> <li>• Community awareness campaign for the new LPV voting system particularly in by-election districts/provinces</li> <li>• National awareness campaign for the introduction of the new LPV voting systems</li> <li>• Improving awareness and understanding of LPV by Police and defence personnel</li> <li>• Consideration of HIV mainstreaming</li> </ul>                                                                                                                                                                                                                                                                             |

**Component 4 - PNGEC organisational development**

- Corporate planning for the PNGEC
- Training of facilitators and running of a module of the BRIDGE training program
- Development of the Electoral Managers network (improved supervision and guidance, peer learning/twinning, coaching)
- Training needs analysis and development of twinning program
- HIV/AIDS training and review of corporate practices

## 5 Program management and coordination

### *Management strategy*

The management structure must allow for the program described in Chapter 4 to be implemented efficiently and effectively. It must provide for whole-of-PNG government strategic engagement, recognising the importance of consultation with, and participation by, a broad range of stakeholders including civil society organisations as well as PNG government agencies at national, provincial and district levels, and academic institutions. It must also provide a framework within which focused assistance can be provided for particular policy and operational initiatives.

The management arrangements of the program therefore reflect:

- The increased degree of involvement of key stakeholders including the PNGEC, other GOPNG departments and agencies, and civil society organisations including the churches
- Increased emphasis on strategic direction for the program
- Increased in-country management
- Better aligned contracting approaches to strategic outcomes
- A flexible approach in order to provide greater scope for innovation and responsiveness
- The opportunity to integrate activities with other donors
- Lessons learned from the previous phase of the electoral support program.

### *Management structure*

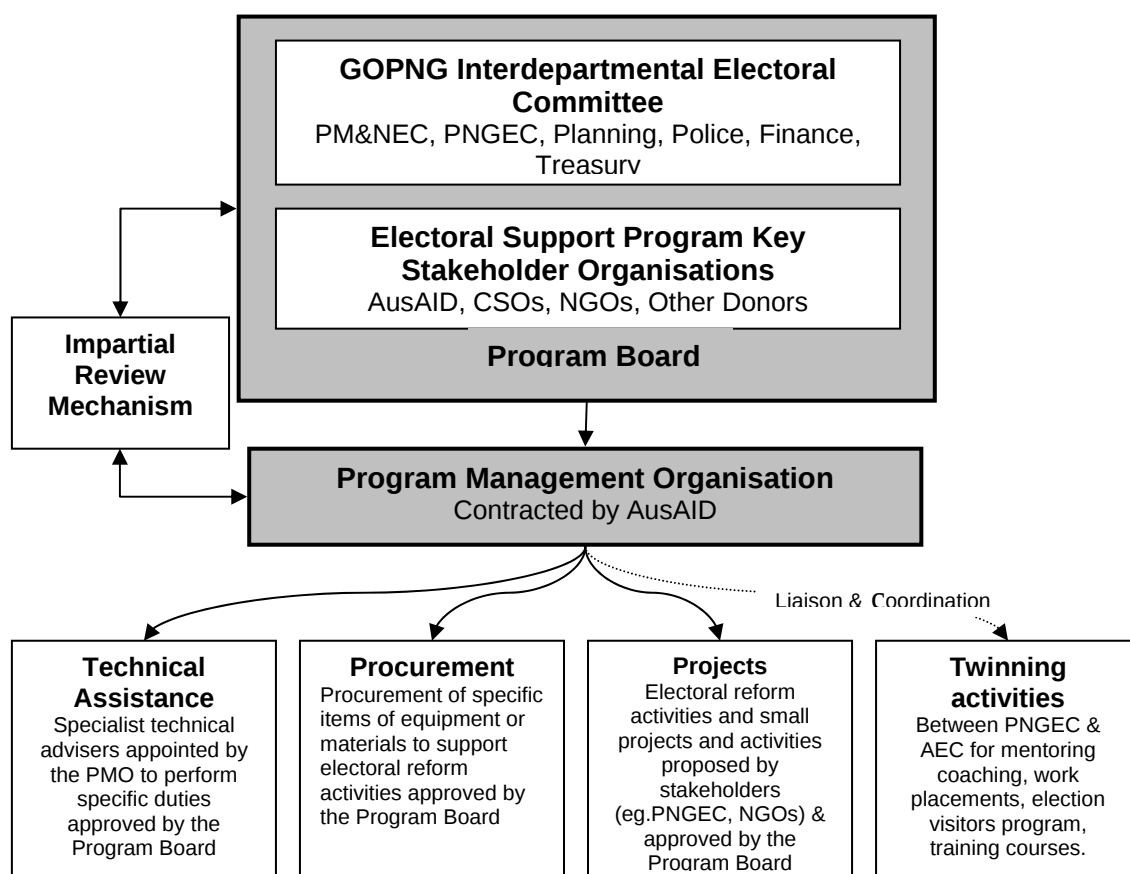
The management structure proposed for the program is shown in the diagram on the following page.

A key design principle is that the program will rely on the effective operation of the **GOPNG Electoral Committee**, to ensure GOPNG ownership of the reforms that this program will support. The GOPNG Electoral Committee is an interdepartmental committee comprising representatives of the PNGEC, Police, Planning, Finance and Treasury. It meets at the request of the Electoral Commissioner, usually on an ad-hoc basis prior to each election. It is therefore proposed that this committee becomes an integral part of a Program Board established to manage the program and provide strategic direction. As well as the GOPNG Electoral Committee, the Program Board would include representation from key civil society organisations, AusAID, and other donors contributing to the electoral support program. A senior member of the GOPNG Electoral Committee would chair the Program Board. The Program Board would be formally established by GOPNG.

The **Program Board** will be responsible for approving the strategic plan, and reviewing the proposed projects and activities submitted for funding under the program. The Board will develop priorities for implementation based on the strategic plan and outcomes and recommendations from the annual stakeholder planning workshops, and will decide on the proposed projects and activities to be funded and implemented each year. It is expected that the Program Board would meet twice a year. AusAID will be represented by an officer from the Post in Port Moresby and may also have a policy officer from Canberra in attendance. The meetings will be attended by the Program Manager and may also involve representatives from other participating sectoral agencies where necessary.

The Program Board may appoint a board committee, which would be, in effect, a working group of senior operational officers representing the same government departments that are on the GOPNG Electoral Committee, together with AusAID and civil society representatives. The working group may meet every month or two months, depending on workload.

**Diagram 5.1: Proposed management structure for the PNG-ESP Phase 2**



The **PMO**, with guidance and support from the Program Board, has overall responsibility for program outputs and outcomes, as well as for management, coordination and monitoring of the program, to ensure that all stakeholders are working to achieve the program purpose of supporting reform and improvement of the electoral system. The PMO will recruit a Program Manager, who will be based in Port Moresby and will be responsible for day to day management of the program. The Program Manager's responsibilities include drafting a four-year strategic plan, monitoring and evaluating the implementation of the projects and activities and reporting to the Program Board on progress and achievements. The Program Manager will also manage the annual process of seeking, assessing and approving applications for funding of projects and activities, as set out in Chapter 4.

Another key task of the Program Manager, assisted by administrative support, will be to develop and implement a communication strategy, to keep all the stakeholders informed

about progress and to ensure that there is sharing of the learning – both the success stories and the things to avoid. Communications with other donors active in the governance sector will also be important. Draft job descriptions for the Program Manager and Program Administrator are included in Appendix F.

The **PMO** will be responsible for appointing specialist local or international short-term advisers for approved projects or activities. In some instances short term advisers in electoral processes may be available through the AEC who would internally advertise short-term positions with the Program and wherever possible support applicants by releasing them on a leave without pay basis for the duration of their short-term engagement. Where personnel are not available from the AEC (eg during periods of Australian elections), or if the AEC does not have suitable persons for the proposed work, the PMO will conduct an open and transparent selection process to obtain suitable personnel for the assignments. The PMO may also be required to procure items of material or equipment to support approved projects or activities. Such procurement will be conducted in accordance with Australian Government procurement guidelines.

### ***Planning and budgeting systems***

The Program Manager, in conjunction with other stakeholders, will develop a broad four-year plan (to 2008 plus one year of indicative planning) of likely activities and events, particularly for Components 2 and 3, followed by a more detailed rolling annual plan for each year of the program. The initial annual plan will be based on the potential activities identified in Box 4.7, assuming that these have been reviewed at a stakeholder workshop prior to tender. The subsequent annual plans will be based on the agreed program of projects, developed using the participatory processes outlined in Box 4.6. The annual plans will include details of the projects and activities proposed for implementation, the timing and duration of the activity, details of how the work will be implemented showing responsibilities, organisations involved, outputs to be achieved, proposed performance criteria, and the estimated costs of each activity.

Annual plans will be reviewed and updated following each Program Board meeting and approval of new projects or activities. The plans should take into account any deferred activities or any activities for which funding has been withdrawn as a result of poor performance. The costs for the activities to be funded under the annual plans will need to be calculated for both the PNG financial year (January to December), and the Australian financial year (July to June). This means that formal updates will be required at least every 6 months, through the means of 6 monthly reports.

Financial management of the program will use the following approaches:

- The PMO will fund program costs out of its own operating account and will request two-monthly reimbursement from AusAID. This means that the PMO has complete responsibility and control for the accounting and financial management aspects of the program
- The PMO, through the Program Manager, will release funds for approved activities and projects in appropriately small tranches with subsequent payments to program partners being dependent on satisfactory progress against agreed milestones and accounting of all previous payments
- The PMO, through the Program Manager, will be responsible for establishing appropriate accounting standards for program partners. These standards may vary

depending on the size and type of activity, capacity of the partner, and the location of the activity. In some cases the Program Manager may need to assist the partner agency to develop appropriate accounting systems and procedures

- Field checking of a sample of activities will be undertaken by the Program Manager to show that funds are being spent correctly and that the desired outputs and outcomes are being achieved
- The PMO, through the Program Manager, will need to demonstrate that value for money is being obtained and that the program is managed and operated in an open and transparent manner. A report showing the budgeted and actual costs of each of the approved projects and activities, as well as program management costs, should be prepared each year and presented in the annual plan and at the annual monitoring and evaluation review as well as the annual stakeholder meetings.

### ***Program reporting***

The PMO, through the Program Manager will prepare a short report in time for the Program Board's working group meetings, outlining progress against plan and noting any significant achievements or problems. Any unforeseen or urgent submissions that may be eligible for contingency funding will be included in the report, for discussion at the meeting.

The PMO will also submit a six-monthly report to the Program Board and to the Impartial Review Mechanism. The six-monthly progress reports will show progress relative to approved plans, staff movements, financial progress, and progress in implementing projects and activities. These reports should also include details of any changes in plans or schedules for the next six months together with details of any problems or difficulties which have occurred and proposed action to alleviate the problems. The finance section of the report should include a statement of program expenditure, and should indicate cash flow projections. A table should be included showing contracts awarded by the PMO to PNG agencies, organisations, nationals and/or companies registered in PNG; together with details of expenditure on each contract. The report should also show progress against performance indicators as set out in the monitoring and evaluation framework.

In addition, the PMO will be required to maintain the standard AusAID Simplified Monitoring Tool (SMT) reporting requirements. The SMT among other things requires the PMO to submit to AusAID short **exception reports** immediately upon identification of any unforeseen problems arising in the program that may have a detrimental effect on the program, particularly in relation to achievement of the objectives specified in the annual plan. AusAID may refer the reports to the Impartial Review Mechanism.

The PMO will recruit an independent and professional Impartial Review Mechanism (IRM), made up of specialist international and local consultants and headed by a Principal Monitoring and Evaluation specialist. The IRM will be responsible for setting up an initial Monitoring and Evaluation framework for the Program and will prepare an independent **Performance Assessment and Evaluation (PAE)** annually. The PAE will be submitted to the Program Board. The PAE should be completed in sufficient time to allow the PMO and the Program Manager to be briefed on its findings and to inform the preparation of the subsequent year's annual plan for the Program.

The PMO will be required to complete a **Program Completion Report** and to participate in any impact studies or reviews commissioned by AusAID.

All reports provided by the PMO must be concise, timely, accurate and easily readable, and provide the key stakeholders with useful and reliable information and advice. The progress reports must allow AusAID to accurately assess progress under the Contract and incorporate sufficient information to allow AusAID to monitor and assess the success of the program in achieving the objectives of the program. The new AusAID 'Simplified Monitoring Tool' should provide the basis for the 6 monthly progress reports.

### ***Contractual framework***

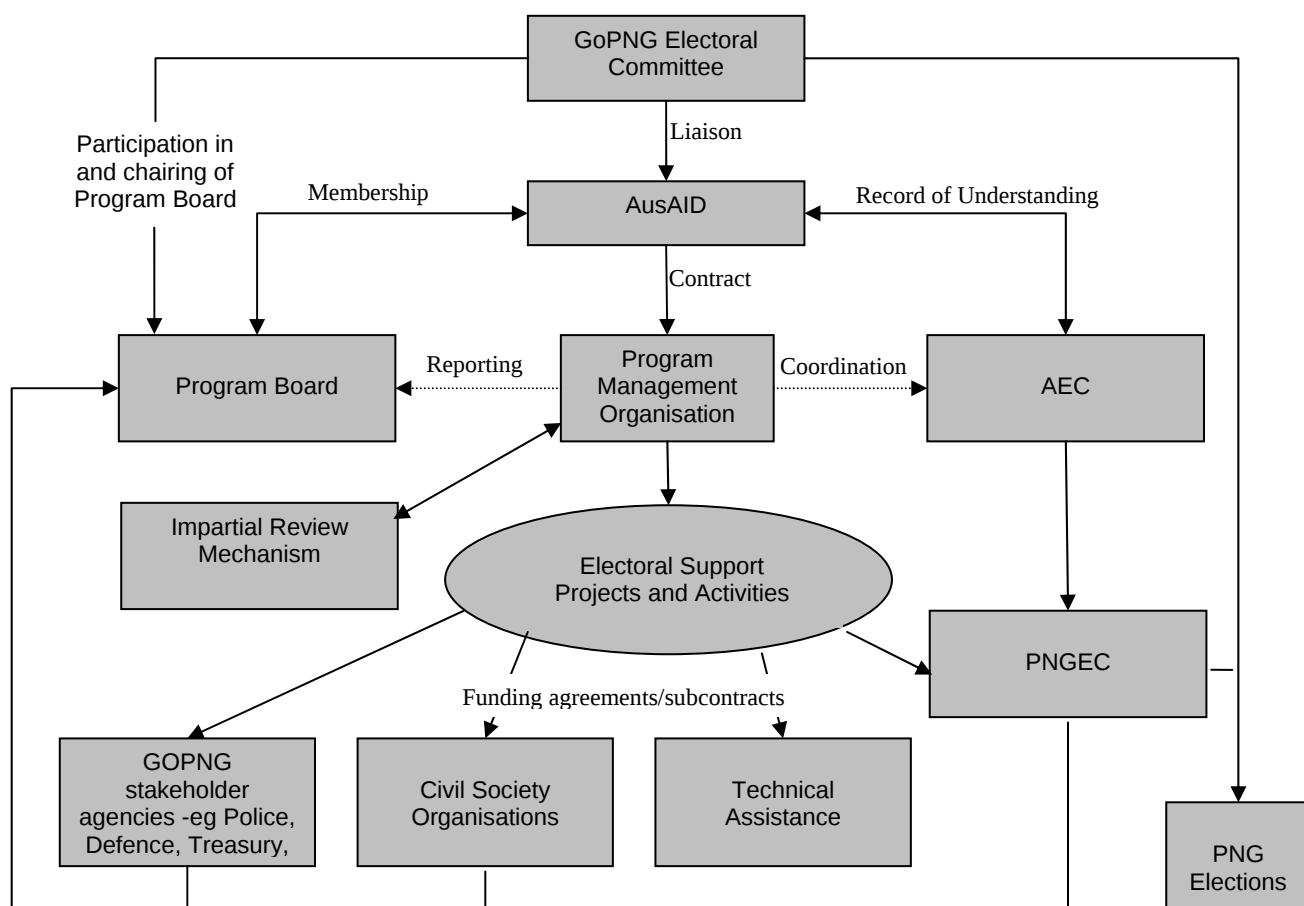
AusAID and the GOPNG will prepare a subsidiary arrangement to the Australia-PNG Memorandum of Understanding for aid activities to establish the operating conditions and requirements for the program. AusAID will appoint the Program Management Organisation (PMO) following a tendering and selection process. The successful PMO will be appointed for a period of three years but will be subject to a mid-term performance review. AusAID will retain the right to terminate the program, or the Program Manager, if it is assessed that the required program objectives are not being achieved. In the event that the GOPNG interdepartmental electoral committee is no longer operating effectively, AusAID may vary, suspend or terminate the program and thus the contract with the PMO.

The PMO will be responsible for entering into agreements and sub-contracts with agencies implementing projects and activities. The forms of agreements and sub-contracts should be based on those used for the PNG Community Development Scheme. The PMO, through the Program Manager and the Impartial Review Mechanism, will be responsible for monitoring and evaluating the projects and activities and for financial accountability of the program.

For the PNGEC-AEC twinning program, the AEC will be engaged directly by AusAID under a separate Record of Understanding. The Program Manager will be responsible for all coordination and liaison of the twinning activities. The Program Board will be responsible for approving the work plan for the program including the twinning activities.

The contractual framework is shown in the diagram overleaf.

**Diagram 5.2 - Proposed contractual arrangements for the PNG-ESP Phase 2**



### PMO performance assessment

It is anticipated that the PMO's contract will include a performance component, based upon regular performance reviews. These performance reviews will be linked to AusAID and the Program Boards' assessment of the PMO's achievement of key milestones throughout the project. Methods of assessment of the PMO's performance will include but not be limited to the annual Performance Assessment and Evaluation reports.

If the program and the GOPNG Electoral Committee are considered to be operating successfully at the end of Phase 2, and assuming that electoral assistance is still needed, then AusAID may fund a further phase of assistance. Depending on factors including the performance of the PMO during Phase 2, AusAID may elect to tender any contract for ongoing assistance at its discretion.

The PMO will develop a performance assessment framework in consultation with the Impartial Review Mechanism and submit a draft to AusAID for approval within 3 months of the program commencement date. This framework should be consistent with the program monitoring and evaluation framework, and allow for assessment of the PMO's services, as well as progress towards the program goal and objectives. The framework should identify 4-5 key result areas, no more than four indicators for each key result area, and means of verification for each indicator.

There are a number of deliverables that will need to be incorporated into the work plan, and are likely to be reviewed by the Impartial Review Mechanism in making its annual assessments.

## 6 Program monitoring and management of risk

### ***Background: The monitoring and evaluation context***

Monitoring and evaluation will be an important feature of the Electoral Support Program as it will measure the impacts of the program, and allow successes and lessons learned to be collected and disseminated. Monitoring and evaluation will also provide a forum for practical and productive engagement between the key stakeholders in the program, including the Australian Government, PNG Government, CSOs, and the voting community. A monitoring and evaluation framework is also required for the effective management of the program so that those projects and activities which are not achieving the planned outcomes can be identified and if appropriate removed from the program.

The ESP presents some special challenges for monitoring and evaluation. Some of these challenges are outlined below.

- Monitoring and evaluation in the governance sector is inherently complex, especially in PNG where the sector is undergoing rapid change to address recognised endemic shortcomings and problems.
- The ESP will be a ‘demand driven’ program with program project and activities being implemented in response to prioritised proposals submitted by stakeholder partner agencies. The impacts of these program activities and projects will be dependent on the provision of a range of resources and inputs by many stakeholders. It will be difficult to attribute the impacts of the activities and projects directly to the ESP, even if appropriate and effective indicators are selected to measure the impacts. The ESP is just one of many governance activities being performed in PNG, including those of other donors, the GOPNG themselves, and other Australian programs.
- It will be necessary to distinguish between ‘development’ indicators, that is, indicators which measure development impacts of the program, and ‘operational’ indicators, that is, indicators which measure the progress of management processes under the ESP and the performance of the PMO and the Program Manager.
- Many stakeholders are associated with the ESP, and will therefore need to be involved in monitoring and evaluation. The ESP is not a straightforward project with a single topic, single contractor, and single counterpart agency, but a program that will address issues in a range of electoral governance areas, and with wide variety of actors.

Monitoring and evaluating the ESP will require that a wide variety of governance and poverty indicators be taken into account including:

- Reduction in corruption, fraud and violence associated with elections
- Improvement of democratic processes and improved representation of the electorate by members of parliament
- The number of civil society organisations involved and participating in reform and development of electoral governance
- Policy development (including legislation) and implementation in sectors relevant to the ESP, for example relating to the updating and correction of the common roll, and the introduction of the new LPV voting system
- Improved political and institutional willingness to address electoral reform and development.

Identifying the best quantitative and qualitative indicators to measure these issues will be difficult. Simple quantitative indicators might include the number of deaths during the national election, the number of civil society organisations actively participating in electoral reform, and the number of legislative amendments passed and/or policy reforms implemented to support electoral reform. Qualitative indicators might include satisfaction with electoral services, or the ability to participate in electoral governance processes.

It will be difficult to attribute impacts to specific interventions in the PNG electoral context and care will be required in monitoring and evaluating the program to ensure that the selected indicators are realistic and relevant. This issue of attribution caused some difficulties during the previous phase, which was criticised over the poor performance of the 2002 elections despite the fact that the project had no direct control or input to the conduct of the elections. Some possible indicators for Phase 2 might include, for example, the increased participation of civil society organisations in electoral reform processes, or the contribution made by the ESP to a specific piece of legislation (or implementation of that legislation).

### ***Monitoring and evaluation strategy***

The monitoring and evaluation strategy for the ESP will:

- Allow participation by a wide variety of stakeholders
- Be flexible enough to cover different electoral governance issues and the complex set of relationships governing the program
- Identify those aspects of electoral governance which can be measured, and include appropriate developmental *and* operational indicators.

It is proposed that a monitoring and evaluation structure be set up which complements the ESP's management structure described in Chapter 5 (see diagram 5.1). The PMO will be expected to engage a short-term principal monitoring and evaluation specialist (who will also head the Impartial Review Mechanism) to help develop a simple, efficient and cost-effective monitoring and evaluation framework. Monitoring and evaluation would be performed at three levels:

- Project and activity results
- Program development impacts
- Program management and implementation.

A draft monitoring and evaluation framework is set out below.

**Table 6.1 Draft monitoring and evaluation framework**

| <b>M&amp;E Levels</b>                                                                        | <b>M&amp;E Tools</b>                                                                                                                                                                                                                              | <b>Responsibility &amp; Timing</b>                                                                                                                                                                                                                |
|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Outcomes and Impact</b>                                                                   |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                   |
| <b>Goal level</b><br>Medium to long term, outside scope of the program                       | Ex-post evaluation.                                                                                                                                                                                                                               | Not included as part of this program and not resourced.<br>AusAID decision (PNG Program or Office of Review & Evaluation)                                                                                                                         |
| <b>Purpose Level</b><br>Medium term, within scope of the Facility                            | Impact studies<br>Formal review                                                                                                                                                                                                                   | When suitable project/s and activities present<br>Annual and/or Mid term<br>AusAID decisions (via Technical Support Group)                                                                                                                        |
| <b>Effectiveness and Quality</b>                                                             |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                   |
| <b>Component Objectives</b><br>Able to be assessed annually, within the scope of the program | Performance Assessment and Evaluation Reviews (analysis against component indicators, program performance, quality of implementation and ongoing relevance of design -(as per M&E framework)<br><br>Annual Plan and Report<br><br>Mid term review | Impartial Review Mechanism – for independent, professional and constructive feedback to PMO<br><br><br>Program Board – for open and constructive feedback on plans and reports.<br>AusAID – for overall management of contractor and performance. |
| <b>Outputs</b><br>Ongoing data collection and periodic reporting throughout                  | Analysis and summary of aggregated information; lessons learned<br>6 monthly reports<br>Summarised in Annual Report<br>Mid term review on selective basis                                                                                         | Program Manager<br><br><br>Program Manager<br>Program Manager<br>AusAID / Impartial Review Mechanism                                                                                                                                              |
| <b>Projects and activities</b>                                                               | Reports by implementers                                                                                                                                                                                                                           | As relevant, enforced by Program Manager, monitored by Impartial Review Mechanism                                                                                                                                                                 |
| <b>Contractor Performance</b>                                                                |                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                   |
| <b>Delivery</b> of program services                                                          | As specified in Scope of Services                                                                                                                                                                                                                 | Six-monthly by Impartial Review Mechanism. AusAID as part of contract management; AusAID and key stakeholder views on performance                                                                                                                 |
| <b>Quality</b> of contractor performance as measured by stakeholders                         | Assessment of plans and reports                                                                                                                                                                                                                   | Six-monthly by Impartial Review Mechanism<br>Annual review by Program Board                                                                                                                                                                       |

| <b>M&amp;E Levels</b>                                                                                                        | <b>M&amp;E Tools</b>                                                                                          | <b>Responsibility &amp; Timing</b>         |
|------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|--------------------------------------------|
|                                                                                                                              |                                                                                                               | and AusAID; and as part of mid term review |
| <b>Responsiveness and efficiency</b> in processing proposals, reimbursing implementers, identifying and recruiting Advisers. | Program registers; 6 monthly reports                                                                          | Program Board                              |
| <b>Financial management</b> and accountability                                                                               | Performance against budget; financial records, financial statements for reimbursement under basis of payments | AusAID                                     |

Key stakeholders in the M&E process will include:

- The Program Manager
- The Impartial Review Mechanism
- The Program Board
- The PNG government, particularly the Department of National Planning and Rural Development (DNPRD) and the PNGEC
- PNG civil society organisations
- AusAID Port Moresby
- AusAID Canberra.

The Program Manager will be responsible for much of the monitoring and evaluation of the program through preparation and submission of completion reports for activities and projects implemented under the program. The Program Manager will also assist in the collection of monitoring and evaluation-related information from other stakeholders, including the PNG government and civil society organisations.

The Impartial Review Mechanism will play a key role in monitoring and review. The members, chosen in consultation with DNPRD and PNGEC, will need to be appropriately qualified PNG citizens and Australians recognised and respected as experts in their areas of professional expertise. The IRM will have a core membership and might also have associate members appointed in accordance with the changing focus of the program. The Impartial Review Mechanism will undertake annual performance reviews of the program, including overall program management, review of annual plans and proposed program of work, assessing the Program Manager's performance in monitoring and analysing risk and adhering to transparent and acceptable processes; reviewing management arrangements; technical outcomes; complementarity with other assistance and PNG priorities; and quality of engagement. It will also advise the key stakeholders as requested.

The AusAID Post in Port Moresby will be responsible for monitoring the program operational performance in collaboration with the Program Board. The AusAID Desk in Canberra will play a role through annual missions, when the focus will be on actual and potential linkages with the rest of the program, impact, and strategic outcomes of the program.

PNG organisations, such as the Department of National Planning and Rural Development and the PNGEC will also play a role in monitoring and evaluation. Participatory monitoring and evaluation will be an essential element of the program, and it is

specifically required for the implementation of program projects and activities through stakeholder agencies such as civil society organisations and GOPNG agencies. This mechanism allows for learning, correction and adjustment. It will help to build the capacity of the implementing agencies to serve as key actors in electoral reform, and is essential for sustainable development.

### ***Monitoring and evaluation framework***

The Program Manager will develop a program monitoring and evaluation (M&E) framework during the first three months of the program, in consultation with key stakeholders and with the support of the IRM. The framework will need to build on the preliminary indicators and assumptions as set out in the Logframe (Appendix E). The framework will also need to include consideration of how strategies for gender and rural equity are to be monitored, using both quantitative and qualitative indicators. The need for a baseline survey should also be considered and, if appropriate, should be designed to be undertaken early in the first year of the program.

A key element of monitoring will be to identify successes and lessons learned, and to develop and use appropriate mechanisms to ensure such successes and lessons inform future program activities. The M&E Framework should act as a tool to facilitate such a learning approach.

Indicative methodologies and mechanisms for the M&E framework to assess whether the program has been successful could be based on four categories for outcome evaluation and impact assessment. These are:

- Electoral governance
- Policy development
- Capacity building
- Stakeholder engagement.

All activities of the program would be liable to assessment or evaluation against these categories. The annual Impartial Review Mechanism assessments could focus on the four categories, to collect and analyse information about outcomes and impact. Each category could be assessed on a rotating basis, with the IRM looking at a random or purposeful sample of activities under the program in the period. Each category would have a consistently applied common measurement tool, such as the following examples:

- Electoral governance – qualitative assessment against a framework of changes to transparency, accountability and participation of the relevant organisation against a baseline assessment
- Policy development – analysis of the policy formulation and documentation process against a standard for good policy, which could be jointly developed by all stakeholders. Alternatively, an external World Bank/OECD policy analysis tool could be adopted. It could include measures of participation, analysis, clarity, relevance and coherence
- Capacity building – competence assessment and workplace follow up
- Stakeholder engagement – a survey, using interviews or written feedback, of stakeholder perceptions against some common criteria such as: relevance of the activities, relationships between participants/stakeholders, level of learning and sharing

amongst stakeholders, benefits of the engagement, constraints and lessons learned identified by each stakeholder.

The four-year Strategic Plan and annual plans will be key planning documents, while the key reports for monitoring progress against plans will be:

- Reports for the Program Board and Board working group meetings
- Completion reports for projects and activities
- Reports on successes and lessons learned.

### ***Risk management***

Risk management is related to monitoring and evaluation, in that risks also need to be regularly monitored and reassessed. A preliminary risk assessment has been completed and a risk management matrix for the program has been prepared. This is attached as Appendix G.

The main sources of risk identified in the risk analysis are:

- Funds to hold elections are not available or not provided in a timely manner.
- Lack of political and institutional willingness to address electoral reform and development.
- Review of electoral boundaries.
- The common roll continues to be inaccurate and inflated.
- Another by-election in the Southern Highlands Provincial seat, or other provincial electorates.
- Inadequate preparation for the introduction of the new LPV voting system.
- Difficulty in coordinating and managing the wide range of stakeholders involved in the program.
- The limited absorptive capacity of the PNGEC.

These key sources of risk could result in situations which diminish the effects of electoral reform initiatives, reduce the delivery or efficiency of program outputs, damage the reputation or goodwill of partner agencies, or reduce the capability of partner agencies.

A particular risk to AusAID, the PNGEC, and possibly the AEC, is that they will again be unfairly blamed if the 2007 elections are not completely successful. There is a relatively high likelihood of this happening in some areas for reasons that are beyond the control of any of the agencies involved. These reasons include insufficient funds to effectively manage the election process, insufficient security, and intimidation of voters, corruption and violence by a relatively small section of the community. Increased involvement by the wider range of stakeholders who can support the PNGEC in preparing for the elections will assist in mitigating this risk, together with improved communications with stakeholders, provision of public relations information on the program, and successful implementation of the activities and projects proposed under this program.

The main conclusion from the risk analysis is that although there are a relatively large number of significant risks associated with electoral reform, the majority of these can be mitigated through the program approach. Only those priority projects and activities approved and supported by the Program Board and stakeholder agencies, will be implemented under the program. This demand-driven and participatory approach to the program will minimise the risks to delivery of the selected program outputs by ensuring

the commitment and involvement of partner agencies in the implementation of the projects and activities. The flexible nature of the program approach will also assist in minimising the impact of risks by allowing the program to adjust to suit the changing demands of electoral reform over the duration of the program.

In general the risks that could affect the sustainability and efficiency of the program are in the high to extreme range and reflect the difficult institutional, economic, and political environment in which the program is being implemented. These risks result from such factors as the lack of political or institutional ability or willingness to address electoral reform issues, and the difficult fiscal situation in PNG which has resulted in a serious shortage of funds for operational expenses including elections and updating the common roll.

In view of the fundamental importance to PNG's democracy and stability of reversing the long-term decline in the quality of elections, it is considered that the program should be implemented despite the relatively high risk of failure. In light of the high level of risk it is proposed to limit the level of AusAID's investment

Most of the risk events that have been identified in the risk matrix will be addressed by the reforms already proposed by the GOPNG, PNGEC and other stakeholders. In these situations the risks present opportunities for the provision of assistance to address weaknesses in existing systems, procedures, or resources. Strengthening of these areas could be provided either through program assistance or through other related projects or programs of assistance.

Risks that affect the implementation of the program are assessed to be of a lower level and generally fall in the low and medium ranges. These risks include institutional, commercial, contractual, economic, financial, environmental, and gender and community issues. Most of these can be relatively easily managed and do not give rise to major concerns for the feasibility or practicality of the program. Good program management and direction will be instrumental in effectively managing and mitigating these risks. The Program Manager will be responsible for preparing a separate risk analysis to identify strategies to manage the risks associated with program implementation issues.

### ***Risk allocation***

The program will be based on a demand driven and participatory approach to selection of projects and activities by the Program Board. Therefore neither the Program Manager nor the PNGEC will have complete control over the program development or implementation. Responsibility for addressing risks associated with the program development and implementation will therefore be shared between several stakeholders in the program.

The PMO through the Program Manager will be responsible for those aspects of the program over which it has control. These will include:

- Financial control and accounting for the program
- The development of the four year strategic plan to set the overall direction of the program
- The preparation of detailed annual plans of work
- Review of submissions against criteria and presentation of a short-list of technically acceptable submissions to the Program Board

- The monitoring, evaluation and reporting of the activities and projects to be implemented under the program.

## 7 Feasibility and sustainability

Phase 2 of the electoral support program has been designed through an intensive consultation and development process as described in Chapter 1. A list of people consulted is attached at Appendix B. The design incorporates lessons learned from implementation of Phase 1 and the recommendations outlined in the January 2003 *Review of Australia's electoral assistance program to PNG*, as well as from the other reviews of the 2002 election. It is therefore reasonable to expect that this second phase will have improved feasibility and sustainability over the first phase of the program. The new design specifically addresses eight shortcomings of the phase 1 design, identified in the AusAID review. The issues, and the response to each of them, are set out in the table below.

**Table 7.1 Factors in the design to address previous shortcomings**

| Review Finding                                                                                                                                                                                                                                                                                                 | Design Response                                                                                                                                                                                                                                                                                                                                                                                                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| There was insufficient account of the political, social and cultural environment in which the PNGEC was operating, and particularly of the troubled history of recent elections, even though they are well documented.                                                                                         | Program extended to provide support beyond PNGEC itself and including support for civil society activities.                                                                                                                                                                                                                                                                                                                          |
| The objectives were unrealistic and not sufficiently strategic. Instead, the assistance was primarily focused on technical and training aspects and on the internal operations of the PNGEC, rather than on the broader electoral process. Thus the assistance was directed at too low and too narrow a level. | Assistance now able to be focused on the electoral process and technical and training support will be contestable with all other needs. Goal and purpose of the program realistic.                                                                                                                                                                                                                                                   |
| Related to this, the design did not focus on the root problems of political culture and competition; corruption and intimidation; and institutional weaknesses such as those in the leadership of the PNGEC (and other agencies), and in administrative capacity, funding and coordination across government.  | This program does not focus on the first set of issues either, but it is not clear whether donor assistance can do so, in the absence of reform champions in PNG.                                                                                                                                                                                                                                                                    |
| There seems to be no formal mechanism for the advice of the AEC team to be taken up in response to issues such as the need for closer coordination with other arms of government, or the order of names on the common roll.                                                                                    | This should be addressed in part by the GOPNG Electoral Committee. It may also assist that projects and activities, including AEC involvement, will need strong ownership to engage in the contestable process.                                                                                                                                                                                                                      |
| The formal mechanism for raising any issues of concern – the Project Coordination Committee – only had its first meeting in September 2002.                                                                                                                                                                    | The new mechanism is the Program Board which should be a more constructive mechanism than a PCC.                                                                                                                                                                                                                                                                                                                                     |
| The problem of the legal barriers to removing names from the common roll, which was only identified six months after the project had started, does not seem to have been sufficiently appreciated or thought through.                                                                                          | Under the Electoral Governance and Policy component, the Program provides scope for this issue to be addressed by PNGEC, with appropriate technical support as required.                                                                                                                                                                                                                                                             |
| The placement mode of advisers, who worked on three-month rotations, weakened capacity to engage at the level of policy and management; and diminished the opportunity to maintain continuity with PNG systems and cultures                                                                                    | The Program Manager will be long-term and has as a key part of their role, engagement on key policy and capacity building issues. Specialist advisers will now be able to be placed for longer under the program, if needed. Advisers from AEC will need to take leave to participate. However, AEC's own workload may prevent longer placements. The PMO has the option of looking beyond AEC if longer term placements are needed. |

| <b>Review Finding</b>                                                                                                                                                                     | <b>Design Response</b>                                                                                                                                            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| The need for a high level review body, representing the main stakeholders (government and non-government) that can oversee the review process including implementation of agreed changes. | The PDD places great emphasis on the interdepartmental electoral committee and makes the ongoing funding of the program contingent upon its successful operation. |

### **Manageability of the program**

The program will be more complex to manage than under Phase 1, because of the wider range of activities and greater number of stakeholders. This complexity has been addressed by establishing a full-time Program Manager based in PNG (Phase 1 project management was undertaken by the AEC from Canberra). In addition, the demand driven nature of the program will increase its manageability, as activities will only be undertaken where there is strong commitment and involvement from the relevant stakeholders, either government or civil society organisations.

The program approach provides the flexibility to take account of possible risks and opportunities. The PMO will not be exposed to high levels of commercial risk as all direct costs associated with approved program implementation will be reimbursable on submission of certified two-monthly invoices to AusAID.

### **Technical feasibility**

The program does not require high levels of technical skills. The only specialised skills needed are likely to relate to electoral law and processes and can be provided through the AEC or from other electoral agencies or the private sector in PNG, Australia, New Zealand or the Pacific Region. The program will use local technical expertise where appropriate.

A key ‘technical’ skill will be to assess which submissions for projects and activities have strong backing, are likely to be effective and are viable. A requirement of the Program Manager will be that they have knowledge of factors that are likely to lead to project success, together with previous experience or demonstrable skill in assessing projects. Nevertheless, it is to be expected that some projects and activities will not achieve their objectives, and periodic reviews will ensure that such failing projects can be identified and either assisted or stopped. The review process will also enable successes and lessons to be identified and passed on.

The PNGEC has demonstrated that its staff are capable and willing to adapt to new technologies, new working procedures and systems, and new approaches to involving other stakeholders in planning and conducting elections. However they have a relatively small number of staff which is a limiting factor on their capacity.

### **Financial and economic feasibility**

A cost-benefit analysis has not been undertaken because of the nature of the program. Exact details of assistance will not be known until the program is functioning. The focus on involving a wide range of stakeholders and the use of civil society organisations will have a positive impact on the financial feasibility and it is reasonable to expect that it will result in greater efficiency and effectiveness in the use of available resources. Australia's financial contribution is relatively small compared to the potential economic impact for the GOPNG resulting from improved governance and democratic processes.

### **Impact on poverty**

The program will not have any direct positive or adverse impacts on poverty. However, there is the potential for an indirect positive impact on poverty, achieved as a result of improved electoral processes, reduced costs to the nation in terms of the costs of elections, reduced loss of life and injuries during elections, and improved representation and equity of resource distribution for a greater proportion of the electorate.

The program emphasises the participation and involvement of civil society and will promote activities that will assist in reducing voter intimidation, and election-related violence, fraud, and corruption. The increased awareness of voters and the involvement of civil society organisations in the program will also help to ensure that electoral reform initiatives are sustained.

### **Social and cultural impact and gender implications**

The electoral reforms already proposed by the GOPNG and PNGEC, particularly the introduction of the new LPV voting system, are expected to enable women to have a greater choice after meeting clan obligations, and may well result, eventually, in the election of an increased number of women members of parliament. Improvements to the administration of elections, including better security, better access to polling stations, more independent and better-trained polling staff, and a more accurate common roll, should also contribute to improvements in women's ability to vote freely and fairly, particularly through reducing the level of intimidation experienced during polling. Improved voter and citizenship education should also contribute to improved knowledge and participation by women voters.

In addition, the design has several features that acknowledge and address social, cultural and gender issues:

- The program's use of participatory methodologies will increase opportunities for women's perspectives to be taken into account
- The active participation of CSOs, including the National and Provincial Council of Women, as partners in the program may provide opportunities for women to enhance their participation, access to information, capacity development and learning
- The Program Manager can encourage women's and youth groups to participate as partners in the program and will promote strategies to address gender and cultural inequalities and sensitivities to be included in the projects and activities.

Further, the Program Manager will be required to:

- Ensure that the GOA and GOPNG policies on cross-cutting issues are designed into:  
(a) all terms of reference and recruitment practices for advisers; and  
(b) all requirements for submission of funding (to the degree appropriate for the TA and project or activity)
- Keep appropriate records, for example, numbers of applications for funding of projects and activities received from/approved for women's groups/youth groups; numbers of female/male staff of PNGEC participating in training and development activities
- Ensure that all team members and advisers act as role models, both in terms of their individual behaviours and in terms of how they address gender equity through the program.

## **Institutional and governance feasibility**

The GOPNG has declared a strong commitment to, and support for, the electoral reforms at senior levels of government. A range of stakeholder agencies including Planning, Police, Defence, Finance and the Central Agencies Coordinating Committee (CACC) have all expressed a strong interest in electoral reform and have welcomed the proposed electoral support program. All the above agencies have indicated their interest in participating in awareness programs for the introduction of the new LPV voting system and have offered their support for ongoing activities.

The program will support existing PNG policy, institutions and structures. In particular the program will work closely with the PNGEC and will provide opportunities for capacity building and institutional strengthening. The program will also support the operation of the GOPNG Interdepartmental Electoral Committee, to the extent that the implementation of Phase 2 in large part will rely on the effective operation of the committee. The committee will continue to have an active role in coordinating and managing operations during elections and by-elections.

The program will not change the current roles and functions of the PNGEC but will enhance the operation of the organisation by supporting linkages and collaboration between the PNGEC and civil society organisations. Involvement of other key stakeholders will facilitate the implementation of awareness and media campaigns and will ultimately reduce the workload on the PNGEC. It will also result in improved transparency and public understanding of the electoral system.

The absorptive capacity of PNGEC will be limited by the need to prepare for the introduction of LPV and the continuing need to run by-elections. Nevertheless, the work load should start to ease once the immediate by-elections have been held, and there should then be the capacity to address other issues of electoral administration requiring improvement, as identified in the reviews of the 2002 election, including the one conducted jointly by the PNGEC and AEC.

The involvement of existing local organisations, including NGOs, churches, academics and other civil society organisations, in many of the projects and activities should help to build the capacity of these organisations and their engagement with the broader issues of electoral reform. Processes to share the learning will be established, which should also contribute to continuous improvement and strengthened networking.

A potentially major source of risk is the serious fiscal situation in PNG and the consequent shortage of funds to support ongoing development and operation of the PNGEC. This risk is somewhat reduced by the constitutional demands that elections be held and that the PNGEC continue to operate and manage by-elections and elections. While the shortage of funds is expected to limit the capacity of the agency in the short term it is nevertheless guaranteed funding and continued support in the longer term. The more important challenge is the timeliness of funding, and it is anticipated that the involvement of the key agencies (particularly Treasury and Finance) in the Program Board, which decides on the annual program of activities, will help to ensure that government funding is provided in a more timely manner than previously.

The program does not impose undue additional recurrent costs on the partners, as it does not require ongoing purchase or maintenance of expensive equipment. The program will

actively seek to develop ways in which the existing very high recurrent costs of elections and by-elections can be reduced.

### **Environmental impact**

The environmental impacts of PNG ESP will be negligible and an environmental impact statement is not required.

### **Impact on HIV/AIDS**

As outlined in the earlier section on HIV/AIDS Mainstreaming Strategy, there is substantial potential for the program to assist PNG Government agencies involved in election work across the nation (especially PNGEC and police) and civil society organisations involved in electoral education and election monitoring, to train their own staff on HIV awareness and to develop strategies and programs on how the work of their individual agencies may be able to contribute to HIV prevention more broadly (eg consider combining HIV education messages with electoral education and awareness programs; consider use of electoral officials and police to disseminate HIV education material during elections).

The impact of HIV/AIDS mainstreaming activities under the ESP program will be monitored and evaluated by the PMO itself on an ongoing basis, and more formally through the periodic assessments by the Impartial Review Mechanism responsible for professional evaluation. These reports will also go to the Program Board which will also have some responsibility for evaluating the impact of HIV/AIDS mainstreaming activities and guiding program strategies in this area.

### ***Factors in the design to promote sustainability***

The following factors will enhance the sustainability of the electoral support program, as they will contribute to the continuation of benefits after the completion of Phase 2 of the program. However, it must be kept in mind that further phases of the program are likely to be needed beyond 2008, because of the range and complexity of problems facing the electoral system. Voter awareness and education programs will also need to be ongoing and long-term, particularly as there are new voters for each election, namely those who turn 18. Further, it will probably take more than one national election before the full impact of the advantages of the LPV system are understood, and it will be important to continue to provide support, as requested, to ensure that the benefits are realised.

### **Policy environment**

The program will be implemented within a supportive policy framework. There is already strong public and private sector support for electoral reform to avoid the difficulties experienced during the 2002 elections.

### **Counterpart commitment**

Counterpart contributions, such as the establishment of the Program Board, provision of office space, and appointment of permanent staff to vacant positions, will tangibly demonstrate the value that partners place on expected outcomes. Collaborative planning of the assistance will ensure that counterpart contribution commitments are realistic.

**Local capacity**

Capacity at the provincial level is currently limited but the engagement of the election managers in the implementation of program projects and activities, and the joint involvement of all election managers during by-elections, will ensure that the capacity of the election managers' network will continue to expand.

**Management and organisation**

The program will work within existing agencies and institutional structures and is not involved in the development or creation of any new agencies or organisations. These agencies will continue to operate following program completion. The PNGEC is guaranteed continued support under constitutional law.

**Awareness and training**

The sustainability of change will be promoted through awareness-raising and training activities. Information dissemination and networking are also integral elements of the program. They will promote understanding of, and support for, the program's objectives.

**Participation**

Assistance will build on stakeholder demand and initiatives. As such the program is predominantly demand driven which will support stakeholder ownership and commitment.

**Private sector involvement**

Civil society organisations will be encouraged to participate in the program, both to implement projects or activities and to participate in monitoring and evaluation. The private sector may also be contracted to provide services, either as local experts or to run elements of the program such as information and reporting system.

## **Appendix A: Terms of reference for the program design team**

### **1. Purpose**

These terms of reference are for a design team to produce a program design document (PDD) for a program of electoral assistance to the Government of PNG (GOPNG) to support electoral reforms and strengthening of election management in PNG.

### **2. Background**

The PNG electoral system and political environment provide unique challenges to election management in PNG, particularly in: security, localised political corruption, confusion over electoral boundaries, problems with financial management, and the lack of integrity and maintenance of the common roll.

The PNG Electoral Commission (PNGEC) has experienced considerable problems in its operations, capacity and funding. Elections in PNG have been open to fraud due to institutional weakness and lack of public knowledge of civic rights and responsibilities.

In 1999, the PNG Government (GOPNG) sought assistance from the Australian Government (GOA), through AusAID, to improve the capacity of the PNGEC to manage elections effectively and in particular, to assist the PNGEC to prepare for and conduct the June 2002 national election.

A feasibility and design study was conducted in 1999. Pre-project activities commenced in April 2000 and were managed by the Australian Electoral Commission (AEC), which fielded an advisory team to PNG under a Record of Understanding with AusAID. The main focus was on a re-compilation of the common roll.

The original design study identified the need for assistance in:

1. Organisation and management of the PNG Electoral Commission;
2. Update of the Common Roll;
3. The Conduct of Elections;
4. Initiatives in Community Awareness; and
5. Project Management.

The project was initially planned to follow a traditional program of management by an Australian Managing Contractor (AMC) over an additional four years, with estimated contributions of \$A17 million from GOA and \$A8.1 million from GOPNG.

In February 2001 the proposed program of support was reviewed and replaced by a proposed two-phase implementation of the project. The design of Phase 1 would have the primary objective of preparing for the 2002 election, and incorporate the production of a diagnostic study of the election on completion. The AEC's management of pre-project activities was followed by their management of Phase 1, through the deployment of a rotating team of advisers.

The design of Phase 2 would be directed by the study's assessment of the effectiveness of electoral management and identification of key areas for improvement in managing future elections. Phase 2 was expected to conclude after the 2007 national elections.

The 2002 national elections were widely reported as being 'the worst ever' in PNG. While some difficulties were experienced across the country due to management and logistical shortcomings of the PNGEC and funding shortcomings of the PNG government, the worst of the problems occurred in the Highlands and seemed to derive from the broader Highlands political and cultural environment.

Central government influence has been perceived as weak in the Highlands, with poor provision of essential services. The clan dominated Highland culture requires leaders to provide for clan members, in return for clan political support. Adversarial or competitive relationships between many clan groups, often manifested by clan fighting, intensify at election time with rewards of

wealth and power for the winner, but nothing for the loser. The welfare of the clan is linked to winning elections.

High stakes at election time invariably result in confrontations between strong clan groups, often largely unrestrained by a weak law and order apparatus of the State. In the Highlands violence and intimidation, as well as electoral fraud including stuffing ballot boxes and the hijacking and destruction of opponent's ballot boxes have become increasingly common electoral occurrences.

The 2002 national elections saw unprecedented intimidation, violence and electoral fraud in the Highlands. Five of the eight national elections and the provincial election in the Southern Highlands province were declared 'failed' by the PNG Electoral Commission, with fresh 'supplementary' elections to be held in April 2003. These elections were subsequently successfully held in April 2003, assisted by the deployment of around 2,000 police and defence personnel and a large budget for the air transport of ballot boxes and security personnel.

AusAID deployed a review mission to PNG in October 2002 to examine the ongoing relevance of Australia's Electoral Support Program to Papua New Guinea, in the wake of the recent problematic national elections and upcoming challenges in conducting future elections. These challenges include a severe lack of funding, limited administrative capacity, law and order problems, alleged corruption of electoral officials and police by candidates and supporters, and the public's attitude towards elections and election cheating in some provinces.

One of the main purposes of the review (report published in January 2003) was to enable AusAID to make informed decisions about how to proceed with further assistance for the electoral system in PNG.

The AusAID review identified a range of implications for Australian electoral assistance, including the need to support: democracy generally in PNG, electoral governance and management, citizenship and education programs, and the establishment of independent observer groups.

One of the most important findings of the Review regarding future support was that: "(the causes of electoral problems) are far greater than simply the management, resources and operations of the PNGEC, and extend across the administrative capacities of the PNG state as a whole. Even a highly professional and fully resourced PNGEC could not guarantee that the elections are peaceful and democratic. Therefore, we recommend that any future AusAID assistance be focussed on improving the broader electoral system rather than on simply strengthening the Electoral Commission. This will require involving the broader community of stakeholders, including relevant national, provincial and district governments, NGOs and civil society organisations' (p3, executive summary).

More detailed conclusions of the Review, summarised in Section 6 'Implications for Australian assistance' and Section 7 'Recommendations' are at Attachment 1.

Continuing deployment of AEC advisers on rotation was suspended upon the departure of the team in mid-December 2002 and at a bilateral meeting on 6 February 2003 it was agreed that, pending the design of Phase 2 of the project, assistance would be limited to specific activities as requested by the PNG Electoral Commissioner. These activities initially centred on financial management and community awareness for the Southern Highlands supplementary elections, and have subsequently been extended with further community awareness for the introduction of limited preferential voting and continued work on the common roll database.

### **3. Objectives**

The objective of the design mission is to develop a program of assistance to 2007, to support reform and improvement of the electoral system in PNG, which faces several important tests in the near and medium term:

1. the introduction of a new LPV voting system in forthcoming by-elections in late 2003/early 2004
2. planning and management of elections for an autonomous government in Bougainville in 2004
3. a possible review of electoral boundaries prior to the next national elections, scheduled for 2007

4. revision and refinement of the highly inflated and inaccurate electoral (common) roll in preparation for the 2007 elections; and
5. planning and management of the national elections in 2007.

The program of assistance will include a flexible mix of (i) high-level policy and management advice to support policy development and reforms and management, organisational and operational improvements; (ii) specialised technical assistance in the field of election administration; and (iii) special-purpose funding of local costs to support the development, trialling and implementation of initiatives to improve the electoral system.

The design study will be responsible for developing a conceptual design and summary Logframe for Phase 2. In consultation with stakeholders, the study will also need to develop and define management arrangements for the implementation of Phase 2. The study will develop initial tendering, scope of services and other documentation needed to allow AusAID to contract for the implementation of the Phase 2 program.

The design of Phase 2 should be based on the following design principles:

- a) As per the findings of the January 2002 AusAID review, future AusAID assistance should be focussed on improving the broader electoral system rather than on simply strengthening the Electoral Commission. This will require involving the broader community of stakeholders, including relevant national, provincial and district governments, NGOs and civil society organisations.
- b) The new program will support initiatives by either government or civil society organisations to improve electoral governance, election administration and voter awareness and education. While it is expected that the policy and management and technical assistance elements of the program will be used mainly to support improvements in electoral administration by government agencies (in particular the PNGEC), the funding element will also be able to support initiatives by organisations outside government interested in promoting electoral improvements or education.
- c) Inputs of technical or financial assistance should be linked to the implementation of specific improvements or reforms, rather than to generic capacity building or training efforts that do not in themselves lead to improvements in outcomes.
- d) It is envisaged that the technical assistance element will consist of a series of focussed short-term deployments of specialist advisers to achieve specific goals (coordinated by a long-term Program Manager/senior adviser), rather than a permanent team of advisers working on capacity building, as was the case during the Phase 1 electoral support project;
- e) A programmatic, flexible approach to implementation. Design (and review) should set key objectives and desired outcomes for the program, and determine budget parameters. Specific outputs and activities should be determined periodically (eg annually and reviewed six-monthly), as specific needs and opportunities emerge.
- f) Management arrangements for the program should be consultative, encouraging engagement on, and ownership of, program activities from a broad range of stakeholders (both government and civil society, and also interested donors) – not solely the PNGEC. Consideration could be given, for example, to the use of a Board or similar arrangement to encourage broad participation and ownership of program activities, and to foster coordination between PNG stakeholders themselves.
- g) An annual budget ceiling for the program of \$A 2 million, including the cost of any long or short-term advisers.

#### **4. Priorities for AusAID assistance**

The January 2003 Review (and subsequent discussions with the PNGEC, police, churches, NGOs and other stakeholders) identified the following broad priority areas for assistance, which are expected to form the basis of the design for the Phase 2 program:

##### **Short term**

##### **1. Implementation of new (LPV) voting system (ref 7.1.3 AusAID Review)**

Technical and financial support for the introduction of the new LPV voting system in forthcoming by-elections. Key result areas (outputs) where new support for new functions or improvements to current practice are needed include:

- Improved community awareness (ref Rec 8 AusAID Review) – Financial and technical support for PNG Government agencies and other stakeholders to develop and implement a community awareness campaign for the introduction of the new voting system
  - with particular focus on electorates subject to by-elections
  - as well as broad community awareness programs, specially tailored education program needed for politicians, supporters and scrutineers (to avoid mis-understanding of new system and potentially violent repercussions)
  - delivery through both government (PNGEC, police) and non-government (churches, NGOs, business) channels.
- Election planning, budgeting and management – Technical support to improve planning and budgeting for the by-elections (including likely increased cost of LPV due to longer counting process). In particular, support for improved coordination with police in planning and budgeting, and with Finance to ensure appropriate allocations and warrants.
- Common roll data cleansing – Technical support for processing of outstanding amendments and continuation of data matching and cleansing, with priority on by-election electorates. The objective is to refine the rolls for these electorates to the extent possible using existing enrolment data (insufficient time and resources for further fieldwork or community checking of rolls prior to by-elections).
- Legislative/regulatory changes – Technical/financial support to ensure the necessary legislative changes are made to: (i) extend the period for the return of writs to allow for longer counting period under LPV; (ii) simplify amendment of the common roll; (iii) any other changes needed to support the new voting system.
- Evaluation and continuous improvement (ref Rec 8 AusAID Review)– Technical and financial support for evaluative studies of selected LPV by-elections:
  - o to help assess the impact of the change to the new voting system
  - o to help progressively refine the administration of LPV by-elections.

Any Australian support in this area should be premised on the very real possibility that even with Australian support, the implementation of the new LPV voting system will not be smooth and may indeed prove to be too complex for the PNG electoral system.

##### **2. Bougainville Elections**

Technical support for planning and management of the planned elections and possible financial support for their implementation. Several fundamental political and policy issues need to be clarified before even an initial needs assessment/planning study can be undertaken. Key issues include: who is to run the election (PNGEC; UN; other?); number of electorates and electoral boundaries; likely timing and funding responsibility.

## **Medium/long term**

### **3. Improving electoral governance (ref Sections 7.12; 7.2 AusAID review)**

Support for a high-level, whole-of-PNG Government review mechanism (Taskforce, inter-departmental committee or similar) to sort through the many complex issues identified in the Commonwealth, AusAID and previous GOPNG reviews. These include:

- Strengthening accountability of PNGEC to government and civil society (eg increasing numbers of commissioners; establishing a parliamentary oversight committee; CIMC committee on electoral matters);
- Reform of common roll;
- Legislative issues (eg exceptions process for common roll);
- Funding and affordability issues;
- Review of electoral boundaries

### **4. Improving electoral administration and PNGEC effectiveness**

Support for improvements in PNGEC's policy, management and systems capacity, including technical support for any organisational review of PNGEC implemented by Government. Key result areas could include:

- Management improvements - in the absence of any major organisation review, it may still be possible to achieve some concrete improvements in PNGEC management and organisational capacity, in particular:
  - o Support for development of a corporate planning process to clarify objectives, functions, structure, staffing and cultural issues for the organisation;
  - o Support for improved coordination with other key government agencies, in particular police and finance departments and relevant whole-of-government committees (eg National Security Committee of NEC);
  - o Support for improved coordination with civil society stakeholders.
  - o Support for the establishment and development of provincial electoral steering committees.
- Legal advice – support to review the outdated legislation that impedes amendment of the common roll and for legislative/regulatory changes needed to implement LPV (ref section 7.1.5 AusAID Review)
- Common roll update (ref Section 7.1.4 AusAID Review)
  - o Support initial comparative analysis between census and common roll data on number of eligible voters (disaggregated down to district and ward level where necessary) to identify major common roll discrepancies and as a tool for future updates (Recommendation 10 AusAID Review)
  - o Technical and financial support to trial different approaches to updating common roll (Recommendation 11 AusAID Review)
- Support to strengthen prosecution of electoral offences (Rec 25)

### **5. Improve voter education and election monitoring**

- Support the development of a long-term citizenship education program (including voter education), in coordination with other donors (Rec 23 AusAID Review)
- Support the establishment of joint Government/civil society Independent Election Observer Groups, along lines of Vanuatu model (Rec 22 AusAID Review)

## **5. Scope**

It is expected that the design team will undertake the following activities:

1. Read relevant documentation, in particular the January 2003 AusAID Review; the Commonwealth Expert Group Report and the joint PNGEC/AEC evaluation report of the June 2002 elections.
2. Consult with key stakeholders at national level to discuss the broad approach set out above and gain an updated view of perceived needs and priorities for electoral reform. These may include (but not be limited to) relevant officials from the Department of Prime Minister and NEC, PNGEC, RPNGC, Finance, BPPO and Electoral Boundaries Commission. Also representatives from relevant civil society organisations, including:

- a. interested church and NGO organisations ( Transparency International PNG, PNG Media Council, main Church organisations, National Women’s Council, Help Resources)
  - b. interested business, research and academic organisations (PNG Business Council, Institute of National Affairs, UPNG, National Research Institute)
  - c. other donors
3. Hold in-depth discussions with line-level staff from PNGEC and Police and civil society organisations who are responsible for administering functions in the key result areas outlined in Section 3 above.
4. Undertake a field visit to a selected province (possibly Morobe, which has a well-functioning provincial electoral administration and provincial election planning committee) to hold discussions with provincial electoral and police authorities, a provincial election planning committee; church and civil society representatives, and representatives from districts and LLGs. A specific purpose of this field visit will be to test and develop the proposal to trial an update of the common roll for the province through a well-publicised and carefully planned public inspection process involving all relevant stakeholders (PNGEC, police, district administrators and LLG presidents, church and NGO representatives) and oversight by the provincial election planning committee.
5. Develop a draft design outline for discussion and agreement with key stakeholders.
6. Prepare a draft Program Design Document in accordance with AusAID’s quality standards as set out in AusGUIDE.
7. Prepare a final PDD taking into account comments from AusAID peer review, PNG stakeholders and external appraisers.

## 6. Duration

The likely program for the design mission is as follows:

- Background reading and team briefing (in Canberra or POM) (Step 1 above): 2 days pre-departure
- Initial meetings and workshops with stakeholders in Port Moresby (Steps 2 and 3 above) 3-4 days
- Field visit to Morobe or similar province (Step 4 above) 3 days
- Development, discussion and refinement of a draft design outline and consultation with stakeholders in Port Moresby (Step 5 above) 3 days
- Preparation of draft PDD (Step 6 above) 5 days
- Preparation of final PDD (Step 7 above) 4 days

It is expected that preparation of the draft PDD will be done in PNG by the design specialist and organisation specialist.

## 7. Team Composition

- Team Leader: Nic Notarpietro, Manager, Elections and Forestry Unit, PNG Good Governance Section, AusAID
- Project Design Specialist: Roger Dickson, Director Project Management, MDG Consultants
- Organisation Specialist: Jan Morgan, Organisational Development Adviser, AusAID.
- AEC: Paul Dacey, Deputy Australian Electoral Commissioner and PNG Electoral Support Program (ESP) Project Director; Dezma Maxwell, PNG ESP Project Coordinator.
- GOPNG/PNGEC representative: Andrew Trawen, Acting PNG Electoral Commissioner.
- Ms Freda Talao, Program Officer with AusAID’s Port Moresby office, will also form part of the design team.

## 8. Outputs and Reporting

The design team will be required to produce:

- A draft design outline for discussion and amendment with stakeholders
- A draft Program Design Document and any related documentation necessary to put the project design out to tender, in a form that meets AusAID’s quality standards and reflects the needs of PNG stakeholders
- A final Program Design Document .

## Appendix B: People met during design mission August 2003

| Name                    | Position                                         | Organisation                                                 |
|-------------------------|--------------------------------------------------|--------------------------------------------------------------|
| Andrew Trawen           | Acting Electoral Commissioner                    | PNG Electoral Commission                                     |
| Morea Veri              | Acting Deputy Electoral Commissioner             | PNG Electoral Commission                                     |
| Michael Malabag         | Director Election Administration                 | PNG Electoral Commission                                     |
| Tarcissius Bobola       | Media Consultant                                 | PNG Electoral Commission                                     |
| Alice Lupalau           | Acting Information Officer                       | PNG Electoral Commission                                     |
| Josepha Suvulo          | Acting Community Awareness Officer               | PNG Electoral Commission                                     |
| Wendy Lavapo            | Asst Community Awareness and Information Officer | PNG Electoral Commission                                     |
| Rex Au                  | Director Finance and HRD                         | PNG Electoral Commission                                     |
| Kila Burro              | Operations Manager                               | PNG Electoral Commission                                     |
| Bura Maro               | Operations Manager                               | PNG Electoral Commission                                     |
| Kaka Eleepe             | Training Consultant                              | PNG Electoral Commission                                     |
| Grace Badira            | Manager Enrolment                                | PNG Electoral Commission                                     |
| Rose Kailap             | Assistant Manager Enrolment                      | PNG Electoral Commission                                     |
| Stuart McLachlan        | Information Technology Consultant                | PNGEC Capacity Building Project                              |
| Isaiah Aire             | Manager Information Technology                   | PNG Electoral Commission                                     |
| Cecily Vegogo           | Manager Human Resources Development              | PNG Electoral Commission                                     |
| Zoe Coulson             | NZAID Manager                                    | New Zealand High Commission                                  |
| Maxie Dominic           | NZAID Development Officer                        | New Zealand High Commission                                  |
| Thaddeus Kambanei       | Secretary                                        | Department of Finance                                        |
| Robert Christie         | Second Secretary Public Sector Unit              | AusAID                                                       |
| Steven Raphael          | Acting Secretary                                 | Department of Defence                                        |
| Billy Porykali          | Deputy Secretary                                 | Department of Defence                                        |
| Col Joe Kewa            | Chief of Personnel                               | PNG Defence Force                                            |
| Col Allan Pinia         | Commander Training                               | PNG Defence Force                                            |
| Lt Col P Barkie         | Director Land Operations                         | PNG Defence Force                                            |
| Carmel Tahi Leoni       | Acting FAS Management Services                   | Department of Defence                                        |
| Doris Lenturut          | Acting FAS CAD                                   | Department of Defence                                        |
| Sebulon Tovaira         | Acting FAS Policy                                | Department of Defence                                        |
| Kaminie Kaliop          | Acting FAS Finance                               | Department of Defence                                        |
| Peter Whailing          | Senior Statistical Analyst                       | Department of Defence                                        |
| Valentine Kambori       | Secretary                                        | Department of National Planning                              |
| Celine Peter            | Executive Officer                                | Consultative Implementation and Monitoring Council           |
| Sir Anthony Siaguru     | Chairman                                         | Transparency International                                   |
| Richard Kassman         | Director                                         | Transparency International                                   |
| Professor John Nonggorr | Director                                         | Transparency International (also of Nonggorr and Associates) |
| Annie McPherson         | Manager                                          | Transparency International                                   |
| Daisy Taylor            | Project Manager                                  | Electoral Reform Project/ Transparency International         |
| Patricia Kassman        | Communication Specialist                         | Electoral Reform Project/ Transparency International         |
| Gillian Bennett         | Volunteer                                        | Transparency International                                   |
| Peter Aitsi             | President                                        | Media Council & Board Member of TI                           |
| Sarah Garap             | Gender Community Development                     | Law and Justice Sector Program                               |
| Sam Onno                | Chief Pilot OIC Airwing                          | Royal PNG Constabulary                                       |

| <b>Name</b>            | <b>Position</b>                             | <b>Organisation</b>                                        |
|------------------------|---------------------------------------------|------------------------------------------------------------|
| Gary Baki              | DCP Operations                              | Royal PNG Constabulary                                     |
| Joe Morehari           | Chief Superintendent Special Projects       | Royal PNG Constabulary                                     |
| Jim Andrew             | ACP Operations                              | Royal PNG Constabulary                                     |
| Peter Pascoe           | Team Leader                                 | Police Project                                             |
| Hohora Suve            | Acting Director Special Projects            | Central Agencies Coordinating Committee (CACC) Secretariat |
| Vincent Warakai        | Principal Adviser                           | CACC/CDC                                                   |
| Arai Pula              | Director-General Policy                     | Department of Prime Minister                               |
| Mathew Yuanfu          | Director Policy                             | Department of Prime Minister                               |
| Sir Barry Holloway     | Senior Adviser                              | CACC                                                       |
| Keryn Laphorne         | S and M Manager                             | Pacific View Multi Media                                   |
| Anja Bray              | Media Manager                               | Pacific View Multi Media                                   |
| Laurie Stephens        | Secretary General                           | Catholic Bishops Conference                                |
| Glenn Armstrong        | Marketing Manager                           | South Pacific Post/Media Council                           |
| Simon Sinai            | Election Manager                            | PNG Electoral Commission                                   |
| Manasupe Zurenuoc      | Provincial Administrator                    | Morobe Provincial Administration                           |
| Patilias Gamato        | Acting Deputy Provincial Administrator (DA) | Morobe Provincial Administration                           |
| Robin Calistus         | Acting PLLGO                                | Morobe Provincial Administration                           |
| Peter Wangian          | Acting District Administrator               | Tewae Siassi District                                      |
| Brian Mogu             | Special Adviser/SDO                         | Morobe Provincial Administration                           |
| Terence Sakat          | Acting Local Government Manager             | Wasu-Tewae Siassi District                                 |
| Hakaua Harry           | Senior Planner                              | Department of National Planning                            |
| Kekalem Meruk          | Manager                                     | Radio Morobe                                               |
| Aba Bamua              | Secretary                                   | Morobe Provincial Women's Council                          |
| Amet Forgenmale        | PPA                                         | Community Division Morobe                                  |
| Murika Siria Bihoro    | PPA                                         | Education Department Morobe                                |
| Smith Benos            | Acting Manager                              | LLG, Morobe                                                |
| Alan McLay             | President                                   | Lae Chamber of Commerce                                    |
| Fua Singin             | Secretary                                   | ELC (Lutheran Church) Lae                                  |
| John Wakma             | Provincial Works Manager                    | Dept of Works, Morobe                                      |
| Thomas Cain Bem        | Inspector                                   | CIS Morobe                                                 |
| Labi Giosi             | Provincial Police Commander                 | RPNGC, Morobe                                              |
| Dr Hans-Lothar Schmidt | First Counsellor                            | European Union                                             |
| Dr Ray Anere           | Lecturer in Political Science               | University of Papua New Guinea                             |
| Dr Henry Okole         | Lecturer in Political Science               | University of Papua New Guinea                             |
| Dr Oruvu Sepoe         | Lecturer in Political Science               | University of Papua New Guinea                             |
| Dr Joe Ketan           | Lecturer in Anthropology                    | University of Papua New Guinea                             |
| Robert Crittenden      | Team Leader                                 | Community Development Scheme                               |

## **Appendix C: Phase 1 Activities and achievements to August 2003**

The major activities and achievements from the AEC's assistance and support to the PNGEC over the pre-project period and Phase 1 to date, that is, from April 2000 to August 2003 (the time of the Phase 2 design mission) are given below.

### **Common roll**

- Procured and installed information technology equipment in Head Office.
- Designed, produced and installed a computerised Common Roll system.
- Provided information technology expertise to continuously enhance and support the Common roll IT system and provide technical advice to the PNGEC.
- Provided training to PNGEC staff in the use of IT equipment and programs.
- Established an IT network in the PNGEC's Head Office, including email and Internet facilities.
- Designed, produced and distributed Common Roll lists required for the update exercise.
- Designed, printed and distributed the revised enrolment form.
- Advised on and assisted with: development of strategies to undertake the Common Roll update exercise; analysing the Roll data; and managing external challenges.
- Conducted an intensive training course for PNGEC Election Managers and Head Office staff in Common Roll update process.
- Conducted train the trainer courses to key personnel responsible for the Common Roll update in each Province.
- Designed, produced and distributed Common Roll update procedural manuals, associated aids, training materials and enrolment fact sheets.
- Procured and distributed stationery, satchels, T-shirts, and other materials required to undertake the Common Roll update in the field.
- Developed, produced and distributed community awareness materials including posters, pamphlets, stickers, and television, radio and newspaper advertisements for the common roll update exercise.
- Developed and printed a procedural manual for data processing operators and conducted training for them.
- Advised and assisted with the development of systems to process and monitor enrolment forms and electoral information sheets

### **National election 2002**

- Introduced a system of internal election planning meetings and reporting mechanisms between Head Office and Election Managers.
- Developed and produced Election Planning Wall Charts and task lists.
- Organised and facilitated Election Planning Workshops in Port Moresby and the regions.
- Produced election fact sheets, a voter information kit, and a resource kit for Election Managers.
- Developed, printed, and freighted to Provincial centres: handbooks for Candidates and Scrutineers, and procedural manuals for Election Managers, Returning Officers, Presiding Officers and Polling Officials.
- Developed a Cascade Training Plan to train Election Managers, Returning Officers and Polling Officials to conduct the election.

- Provided support to implement the election operations training, including enhancing the presentation skills of PNGEC staff, producing training materials and manuals, and assisting to evaluate the training sessions.
- Facilitated the development of a PNGEC website which publicised 'live' election results at low cost.
- Conducted a post-election workshop for Election Managers and PNGEC Head Office staff.
- Developed an evaluation plan to assist the PNGEC to assess its administration of the 2002 elections. Collected, collated and analysed information as part of the evaluation, including questionnaires, interviews, workshops, fieldwork checklists, and examination of systems and statistics.
- Produced the *Evaluation Report on the 2002 Election*, the *Evaluation Report on the Common Roll*, *An Analysis of the IT Systems utilised by the PNGEC in the Conduct of the PNG National Elections 2002*, and the *Report on Technical Evaluation of PNGEC Information Technology Capabilities*

### **Limited preferential voting (LPV)**

- Trained 3 PNGEC staff in Australia on LPV. The participants drafted an initial plan/material for introducing LPV to PNG.
- Assisted the PNGEC to develop its first draft implementation strategy for LPV.
- Developed a preliminary training plan for LPV.
- Developed preliminary draft training material about conducting a scrutiny under an LPV system.
- Established a PNGEC Training Network Team which conducted LPV training and briefing sessions for PNGEC staff and some returning officers.
- Assisted to train PNGEC staff about the LPV scrutiny.
- Equipped the PNGEC to conduct an information session about LPV to parliamentarians.
- Revised election operations manuals and handbooks to draft stage to incorporate changes relating to LPV. Also drafted three proposed forms to facilitate the scrutiny.
- Established an LPV Task Force in the PNGEC, and an LPV Advisory Committees in Port Moresby and LPV Steering Committees in by-election Provinces. These latter forums include a wide range of stakeholders.
- Conducted or supported LPV workshops with stakeholders in Port Moresby, Chimbu, Morobe
- Developed, in consultation with stakeholders, a community awareness strategy for LPV.
- Designed and produced a range of community awareness materials for LPV. Conducted an LPV planning workshop with PNGEC Operational staff
- Further work is planned on financial forecasting for the by-elections, further LPV workshops in other by-election electorates and assistance on LPV scrutiny preparation.

### **Southern Highlands supplementary elections April 2003**

- Provided technical assistance to develop a financial forecast for conducting the supplementary elections in the Southern Highlands and developed a pro forma worksheet to assist the PNGEC to formulate election estimates.
- Developed, implemented and evaluated a community awareness program for the supplementary elections in the Southern Highlands.

**Corporate support**

- Extensive development work on skills transfer and capacity building of PNGEC staff leading to improved ability to perform their duties effectively.
- Conducted modules of the Electoral Administrators' Course and a Capacity Building Workshop.
- Funded a small number of external training courses for PNGEC staff.
- Organised and hosted 8 PNGEC officers to participate in the AEC's study visit programs and one PNGEC officer to participate in a work placement program during the Australian Federal Election in October/November 2001.
- Organised and hosted the participation of 2 PNGEC officers on the AEC's study program, and 2 PNGEC officers on the longer term work placement program, for the October 2002 Aboriginal and Torres Strait Islander Commission elections.

## **Appendix D: Recommendations from the reviews of the 2002 national election**

### **1 *Commonwealth Expert Group November 2002***

The shortcomings which we have identified can be addressed and improvements made - and it is the Group's belief that they will be – in time for the 2007 national election. The Commonwealth Expert Group therefore makes the following major recommendations regarding the future conduct and management of elections in Papua New Guinea.

- The creation of a three-member Electoral Commission, established under the Constitution. The Commission will be tasked with organising and conducting all elections within Papua New Guinea.
- The creation of a new Common Roll for Papua New Guinea through a complete exercise of re-registration of all electors, supported by a process of continuous updating of this new roll.
- Management and maintenance of the common roll be decentralised under the control of PNGEC election officials at the provincial level.
- A staggered election period, supported by an appropriate security deployment be instituted. Where possible a one-day schedule of polling should be followed on a province to province basis.
- The introduction of a voter ID card, with photo and registration number.
- Matters to do with general security for the proper conduct of national elections should be addressed thoroughly through the creation of a high level committee to come into effect at least one year prior to the election, charged with assisting the planning and coordination of the electoral process and security. This Committee is to be chaired by the Electoral Commission.
- The national and local government elections should not be held simultaneously.
- A large-scale voter education programme be launched to increase the knowledge of voters about the electoral process in general and the LPV voting system in particular. It would be hoped that this education programme would have a large focus on supporting women voters.

### **2 *Report of the AusAID Review Team January 2003***

#### **7.1 *Action Plan for AusAID assistance – short term***

The following are some areas in which AusAID might offer short-term support to the PNGEC, the Police, and/or other government agencies, at their request.

##### **7.1.1 *Overall management and review***

1. Provide technical and financial support for any initiative by the PNG Government to establish a high-level review body to examine the findings and recommendations of the Commonwealth Expert Group report, this AusAID review and other relevant evaluation studies and to agree on a plan of action for electoral reform. Ideally, the review body would include representation from the main stakeholders – government and non-government – and could be used to oversee the review process and take forward the implementation of agreed changes. Organisations that such a review body may wish to consult could include:

- National Government - Electoral Commission, Police, Defence, Prime Minister and National Executive Council, Provincial and Local Government Affairs, the Constitutional Development Commission, Welfare & Social Services (Community Development);
- Provincial governments, including provincial returning officers;
- Civil society representatives, including TI, Media Council, UPNG, the Community Coalition against Corruption, the National Council of Women, Women in Politics and church groups; and
- Donor agencies.

Key areas for reform include firstly issues of **electoral governance**, covering oversight and accountability of the electoral commission, the use of independent observer groups; and reviewing the organisational capacity of the Electoral Commission itself Secondly, the reforms should cover issues of **election management**, in particular improving coordination across national government agencies and with provincial administrations; reviewing key policies such as one-day polling and the separation of national and LLG elections; and finding the most effective and affordable approach to improving the accuracy of the common roll.

Support could be provided for a study led by the Government of PNG to consider options for improving electoral governance, including consideration of international practice, legal and financial implications of any changes, and a fully consultative process with key stakeholders.

Further, longer-term support should be provided to assist the implementation of reform initiatives identified as priorities by the high-level review body. This is discussed in more detail in Section 7.2 below.

2. If considered appropriate by the Electoral Commission, provide a short-term, high level adviser to work with the (Acting) Electoral Commissioner on questions of electoral reform; to help plan, coordinate and manage the supplementary elections; and to assist on other immediate measures such as LPV and updating the Common Roll (see further recommendations on each of these issues below). Initial assistance might be provided for up to 6 months. If there is demonstrated commitment by the government to further electoral reform, the position could be extended to help with coordinating and implementing the reforms (see Section 7.2 below). Such a person could come from anywhere in the Commonwealth. The former Electoral Commissioner from Fiji has been suggested as a possibility.
3. Support a request from the Police for a two-day debrief for provincial police commanders with Police HQ, to cover all aspects of security and elections. PNGEC staff, and possibly provincial ROs, might be involved for at least part of the time. If requested, AusAID might provide one or two facilitators. The debrief should take place in time to prepare for the supplementary elections.
4. Support initiatives to help the PNG Electoral Commission familiarise itself with the approach to the use of a joint domestic and international Elections Observer Group in Vanuatu's 2002 national elections.

### **7.1.2 Supplementary elections**

5. If requested, provide additional logistical advice and support for the supplementary elections, either through appropriately qualified experts sourced under the AEC project, or through the direct provision of expert/s with experience in managing elections in conflict areas or possibly with logistical skills gained from disaster management experience.
6. Give priority consideration to any specific requests for technical, security or financial support with the supplementary elections.

### **7.1.3 The new electoral system (LPV)**

7. Through the AEC project, continue to provide technical advice and training to PNGEC on the administration of elections to be run under LPV (see 7.1.6 below).
8. Support initiatives to help develop closer working arrangements between PNGEC, donors and civil society organisations, in preparing and implementing an education and awareness strategy for the new LPV voting system, and in preparing a range of creative and innovative communication materials on the new system (including through review of materials from other Commonwealth countries, such as Fiji, that have gone through similar processes). In collaboration with other interested donors, provide appropriate technical and financial support for the implementation of such a joint PNGEC-civil society strategy.
9. Provide resources for evaluative studies of the first several LPV by-elections, to help assess the impact of the change to the new voting system and to progressively refine the administration of LPV elections.

### **7.1.4 Common roll update**

10. Provide resources to enable a comparison between census and common roll data of numbers of people at district and ward level, to identify major discrepancies and provide a tool for future common roll update.
11. Provide assistance for the PNGEC to trial different approaches to updating the common roll in a few provinces, to help determine the most affordable and practical method for the future. Some suggested approaches are outlined in Section 4.2.1. A trial of roll updating should start with public inspection of the roll (i.e. to use the processes they would have used if a preliminary roll had been published 6 months before the election). The process could include a comparison in a small number of districts of the costs and benefits of updating the current roll against those of starting a new roll. In view of its relatively effective electoral administration, Morobe Province could be used as a starting point for such trials. The most cost-effective approaches could then be extended to other provinces.

### **7.1.5 Legal advice**

12. Provide support for the PNGEC to review legal provisions that impede the amendment of the common roll (for example, to remove people who have died or moved), so that deletions and other amendments can be made in a simple and cost-efficient way.

13. Provide support for any legislative or regulatory changes needed to support the introduction of LPV, such as extending the period for the return of the writs to allow for the longer period of time for counting.

#### **7.1.6 Ongoing assistance from the AEC**

The AEC team should continue with certain tasks up to 30 June 2003. However, the number of team members should be reviewed. Specific tasks that should continue include:

14. Assist with training of electoral officers in technical aspects of LPV (eg counting).
15. Assist with preparation of materials, manuals, etc for the operation of LPV.
16. Advise on the continuing update of the Common Roll (starting with the processing of approximately 1 million amendment forms still outstanding).
17. Provide input, through the election evaluation, to the Electoral Commissioner's report on the elections.
18. If appropriate, provide assistance with the management of supplementary elections.

### **7.2 Opportunities for AusAID assistance – longer term**

#### **7.2.1 Electoral governance and election management**

19. Provide technical and financial support for the **implementation** of reforms to electoral governance and electoral administration initiated by the Government of PNG, in particular in the key areas identified in Sections 6.2 and 6.3 above. This may involve technical and financial support for more detailed policy work on reform of a number of specific systems issues, including for example the common roll and identity cards, constitutional and legislative issues, funding and affordability issues, security issues, and other issues such as voter education and electoral boundaries.
20. Provide technical and financial support for an organisational review of the PNGEC, following any changes in the electoral governance arrangements and any other relevant changes as a result of agreed reforms.
21. Provide technical and financial support to help ensure the effective participation of all relevant government agencies (such as Police, Finance, PM and NEC, and Inter-governmental Relations) in the planning and management of elections.
22. In coordination with the Government of PNG and other donors, support the establishment and use of independent Elections Observer Groups to assist with election monitoring, including assessment of the joint international-domestic observer group used in Vanuatu or other approaches considered appropriate.

#### **7.2.2 Strengthening democracy**

23. In coordination with other donors, support the holding of further discussions with civil society groups and key government agencies regarding the development of a

long-term citizenship education program, including voter education, as discussed at Sections 2.2.6 and 6.5 above.

24. Consider further support for any review initiated by PNG of the legislative and administrative framework supporting OLIPPAC, or of electoral boundaries (as discussed in Section 4.2.2).
25. Consider support for any initiative by the Government to strengthen the prosecution of electoral offences.
26. Undertake further analysis of conflict issues in PNG.
27. Continue working with central government departments to maintain and increase the professionalism, neutrality and objectivity of public servants.
28. Continue to support Government of PNG initiatives to review the provincial structure.

### **7.3 *Other recommendations for the Government of PNG***

As discussed, the Government of PNG needs to set up the mechanisms for reform, including identifying some people at very senior (preferably ministerial) level who can act as the champions for reform. The opportunities for assistance from AusAID will only be realised if:

- There is a clear request from the Government of PNG for such assistance; and
- The Government of PNG clearly demonstrates that it is committed to reform. Such commitment would be shown by providing the key personnel required to lead the substantial policy review and reform work that will be involved, including through conferences, studies and other methods to identify and assess options, and to implement the changes. Donors can provide technical and financial support, but experience has shown that policy and management reform efforts of this kind will flounder without strong government commitment to and leadership of the process.

The critical next step lies with the new government and the National Parliament in addressing the issues raised in this report and in other reports that provide useful commentary on the 2002 elections. Many of the issues were identified in official reviews of previous elections or were foreshadowed by commentators and PNG government agencies before these elections, but little or nothing appears to have been done. The current economic problems and other major issues might mean that the 'easy' option is now to ignore election administration while dealing with other pressing matters of state. If this happens, there is little doubt that the 2007 elections will have even greater and more expensive problems.

### **3 (a) PNGEC / AEC Evaluation Report on the 2002 Election March 2003**

#### **Recommendations to improve the PNGEC's administration of elections**

All recommendations are based on the philosophy of making the PNGEC's operations more accountable and transparent.

##### 1(a) Policy Development

1. Specialist and practitioner PNGEC staff should participate in working parties to develop or refine the PNGEC's policies and procedures.
2. Staff leading working parties should receive appropriate training (e.g. in project management).
3. A Policy Manual should be established that contains all current PNGEC policies. Copies of this Policy Manual should be distributed to all Sections throughout the PNGEC and to all outposted staff.
4. When all policies are compiled, a review should be undertaken to determine whether there are sufficient policy documents to cover the situations which the PNGEC faces. The review should also assess if the existing policies are clear and adequate. A plan, including timetable, for developing new and revised policies should then be prepared.

##### 1(b) Interpretation of the Organic Law

5. Internal training programs for key operational staff, in particular Operation Managers and Election Managers, should be undertaken to provide them with a sound understanding of the legal framework relating to all aspects of the electoral process.
6. During the polling period, immediate, on-call access should be arranged with a lawyer within GOPNG or in private practice who is experienced in electoral law to answer urgent questions requiring legal interpretation.

##### 1(c) Relevance and Currency of the Organic Law

7. A comprehensive review of the Organic Law should be undertaken to:
  - modernise and simplify the law;
  - clarify ambiguous provisions;
  - tailor provisions to the practical requirements of PNG; and
  - address specific difficulties currently being faced, such as electoral fraud.

##### 1(d) Decision Making Processes

8. Key decisions that impact on the conduct of the election should be identified and finalised in accordance with an election planning timetable that specifies all deadlines.

##### 1(f) Communication and Relationships

9. The PNGEC should develop, in a consultative process with staff and stakeholders, a written communication plan. The plan should include the identification of the formal lines of communication between Election Managers and Head Office. The flow of communication must be monitored to ensure that it is effective.
10. There is a need to build and formalise relationships with Government and community groups that can play useful roles in assisting with the operation of an election, including Provincial Administrations and the Royal PNG Constabulary.

11. Head Office staff must ensure that they are readily contactable at all times during an election.

### 3(a) Planning Processes and Implementation Strategies

12. An election planning strategy, including planning tools and flowcharts, work plans, allocation of responsibilities, progress reporting and review mechanisms, and timetables/deadlines, should be developed, documented and implemented for the 2007 elections, commencing as soon as possible. This plan should include the development of contingency plans, using the experiences of the 2002 elections, and incorporate risk management strategies.
13. The 2007 election plan should incorporate a timetable to stagger planning and preparations over the full 5 year period between the elections, commencing from the evaluation of the 2002 election.
14. A management strategy must be developed to ensure all staff understand their duties, undertake their responsibilities, and meet the deadlines set out in the election plan.

### 3(c) Monitoring and Reporting Systems

15. Formal and regular monitoring and reporting mechanisms must be established and implemented for both election periods and non-election periods. Election plans must include a comprehensive reporting and monitoring strategy.
16. Reporting channels must be clearly established and responsibility assigned to appropriate Head Office staff to ensure that those reporting lines operate effectively. This process must be monitored by PNGEC management on an ongoing basis.

### 4(b) Relationships and contractual arrangements with suppliers – e.g. reliability of supplier.

17. The tendering process for suppliers of electoral goods and services must be done in a timely manner so that targeted election funds can be bid for and allocated to ensure that contracts can be paid on time.
18. A Tender Review Panel, including an independent member from the Department of Finance or an accountancy firm, should be established to assess and award bids to supply election related goods and services to the PNGEC.

### 4(c) Packaging, distribution and transport of resources

19. Detailed distribution and transport schedules must be prepared for each election, including lists of quantities and types of materials to be delivered to each location, the most efficient and effective mechanisms for delivery, timetables, quality assurance checklists, and backup plans.
20. Contracts with service providers, particularly air and sea transport, should be in place well before the election period.

### 4(d) Security: of materials, personnel and information

21. The Royal Papua New Guinea Constabulary must be closely involved in the PNGEC's election planning and be consulted at all stages of the development of polling schedules to ensure that they can meet the necessary security requirements.

#### 4(e) Procedures, operational manuals and training

22. Operational manuals and training resources should be progressively reviewed and updated to reflect changes as they occur to the Organic Law and operational procedures, and to ensure they are user friendly.
23. The Election Managers' Procedural Manual should continue to be developed.

#### 4(f) Use of Information Technology

24. An assessment should be made of the potential capacity of the PNGEC's Information Technology system to help improve and support election planning and management.
25. Written policies and guidelines should be prepared to support more effective information technology usage, including email protocols and computer security.

#### 4(g) Financial Management

26. A financial management system should be developed. This must include policies and procedures, such as written guidelines and standard pro formas, for estimating, allocating and monitoring of funds. This system must include strategies to include all staff in the processes where required and must be open and transparent. Staff at all levels should be fully trained in its use.
27. The estimating process should be undertaken at least twelve months before an election is due to allow sufficient time for bids to be properly prepared. Final estimates and draft allocations should be finalised well before the election.
28. Consultation and negotiation must occur between Head Office and Election Managers, and the PNGEC and counterpart government agencies when developing and finalising financial bids.
29. Funding allocations within the PNGEC must be based upon agreed financial estimates and be made in a timely manner.
30. Variations in funding, even if only anticipated, must be immediately advised to staff so they can make any necessary adjustments to plans or arrangements.
31. Detailed financial forecasts, broken down by activity and justified, should be prepared and submitted to Government by the PNGEC in support of the overall funding bid.
32. Treasury should be advised of anticipated expenditures month by month to request the progressive release of funding as required.
33. Financial planning should address possible contingencies, e.g. identify highest priority activities and alternative plans, in the event that full is not received from the Government.
34. Whenever funding is reduced or delayed the PNGEC must immediately brief the Government on the ramifications to the conduct of the election. Should the funding allocation be such that the PNGEC believes that the conduct of the election is imperilled, they should immediately alert the Government and request additional funds.
35. Auditing of the PNGEC's finances should be undertaken by an external agency on a regular and ongoing basis.

#### 4(h) Office Accommodation and Equipment

36. The computer equipment in Head Office should be adequately secured.

37. The assets register should be regularly checked and updated and an equipment maintenance program implemented.
38. The PNGEC should liaise with Provincial Administrations and seek mutually beneficial arrangements that will see Election Managers receive a minimum standard of office facilities such as access to a photocopier, telephone and fax.

#### 5(a) Recruitment of Returning Officers, Presiding Officers and Polling Officials

39. The PNGEC should develop a formal performance appraisal system to assess and report on the performance of Returning Officers, Presiding Officers and Polling Officials.
40. Any polling official found to be acting in a partisan manner must have their employment immediately terminated. Where such behaviour is not detected until after the election, steps must be taken to ensure that the person in question will not be reemployed in the future.

#### 5(b) Staff Development of Head Office Staff and Election Managers

41. An organisational needs assessment should be conducted, followed by an individual skills analysis. Then individual development plans should be formulated for all PNGEC permanent staff.
42. Further modules of the "BRIDGE" Course should be conducted.
43. A mentoring program should be developed for PNGEC staff.

#### 5(c) Payments of Staff Salaries and Allowances

44. Payment procedures for polling officials should be reviewed. The relevant Sections of the PNGEC, including Information Technology, Accounts, and Human Resources, should meet to develop improved processes and an enhanced payment system.
45. The distribution of payments for election allowances should be made direct to polling staff, or through Election Managers, rather than through Returning Officers or Provincial Administrations.
46. All claims for payment should be rigorously verified before payment is made.

#### 5(d) Performance Management of Staff

47. A performance management program should be implemented that ensures PNGEC staff are provided with the management support and training necessary for them to be able to perform their jobs satisfactorily.
48. The Director Administration and Operations Managers in Head Office should take a more proactive role in supervising, guiding and supporting the work of Election Managers.
49. A formal mechanism should be established to effectively deal with staff who continue to under perform.

#### 5(e) Recruitment of PNGEC Officers and Succession Planning

50. The development of a succession plan and provision of job rotation to enhance the skills of staff should be adopted as a priority over the next 12 months to two years.
51. As part of the organisational review (refer 5h), the PNGEC's staff recruitment, transfer and promotion policy and procedures should be reviewed, revised and documented.

#### 5(h) Organisational Structure of the PNGEC

52. An experienced professional should be engaged to review the current PNGEC organisational structure and to develop a proposal for a revised structure, concentrating on clearly defining:
- duties and responsibilities;
  - delegations;
  - workloads;
  - lines of command and supervision;
  - reporting lines; and
  - communication flows.

#### 6(b) Public Awareness Strategies Including Utilisation of Non-Government Organisations, Community Groups, Government Agencies and Other Stakeholder Organisations to Promote Community Awareness.

53. The PNGEC's Community Awareness and Information Section should be staffed on a full time basis with appropriately qualified and experienced officers.
54. A community awareness plan should be developed. It should address advertising, media liaison, and public information, and cover both election and non-election periods (e.g. enrolment and ongoing public education). It should specify, as a minimum, objectives, priorities, stakeholders, strategies, resource requirements, and evaluation methodologies.
55. A community awareness committee should be established, comprising representatives from other relevant government agencies (such as the RPNGC), NGOs, Churches and other community organisations that can assist the PNGEC to inform the public about electoral issues.
56. Voter Information Kits and the Election Manager's Resource Kit should be revised, and an Information Package for community awareness groups developed, to assist the PNGEC to convey messages in a consistent and accurate manner.

#### 6(c) Media Liaison

57. Opportunities for making more use of the media should be actively pursued, including exploring potential opportunities to positively and proactively promote the PNGEC and the electoral event it is conducting.

#### 7(a) Procedures for Nominating and Processing Nominations

58. The procedures for receiving and handling nominations must be strengthened and improved. Procedures should include, as a minimum, the dot points listed in Section 7(a) of this report.
59. Recommendations could be made to the Government for changes to the Organic Law to require Biodata to be submitted at the same time that a candidate's nomination is lodged.
60. Returning Officers and Assistant Returning Officers must issue receipts and keep appropriate records of all nominations fees received.

#### 8(a) Ballot Papers

61. Proofing of ballot papers before printing must be undertaken by reliable, experienced PNGEC officers and follow agreed, documented procedures.
62. The numbers of ballot papers to be printed should be calculated from a more realistic base than the Common Roll (such as the 2000 census figures for persons 18 years of age or

older plus a factor to take account of population increase) to ensure that they more closely match quantities necessary only for legitimate voting purposes.

63. A system should be implemented to ensure all ballot papers can be accounted for by the PNGEC at all stages during the election process.

#### 8(b) Polling Schedules

64. The process for developing Polling Schedules should be reviewed and revised taking into account feedback from stakeholders, the availability of resources, and the opportunities provided by the Common Roll database and Information Technology systems available within the PNGEC.
65. Polling Schedules should be finalised at least 6 months prior to the commencement of polling to facilitate internal PNGEC planning, and should be gazetted and promulgated to the public and other stakeholders at least 1 month prior to the commencement of polling.
66. Any unavoidable changes to polling schedules after finalisation should be advised to the relevant PNGEC staff as soon as possible and all practical efforts should be made to inform the public and stakeholders of this change in a timely manner.

#### 8(c) Training of Election Managers and Casual Polling Staff for the Election: Returning Officers, Assistant Returning Officers, Presiding Officers and Polling Officials

67. The election training plan should be reconsidered to determine how training could be transferred more effectively from Returning Officers to polling officials.
68. Training should include more role-play exercises and demonstrations and ensure frequent repetition to help reinforce key messages.
69. Training manuals should be revised to include more practical exercises, provide additional information on sealing ballot boxes, completing returns and memo books, correct any identified errors or changes to procedures, and to simplify the language as much as reasonable.
70. More intensive training in presentation skills, together with mentoring with more experienced staff, should be provided to staff responsible for conducting election training.

#### 8(d) Conduct of Polling: Access to Polling, Finding Names on the Common Roll, Voting Procedures, Integrity of Voting Process, Competency of Polling Officials

71. Further intensive and documented testing should be performed on the Indian Ink to determine its effectiveness and to ascertain whether allegations of its failure are due to the quality of the ink or due to procedures for its application not being correctly followed.
72. Alternative substances that may have been developed in recent times should be investigated to ascertain whether they are more effective than the current ink. The colour of the ink should also be assessed as to suitability, perhaps brighter fluorescent ink may be available.
73. The composition of polling teams and the duties of polling team members should be reviewed, particularly the duties of the Presiding Officer, with the aim of achieving more flexibility and better management of the polling place.
74. Training of polling officials about their duties, particularly the proper use of the roll at polling places, and application of ink, should be reviewed and strengthened.

75. The PNGEC should review and put in place procedures to reinforce their policy on how they manage polling place queues, (e.g. first come first served, or calling out names from Roll).

8(e) Were women able to freely exercise their right to vote during the election? If not, what were the impediments and how could they be overcome by the PNGEC in future.

76. The PNGEC's education and community awareness programs and logistical planning for the elections should specifically identify and address the needs of women voters
77. Consideration should be given to entering the data from the Sex Tally Sheets into the Information Technology system so analysis can be made of voter turnouts by gender.

8(f) Management of Ballot Boxes

78. Ballot box security and storage guidelines for polling teams should be developed and be included in all Presiding Officer training and manuals. The secure storage of ballot boxes (and unused ballot papers) should be prearranged by the PNGEC where possible.

8(g) The scrutiny.

79. Counting officials need to retain control of the scrutiny process and should be thoroughly trained in their responsibilities and tasks, including resolving potential problems. Procedural manuals should also be provided to counting officials.
80. Scrutineers should be briefed about their responsibilities, obligations, and expected standard of conduct in counting centres.

8(i) Return of the Writs

81. Recommendations should be made to the Government for a change to the Organic Law to set a more realistic deadline for the return of writs that will accommodate the extra time needed to count the vote after the introduction of Limited Preferential Voting.

9(c) Election Returns and Reports

82. Arrangements must be varied to ensure all returns are despatched back to Head Office. This could involve a final payment of allowances being contingent upon the receipt of all material back at Head Office.

**3 (b) PNGEC / AEC Evaluation Report on the Common Roll, March 2003**

**4.1 New Enrolment Form**

1. The tracking and control systems over Enrolment Forms must be strictly observed with details not being entered from the forms until they have been verified as legitimate.
2. Unused enrolment forms should be accounted for, and those remaining with registration officers must be returned to the Election Managers.
3. The design of the enrolment form should be reviewed. In particular the review should consider the 'place of residency' box, the barcode system, and whether any changes are required to make the form easier to use by registration officials, voters and data processing operators.

**4.2 Training**

4. Training and training manuals should include more repetition of key messages, demonstrations and role-play exercises. They should also contain more information about the enrolment forms, the numbering and coding of enrolment forms, obtaining elector information, security of forms, and the relevant provisions of the Organic Law.

5. Train the trainer sessions should be conducted for Election Managers, and mentoring support should be considered where a need is identified.

6. Training and procedural manuals need to address fraud and security issues more comprehensively, and must stress the responsibilities of registration officers.

#### **4.3 Community Awareness**

7. Community groups and other Government organisations should be used more effectively to promote community awareness messages developed by the PNGEC, including distributing and explaining materials in rural areas.
8. Election Managers should undertake more community awareness activities in non election periods.

#### **4.4 Conduct of the Common Roll Update Fieldwork**

9. Exercises to update the Common Roll must be well planned. Plans should be developed in co-operation with the Provincial and Local Level Governments and after obtaining clear legal advice where appropriate. Plans must be tailored for the different Provinces and incorporate back up contingency strategies. They must also be resourced with sufficient and timely funds.

#### **4.6 Objections and Deletion Processes**

10. Legal clarification should be obtained regarding when and how the PNGEC can remove names from the Common Roll on the basis of them being 'incorrect enrolments' or 'entered by mistake'.
11. The PNGEC should make, promulgate and implement policy decisions about removing names of deceased persons, persons who have moved location, and obvious duplicate from the roll. It may be appropriate to seek advice to confirm the legality of the policy decision.
12. The provisions of the Organic Law which relate to the objections process should be reviewed and revised so they better suit the circumstances faced by PNG.

#### **5.2 Cleansing the Common Roll**

13. The enrolment transactions that remain outstanding from the 2001/2002 Common Roll update should be processed as soon as possible. This includes new forms and elector information sheets, annotated master lists and material from polling teams.
14. Roll update information which has been entered into the Common Roll but not yet checked must now be verified and corrected as required.
15. The location, names and accuracy of information about villages on the roll must be checked by Election Managers, with amended and standardised data being entered into the roll as soon as possible.
16. New enrolments added to the roll before the 2002 election should be re-examined to ascertain whether additional matching to prior enrolments can be established.
17. Matching of duplicate roll entries should continue to be improved into the future by the computerised roll carrying 'historical' identifying information about individual electors including:

all names and spellings used by that person during their enrolment history;

the various dates of birth provided by an individual; and

their distinct familial relationships such as 'wife of ...', 'son of....' to assist in distinguishing between persons with identical names and close birthdates.

18. Listings should be reformatted to extend the search for duplicates beyond current limitations, such as only within the same electorate.
19. The current capabilities of the computer system need to be fully explored to determine what possible extended cleansing opportunities it may facilitate.

### **5.3 Complaints of Names Not Being Found on the Common Roll**

20. In addition to concerted efforts to cleanse the Common Roll, consideration should be given to the following measures to assist polling officials to better be able to find electors on the roll:

review and if appropriate revise the format and content of the printed roll provided to polling teams; and

improve and reinforce the training of polling officials in relation to using the roll.

21. Examine the viability and desirability of introducing limited absent voting, particularly at polling booths that are adjacent to boundaries.

### **5.4 Enrolment Education**

22. The PNGEC should work in partnership with other organisations to achieve the widest, most frequent, cost effective community education possible, by means such as:
  - producing resource material for other organisations to use and distribute, for example providing education resources to government and non-government organisations, schools and community groups;
  - having Election Managers or other PNGEC staff members present information sessions to the public;
  - increased and more effective use of the media; and
  - taking every opportunity to brief important stakeholders including the Government, Members of Parliament, academics and commentators.

### **6.2 Improving the Current Common Roll**

23. Election Managers should liaise with Provincial and District Administration staff on the current roll to check for ineligible and duplicate names, and incorrect village locations.
24. The feasibility of enhancing traditional electoral roll updates by seeking to data match enrolment records with the records of other Government organisations should be investigated.
25. The storage of completed enrolment forms, including the possibility of imaging them, should be addressed.

### **6.4 Evaluating the Options**

26. An interdepartmental working party should be established to explore options for a Common Roll in the longer term. The working party should prepare a briefing paper for the Government on what viable options exist, including financial and legal implications.
27. The working party should give consideration to moving to continuous roll updating where additions and amendments to the roll are made on an ongoing basis.
28. In the interim, the current roll should be retained and the PNGEC should continue to update it as much as possible within available resource constraints.

## Appendix E: Logical framework matrix

### Papua New Guinea – Electoral support program Phase 2

**Program goal:** To contribute to the improvement of stability and democracy in Papua New Guinea.

**Program purpose:** To support reform and improvement of the electoral system in Papua New Guinea.

| Component | Description                       | Objective                                                                                                                                                                             |
|-----------|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1         | Electoral governance and policy   | To support reform and development of electoral policy and improvements to the electoral system in PNG.                                                                                |
| 2         | Election administration           | To improve the capacity of the PNGEC to plan, prepare and conduct elections in PNG (including by-elections, the 2007 elections, and the future provincial elections in Bougainville). |
| 3         | Electoral awareness and education | To improve the awareness and understanding of voters, candidates, supporters and the community, of the PNG electoral system.                                                          |
| 4         | PNGEC organisational development  | To improve the organisational capacity of the PNGEC to plan and run elections                                                                                                         |

## Electoral Support Program Phase 2: goal and purpose

|                | Narrative summary                                                                       | Verifiable indicators                                                                                                                                                                                                                                                                                                                                                                                                                     | Means of verification                                                                                                                                                                                                                                                                                                                                                                   | Assumptions                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------|-----------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Goal</b>    | <b>To contribute to the improvement of stability and democracy in Papua New Guinea.</b> | <ul style="list-style-type: none"> <li>Establishment and operation of an interdepartmental electoral committee to coordinate and direct electoral reform activities and election activities</li> <li>Reduced incidence of election related fatalities and injuries.</li> <li>Improved representation of the voting community.</li> <li>More equitable access to, and distribution of, development benefits for the electorate.</li> </ul> | <ul style="list-style-type: none"> <li>GOPNG documentation to formally establish the electoral committee.</li> <li>Independent by-election monitoring and observation.</li> <li>Review and monitoring of the national elections by civil society organisations.</li> <li>Evaluation of LPV voting system after by-elections.</li> </ul>                                                 | <ul style="list-style-type: none"> <li>That the interdepartmental electoral committee will continue to function throughout the life of the program and will have appropriate and adequate representation from GoPNG agencies.</li> <li>That fatalities and injuries can be reasonably accurately recorded and compared through existing channels.</li> <li>That improved representation is an influencing factor in stability and democracy.</li> </ul>                                   |
| <b>Purpose</b> | <b>To support reform and improvement of the electoral system in Papua New Guinea.</b>   | <ul style="list-style-type: none"> <li>The successful implementation of reforms and improvements to the electoral system as proposed by the GOPNG and the PNGEC.</li> <li>The successful introduction of the Limited Preferential Voting (LPV) system during by-elections in PNG</li> <li>The establishment of a Program Board to coordinate and direct donor supported electoral reform activities and election activities.</li> </ul>   | <ul style="list-style-type: none"> <li>All by-elections successfully completed as required.</li> <li>Improved national election in 2007 compared to the 2002 election</li> <li>Consultation with stakeholder groups to assess public and community perceptions of the effectiveness of the reforms and improvements.</li> <li>Participation in meetings of the Program Board</li> </ul> | <ul style="list-style-type: none"> <li>That the GOPNG will implement necessary electoral reforms including the LPV voting system.</li> <li>That the PNGEC will receive the necessary support and resources from the GOPNG to effectively conduct elections.</li> <li>That the GOPNG will approve and support the implementation of reforms and improvements.</li> <li>That GOPNG will be willing to establish the interdepartmental electoral committee and the Program Board.</li> </ul> |

## Electoral Support Program Phase 2: Components

| Narrative summary                                                                                                                                                                     | Verifiable indicators                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Means of verification                                                                                                                                                                                                                                                                                                                                                                                                                                  | Assumptions                                                                                                                                                                                                                                                                                                                                                                                 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Component 1 - Electoral governance and policy</b>                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                             |
| To support reform and development of electoral policy and improvements to the electoral system in PNG.                                                                                | <ul style="list-style-type: none"> <li>The number of policies and procedures developed or amended under the Program.</li> <li>Improved collaboration between the PNGEC and civil society organisations.</li> <li>The number of electoral reform projects and activities implemented by the Program</li> <li>The number of civil society organisations participating in projects and activities</li> <li>Improved collaboration with police and defence forces for security during elections</li> </ul> | <ul style="list-style-type: none"> <li>Records of policies and procedures developed with the assistance of the Program.</li> <li>Records of activities and projects and activities conducted under the Program.</li> <li>Records of civil society organisations proposing and implementing projects and activities.</li> <li>Evaluations and reviews of security operations conducted by the police and defence forces following elections.</li> </ul> | <ul style="list-style-type: none"> <li>Establishment and effective operation of an interdepartmental electoral committee to direct the reform process.</li> <li>Active involvement of stakeholder organisations in electoral processes including GOPNG agencies, civil society organisations, academics, and provincial and district administrations.</li> </ul>                            |
| <b>Component 2 - Election administration</b>                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                             |
| To improve the capacity of the PNGEC to plan, prepare and conduct elections in PNG (including by-elections, the 2007 elections, and the future provincial elections in Bougainville). | <ul style="list-style-type: none"> <li>Successful* by-elections.</li> <li>Successful* national election in 2007</li> <li>Successful* Bougainville Provincial Elections</li> <li>Reduced incidence of violence, intimidation and cheating.</li> </ul> <p>*As measured by - acceptance by voters; winning candidates are deemed representative by independent election monitoring groups.</p>                                                                                                            | <ul style="list-style-type: none"> <li>Independent monitoring and evaluation of by-elections.</li> <li>Independent monitoring and evaluation of the 2007 elections.</li> <li>Monitoring of the Bougainville Elections.</li> </ul>                                                                                                                                                                                                                      | <ul style="list-style-type: none"> <li>That the demand for by-elections will not prevent the PNGEC from participating in capacity building and institutional strengthening activities.</li> <li>That the PNGEC will propose appropriate projects and activities for inclusion in the Program.</li> <li>That the Program Board will approve the proposed projects and activities.</li> </ul> |
| <b>Component 3 - Electoral awareness and education</b>                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                             |
| To improve the awareness and understanding of voters and the community of the PNG electoral system.                                                                                   | <ul style="list-style-type: none"> <li>Community awareness of the new LPV voting system.</li> <li>Successful by-elections</li> </ul>                                                                                                                                                                                                                                                                                                                                                                   | <ul style="list-style-type: none"> <li>Independent monitoring and evaluation of by-elections.</li> <li>Evaluation of community awareness programs.</li> </ul>                                                                                                                                                                                                                                                                                          | <ul style="list-style-type: none"> <li>That PNGEC will produce national voter awareness materials.</li> <li>That civil society organisations will assist in community awareness programs at local levels.</li> </ul>                                                                                                                                                                        |

| <b>Component 4 – PNGEC organisational development</b>                         |                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                               |
|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| To improve the organisational capacity of the PNGEC to plan and run elections | <ul style="list-style-type: none"> <li>• Improved knowledge, understanding and skills of PNGEC staff.</li> <li>• Improved confidence and capacity of PNGEC staff</li> <li>• Twinning arrangements successfully established between the PNGEC and the AEC</li> </ul> | <ul style="list-style-type: none"> <li>• Evaluation of organisational development activities</li> <li>• Visit reports and self-assessment of visitor programs, training courses, and work placements.</li> <li>• Interviews with participants.</li> <li>• Reports by the AEC on twinning activities and progress in capacity building</li> </ul> | <ul style="list-style-type: none"> <li>• That the demand for by-elections will not prevent the PNGEC from participating in organisational capacity building activities.</li> <li>• That the twinning program will be coordinated and planned through the Program Manager .</li> <li>• That twinning activities will support the proposed GOPNG electoral reforms and improvements.</li> </ul> |

## Appendix F: Job descriptions

### Program Manager Electoral Support Program

**Purpose:** The Program Manager has overall responsibility for management and coordination of the program, to ensure that all stakeholders are working to achieve the program purpose, namely, to support reform and improvement of the electoral system in Papua New Guinea.

**Reports to:** The Program Manager will be employed by a Program Management Organisation and will be accountable to the PMO. The Program Manager will also report to the Program Board on all aspects of the program's performance and progress.

**Subordinate staff:** The Program Manager will directly manage a Program Administrator and other staff as appropriate.

**Location and duration:** The program management office will be based in the PNGEC offices in Boroko, Port Moresby. The position will be for three years (the length of the program)

#### **Specific responsibilities:**

1. Prepare for Program Board approval and implement a three year program outline for Phase 2 of the Electoral Support Program, and monitor progress against the plan
2. Set up and implement operating systems, procedures, processes, forms, financial management processes (including disbursement of funds and acquittals), etc for the smooth running of the program. Wherever possible, the systems should be integrated with existing GOPNG / PNGEC systems and procedures
3. Manage the process of developing selection criteria, setting priorities, seeking and encouraging submissions and developing and agreeing the annual plan of projects and activities in a way that will maximise achievements under each component and will maximise stakeholder agreement, involvement and commitment
4. Review submitted proposals, provide feedback on any promising proposals that do not meet selection criteria, prepare short-list of acceptable proposals. Commission independent specialist advice on specific proposals as needed
5. Monitor the progress and effectiveness of projects and activities, provide assistance as needed to help stakeholders mobilise agreed projects and ensure they stay on track, and make recommendations to the Program Board to reduce or stop funding any project or activity which is not complying with agreed requirements (including not meeting objectives, not carrying out the agreed program of activities, mismanaging funds, etc)
6. Recruit short-term advisers and consultants, either local or international, for specific agreed projects and activities, in consultation with the main stakeholder(s) for the project or activity, and manage and monitor their inputs
7. Develop and implement a monitoring and evaluation framework, collect baseline data and ongoing data for
  - a. The program as a whole
  - b. Projects and activities funded under the program
8. Provide advice, support, mentoring and assistance as required to the main stakeholders, particularly to the PNGEC and to NGOs and CSOs

**Main relationships:** The Program Manager will need to develop and maintain productive working relationships with:

- Staff of the PNDEC, particularly the Electoral Commissioner, the Deputy Electoral Commissioner, senior managers, the election managers in the provinces and staff responsible for community awareness and information
- Other national GOPNG agencies, particularly Police, Finance, Treasury and National Planning
- Provincial and district administrations, particularly where by-elections are held
- AusAID in Port Moresby and, to a lesser extent, in Canberra
- AEC officers involved in the twinning activities, in Port Moresby and in Canberra
- Members of the Program Board and the Impartial Review Mechanism
- A wide variety of NGOs and civil society organisations, including the churches and academics
- Other donor-funded programs and projects, particularly those working with civil society organisations.

**Skills and qualifications:**

The Program Manager **must** have:

- Proven project management skills, preferably from a large, long-term project or program involving a wide variety of stakeholders
- Development knowledge and experience
- Proven consultancy and facilitation skills, including coaching and mentoring at a senior level, negotiation, management of stakeholder boards and committees, problem-solving, change management, presentation and report-writing, monitoring and evaluation
- Knowledge of the factors likely to contribute to successful projects, and experience in assessing submissions
- Management and supervisory experience
- Proven office and financial management skills.

It is **desirable** that the Program Manager has:

- Senior level experience in management and policy advice in government or the private sector
- Previous experience working with a GOPNG agency or PNG NGO
- Knowledge and experience of electoral systems, preferably in PNG or Australia
- A sound understanding of democratic processes in Melanesia
- Development experience in PNG or the Pacific region.

## **Program Administrator Electoral Support Program**

**Purpose:** The Program Administrator is responsible for the effective and efficient financial management and administration of the Electoral Support Program and of specific projects and activities implemented under the Program.

**Reports to:** The Program Administrator will report to the Program Manager. The Program Administrator will be employed by a Program Management Organisation.

**Subordinate staff:** Nil

**Location and duration:** The program management office will be based in the PNGEC offices in Boroko, Port Moresby. The position will be for 3 years (the length of the program)

### **Specific responsibilities:**

1. With the Program Manager, set up administrative systems and financial management processes (including disbursement of funds and acquittals). Wherever possible, the systems should be integrated with existing GOPNG / PNGEC systems and procedures
2. Implement the agreed administrative and financial management systems for the effective running of the Program. Prepare monthly financial reports for the Program Manager. Monitor financial allocations and acquittals and report to the Program Manager on any problems or apparent irregularities
3. Liaise with suppliers to obtain quotations and procure goods and services as required by the program and in keeping with Australian Government procurement guidelines
4. Contribute to regular reports as required by the Program Board, AusAID, the Program Manager, etc
5. Maintain management information systems, program and project databases, other relevant databases (eg lists of existing and potential stakeholders), asset register, project and program reports, etc
6. Maintain information for monitoring and evaluation purposes and produce reports as required
7. Provide assistance on financial or administrative management, as required, to successful community organisations as they implement their projects and activities
8. Provide secretariat functions to the Program Board as required
9. Undertake administrative arrangements as required, including travel and accommodation bookings, workshop and meeting arrangements, and so on, to support any component of the program

**Main relationships:** The Program Administrator will need to develop and maintain productive working relationships with:

- Staff of the PNGEC, particularly the election managers and staff responsible for community awareness and information
- Other national GOPNG agencies, particularly Police, Finance, Treasury and National Planning
- Provincial and district administrations, particularly where by-elections are held
- AEC officers involved in the twinning activities, in Port Moresby and in Canberra
- Members of the Program Board and the Impartial Review Mechanism

- A wide variety of NGOs and civil society organisations, including the churches and academics
- Other donor-funded programs and projects, particularly those working with civil society organisations.

***Skills and qualifications:***

The Program Administrator **must** have:

- Proven administration and financial management skills
- Demonstrated ability to maintain manual and computer-based management information and monitoring systems
- The ability to monitor financial reports and identify potential problems or irregularities
- Effective computing skills in word processing, spreadsheets and financial management packages.

It is **desirable** that the Program Administrator has:

- Tertiary qualifications in accounting
- Previous experience of working with an aid-funded project or program
- Previous experience in providing secretariat services to a high-level board
- Experience of working with NGOs and civil society organisations
- Skills in providing assistance, advice and mentoring to project and activity coordinators, to help build their capacity in financial and administrative functions.

## Appendix G: Risk management matrix

| Sources of Risk                                                                              | Risk Event                                                                                                                                                                                                                                                                                                                                                                           | Impacts on the Program                                                                                                                                                                                                                                                                                                                                                     | L <sup>3</sup> | C <sup>4</sup> | R <sup>5</sup> | Risk Treatments                                                                                                                                                                                                                                                                                                                                                                                                  | Responsibility                                                                                                                                         | Timing                  |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| Funds to hold elections are not available or not provided in a timely manner.                | <p>Funds are not budgeted for or are not available in time for elections.</p> <p>Funds are not available for updating the common roll.</p> <p>Lack of funding for Bougainville elections.</p> <p>Lack of funding for security operations during by-elections and the 2007 elections.</p> <p>Inability of stakeholders to prepare accurate budgets to support a funding requests.</p> | <p>Inability of partner agencies to effectively participate in the program.</p> <p>Limited absorptive capacity of partner agencies to benefit from the ESP.</p> <p>Increased corruption, fraud and violence during elections.</p> <p>Perceptions that the ESP has failed as a result of problems with by-elections or the 2007 elections resulting from under-funding.</p> | 4              | 4              | E              | <p>Support coordination between GOPNG agencies to assist in timely allocation and release of funds.</p> <p>Assist stakeholder agencies to submit realistic and timely budgets for funding of electoral activities.</p> <p>Assist stakeholder agencies to identify means of minimising the costs of election activities.</p> <p>Termination of activities or projects which are hindered by lack of finance.</p>  | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>Program Manager</p> <p>All stakeholder agencies</p> <p>AusAID</p>                             | Throughout the program  |
| Lack of political and institutional willingness to address electoral reform and development. | <p>Lack of senior level government commitment to improving the electoral system</p> <p>Ineffective operation of the GOPNG interdepartmental electoral committee</p> <p>Legislation is not changed to remove obstructions and inconsistencies.</p>                                                                                                                                    | <p>Delays in Program Implementation.</p> <p>Failure of the Program to achieve effective electoral reform and development.</p>                                                                                                                                                                                                                                              | 4              | 4              | E              | <p>Identification and appointment of a strong and influential advocate for electoral reform from within GOPNG agencies.</p> <p>Mechanisms to encourage and motivate members of the committee to continue to meet and work together effectively</p> <p>Provision of assistance for preparing appropriate amendments to legislation.</p> <p>Withdrawal of the Program if effective reforms cannot be achieved.</p> | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>Program Manager</p> <p>AusAID</p> <p>PNGEC</p> <p>Civil Society Stakeholder Organisations</p> | Throughout the program. |

<sup>3</sup> Likelihood (5=almost certain, 4=likely, 3=possible, 2=unlikely, 1=rare)

<sup>4</sup> Consequence (5=severe, 4=major, 3=moderate, 2=minor, 1=negligible)

<sup>5</sup> Risk Level (E=Extreme, H=High, M=Medium, L=Low)

| Sources of Risk                                          | Risk Event                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Impacts on the Program                                                                                                                                                                                                                                                                                                                                                                                                                                                         | L <sup>3</sup> | C <sup>4</sup> | R <sup>5</sup> | Risk Treatments                                                                                                                                                                                                                                                                                                                                                                                                                      | Responsibility                                                                                                    | Timing                              |
|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|-------------------------------------|
| Review of electoral boundaries.                          | <p>High demands on the time of senior people and resources in reviewing boundaries.</p> <p>Conflict and controversy over boundary adjustments.</p> <p>An increased number of districts and electorates</p> <p>New electorates from a boundary review might be based on highly inflated common roll figures.</p> <p>Electoral boundaries along (or across) clan boundaries may either exacerbate tribal or artificially disadvantage some groups.</p>                                                                                                                             | <p>Delays and increased costs in updating the common roll.</p> <p>Increased costs to the GOPNG as a result of additional districts or electorates.</p> <p>Possible further corruption of the common roll in an attempt to increase the number of electorates in some areas, particularly urban areas and the Highlands Region.</p>                                                                                                                                             | 4              | 4              | E              | <p>Assist with the development of a strategy for review of boundaries where necessary.</p> <p>Assist with the development of an overall program strategy for the Program to incorporate a review of the boundaries if necessary.</p> <p>Assist with legislative changes where required.</p>                                                                                                                                          | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>PNGEC</p> <p>Boundaries Commission</p>                   | If, and when, proposed by the GOPNG |
| The common roll continues to be inaccurate and inflated. | <p>Inability to 'clean' and update the common roll before the next election</p> <p>Active undermining of the common roll by some small sections of the community.</p> <p>Fieldwork to check the roll could be taken as an opportunity to add names and inflate the roll even further.</p> <p>Introduction of 'quick fix' solutions – eg identity cards – without considering costs and benefits, and whether there are cheaper and more effective options.</p> <p>Poor planning of the presentation of the roll making identification of voters at polling places difficult.</p> | <p>Threats to the effectiveness of by-elections and elections if the roll is not improved, especially for the Highlands Region.</p> <p>Delays to electoral reform activities and projects under the Program.</p> <p>Increased demands on the Program to rectify problems with the common roll.</p> <p>Undermining of activities to 'cleanse' the common roll by potentially disadvantaged sections of the community.</p> <p>Increased election and post election violence.</p> | 5              | 3              | E              | <p>Planning and conducting simple computer based checks and editing of the roll to eliminate duplicate villages, correct place names, and erase duplicate entries.</p> <p>Assist with conducting field trials to identify suitable methods and procedures to check and 'cleanse' the common roll.</p> <p>Assist with reviewing alternative proposals to the common roll such as identity cards, civil registration systems, etc.</p> | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>PNGEC</p> <p>Civil Society Stakeholder Organisations</p> | Throughout the program              |

| Sources of Risk                                                           | Risk Event                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Impacts on the Program                                                                                                                                                 | L <sup>3</sup> | C <sup>4</sup> | R <sup>5</sup> | Risk Treatments                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Responsibility                                                                                      | Timing                                                                                           |
|---------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| Southern Highlands and further by-elections.                              | <p>Very high security and logistical problems.</p> <p>Very high cost.</p> <p>Very high demands on the resources and personnel of the PNGEC.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                    | <p>Delays in electoral reform activities.</p> <p>Increased cost resulting from further assistance in running another difficult and complicated by-election in SHP.</p> | 5              | 3              | E              | <p>Monitor developments with requirements for by-elections.</p> <p>Assist PNGEC to thoroughly plan and prepare for the by-election.</p> <p>Assist with the development of , production, and dissemination of community awareness material.</p> <p>Assist with the development and the delivery of suitable training material for all persons involved with the election including candidates, supporters, voters, Police, Defence, scrutineers electoral officers etc.</p> <p>Assist with studies to review democratic alternatives to by-elections, especially under the new LPV voting system.</p> | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>GOPNG Electoral Committee</p> <p>PNGEC</p> | If, and when, a by-election is called for the Southern Highlands, or any other, Provincial seat. |
| Inadequate preparation for the introduction of the new LPV voting system. | <p>By-elections are held before PNGEC can develop or implement clear, accurate &amp; comprehensive policies and procedures on LPV.</p> <p>Insufficient time to develop training manuals and training materials for LPV.</p> <p>Inadequate training for candidates, supporters, and electoral staff including casually engaged local personnel.</p> <p>Perceived failure of LPV in the first few by-elections might lead to pressure to change the law to, say, optional preferential voting</p> <p>Undermining of the LPV system by dissatisfied candidates, supporters and community members.</p> | <p>Loss of credibility by PNGEC and other stakeholders.</p> <p>Increased work load for PNGEC to change the voting system.</p> <p>Loss of support for LPV.</p>          | 3              | 3              | H              | <p>Provision of active support for the proposed LPV system if recommended by the Program Board.</p> <p>Assist PNGEC to produce awareness and training materials for the LPV voting system.</p> <p>Assist PNGEC and civil society organisations to disseminate awareness materials and train electoral personnel in the LPV voting system.</p> <p>Continuation of the interim assistance by the AEC until the program is established.</p> <p>Careful monitoring and evaluation of initial LPV by-elections to allow rectification of any weaknesses.</p>                                              | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>PNGEC</p>                                  | <p>Interim period until the Program commences.</p> <p>Throughout the program</p>                 |

| Sources of Risk                                                                                                                                                                                                                           | Risk Event                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Impacts on the Program                                                                                                                                                                                                                                                                                    | L <sup>3</sup> | C <sup>4</sup> | R <sup>5</sup> | Risk Treatments                                                                                                                                                                                                                                                                                                                                                                                                              | Responsibility                                                                                                               | Timing                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|----------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| Difficulty in coordinating and managing the wide range of stakeholders involved in the program including GOPNG departments, civil society organisations, academics, donors, and the community as well as candidates and their supporters. | <p>Conflict between stakeholders with different interests, political motivations, and specific agendas.</p> <p>Lack of support or poor performance of stakeholders in implementing reforms or developing the electoral system.</p> <p>Lack of accountability of some stakeholders.</p> <p>Development and implementation of inconsistent messages/policies by different stakeholders.</p> <p>Duplication / overlap of effort and expense by different stakeholders.</p> | <p>Delays in the Program resulting from conflict between stakeholder groups.</p> <p>Adverse publicity or undermining of activities by dissatisfied stakeholder groups.</p> <p>Reduced effectiveness of stakeholder involvement in developing cohesive and consistent reforms of the electoral system.</p> | 3              | 3              | H              | <p>Firm direction and decision making by the Program Board</p> <p>Effective and extensive communication, liaison and management by the Program Manager.</p> <p>Withdrawal of funding for activities that fail to meet objectives.</p> <p>Mediation and conciliation between conflicting agencies.</p> <p>Provision of training in financial accountability for CSOs as needed.</p>                                           | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>Program Manager</p> <p>PNGEC</p> <p>Civil Society Organisations</p> | Throughout the program. |
| The limited absorptive capacity of the PNGEC.                                                                                                                                                                                             | <p>PNGEC staff are too occupied with by-elections to participate in capacity building activities.</p> <p>Lack of an effective corporate plan or development strategy for the PNGEC.</p> <p>Leadership and management weakness in PNGEC</p> <p>Organisational structure and staffing constraints.</p> <p>Training plans are not effectively implemented.</p> <p>Poor coordination between operational centres in PNGEC</p> <p>PNGEC managers resist reform</p>           | <p>Capacity building activities under the Program are not effective.</p> <p>Delays and impediments to the effective implementation of Program activities and projects.</p> <p>Reforms and improvements to the electoral system and the PNGEC are not effective.</p>                                       | 3              | 3              | H              | <p>Defer capacity building activities for the PNGEC until the LPV system has been effectively introduced and the first by-elections are completed.</p> <p>Assist PNGEC with corporate planning, staff reviews and performance management activities.</p> <p>Withdraw funding for activities that are not effective.</p> <p>Complete withdrawal from the Program if systemic changes and improvements cannot be achieved.</p> | <p>GOPNG Electoral Committee</p> <p>Program Board</p> <p>PNGEC</p> <p>GOPNG stakeholder agencies</p>                         | Throughout the program. |

