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**INTERNATIONAL FOUNDATION FOR ELECTION  
SYSTEMS**

**REPUBLIC OF KAZAKHSTAN**

**Final Project Report**

July 1, 1997 – December 31, 2001

**USAID Cooperative Agreement EE-A-00-97-00034-00**

**Conference for Regional Election Administrators of the  
Central Asian States Participant Briefing Book “Election  
Administration: Regional Experience and Comparative  
Perspectives,” Almaty, Kazakhstan, November 17-20, 1998,  
(English)**

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## HOW TO ORGANIZE A PRE-ELECTION TECHNICAL ASSESSMENT

### I. Project identification, design, management

#### A. Project Identification

##### 1. Satisfaction of IFES pre-conditions for undertaking a pre-election assessment

- Invitation from the host government
- A democratizing country
- Available funding

Offering appropriate technical assistance to requesting countries is a fundamental purpose of the International Foundation for Electoral Systems (IFES) and is consistent with its philosophy of assisting democratic change. Assistance should be considered appropriate when it is tailored to the specific needs of each country, when it takes into consideration the country's long-term goal of building a sustainable institutional base for a democratic electoral system, and when it is provided at the request of the host government. A request from an indigenous organization should be ratified by the host government.

A pre-election assessment (PEA) is one tool that IFES uses to analyze a country's democratic transition and its short- and long-term needs in organizing and sustaining a credible electoral process. The two principle objectives of an assessment are:

- to assure the donor/funder that subsequent assistance is necessary, and
- to gather information that will facilitate design of an appropriate and effective program of assistance.

It is not the policy of IFES to conduct a pre-election assessment in a country whose government has not extended an invitation, either through the U.S. Embassy or the USAID mission, through another organization which will be co-sponsoring or funding the assessment, or to IFES itself.

Since IFES must also assess the extent of the host government's demonstrated and continued commitment to the implementation of a democratic transition process before beginning any substantive project. It may be one of the objectives of the assessment mission to determine the degree to which the government is abiding by internationally recognized standards in its preparation for multi-party elections. At the very least, IFES must be assured that the government will welcome an independent, objective technical assessment, that the assessment team will be given access to all relevant information and people, that the assessment team's presence will not be used in bad faith for propaganda purposes, and that the results of the assessment will be disseminated to all interested parties.

A third condition to be fulfilled in the development of a project is the identification of a funding source, such as U.S. AID, the National Endowment for Democracy, the United Nations, or private foundations or corporations.

## 2. Timing of assessment in relation to electoral calendar.

An assessment can be carried out usefully at various times during the pre-election period. In general, ~~it should come before a country has clearly embarked on a path toward national referendum or multi-party elections.~~ Often, a pre-election assessment can be most useful after a draft election law has been formulated. Where officials have been assigned the task of preparing for elections, the assessment team is able to provide recommendations for revisions to the election law and can discuss election policies and procedures with the officials who are establishing these policies and procedures. ~~Election dates need not be set prior to the assessment team's visit,~~ although it is helpful for a general election calendar to have been formulated, so that sufficient focus can be placed on the electoral process.

It is common for an assessment to be planned subsequent to a government's request for external assistance. One of the primary objectives of the assessment may be to make recommendations for technical and material assistance from the international community. For this reason, the assessment is likely to become the first phase of a multi-phase process. Thus, the assessment would ideally begin and be completed with sufficient time available for interested groups to implement the recommended assistance activities identified in the assessment report prior to the anticipated elections.



3. IFES' objectives in undertaking this project

- a. ~~Why did IFES initiate this assessment or respond positively~~ to the request to undertake this assessment?
- b. ~~What are IFES' institutional objectives for this project?~~

IFES undertakes pre-election assessments (or any project activity) in order to accomplish one of several possible objectives. IFES would undertake a pre-election assessment at the request of a donor with whom IFES has maintained a long and valued ~~relationship for a donor~~ with whom IFES sought to develop such a relationship. Primarily, IFES has been chartered to advance the electoral process in evolving free and democratic societies; therefore, such an assessment project would fulfill an important aspect of IFES' annual operating plan. A pre-election assessment ~~may lead to~~ short- or long-term assistance in the host country. This may take the form of ~~On-Site Technical Assistance~~, such as providing logistics and security planning or commodities acquisition assistance, developing and implementing training programs for poll workers, election officials, and the general population with respect to the electoral process and individual voter responsibilities or developing longer term civic education programs. ~~A PEA may also lead to an~~ ~~election observation mission~~. All IFES projects and missions should attempt to recover all direct and out-of-pocket costs and also generate support for IFES' core administration, Resource Center, and information dissemination, thereby achieving another objective of IFES' annual operating plan.

It is essential that IFES be clear and explicit about its objectives in carrying out each assessment mission prior to the design and implementation phase. Clarity on this question is critical when determining the scope of the project, when resolving any potential conflict with the project funder, and especially when evaluating the project to determine the degree to which objectives have been fulfilled.

B. Scope of Work

1. Goals, objectives, activities: ↓

- a. ~~Are they mutually satisfactory to IFES and to funder?~~ ↓
- b. ~~Are they feasible, given constraints?~~
- c. ~~Criteria for evaluation~~ ↓

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Once IFES and the project's funder reach agreement on the general terms of reference for the project, IFES project staff can begin to elaborate specific goals and objectives for the project. ~~Certain elements of the project are essential to meeting IFES objectives, such as expanding the information base in the IFES Resource Center; others may be incorporated at the suggestion of the funder~~ or by the funder on behalf of the host government. Section III, "Implementing the Assessment: Information to Be Gathered", describes the kind of information an assessment should provide. It is imperative that all parties concerned achieve consensus regarding mutual expectations and constraints before the project begins. The IFES assessment proposal may be a bid to carry out activities on a contractual basis, in which case its terms may eventually be binding.

Assessments typically have a wide-ranging scope of work, covering not only all aspects of the electoral system, but also the political and social context in which democratization is occurring. The desire for depth and detail, however, must be balanced against the limitations and constraints that are inherent in the assessment project format. Assessment missions are ~~typically only two weeks in length~~, three weeks at the most. While expanding the number of team members can increase the team's scope, there is little marginal benefit from expanding the team beyond ~~three or four members~~. Therefore, IFES and the funder should negotiate a scope of work that is feasible given the limitations of time and team size, and addresses the need to make the ~~report concise and readable~~.

The objectives of the project, as reflected in the scope of work or terms of reference for the assessment team, ~~must be written in a form that~~ indicates clearly what the funder expects from IFES and what IFES ~~expects from the team members, including consultants~~, who will be carrying out the assessment. They also should be written so that their accomplishment is measurable, both by IFES and by the funder. In the evaluation phase of the project, both institutions should be able to clearly assess the degree to which objectives were fulfilled.

## 2. Budget

- a. What to budget for?
- b. Arriving at budget agreement with funder

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As the terms of reference and objectives of the project are defined, IFES must begin to develop a project budget. ~~This budget should include all elements of direct and indirect costs based on previous IFES experience and additional information provided by the funder or the host government. Backup documentation and information on the basis of estimation for individual line items should accompany the budget.~~ A primary objective of the budget process is to make the proposed budget as complete and realistic as possible. The PEA proposal and budget may serve as the basis for negotiation with the funder(s) in determining the final PEA scope and budget.

The IFES Pre-Election Assessment budget ~~should be drafted in cooperation with the IFES Director of Finance and Administration.~~ The budget is included as part of the project proposal and is subject to ~~review and approval by IFES executive staff as well as the funder.~~

C. ~~Negotiating other project parameters.~~

1. ~~Arrangements with host country.~~

- a. ~~What are the host government's expectations?~~
- b. ~~Who is the primary point of contact~~ in the government for the assessment team?

As IFES discusses the scope of work of an assessment project with a USAID mission, a U.S. embassy or other funder, it is essential to ensure that the host government is brought into the discussion, either with IFES directly or through the funder as intermediary. ~~IFES should request copies of correspondence between the funder and the host government regarding the initiation of the pre-election assessment mission, and the understanding that the government has regarding the objectives and priorities of the assessment. Also, the funder should be asked to provide a written summary of its discussions with the host government, and a list with names and titles of government officials who will be the assessment team's primary or initial points of contact. This written documentation should also spell out the kind of assistance, if any, that the assessment team should expect from the government, for example, local transportation, office space or facilitation of discussions with officials inside and outside of the government.~~

2. ~~Arrangements with U.S. Embassy or USAID mission~~

- a. Lodging; transportation *\*, access, communc.*
- b. Setting up ~~initial meetings~~

Discussions with the funder and/or the U.S. embassy should also clarify the degree and kind of support that they intend to provide for the team, such as car and driver, office space, access to communication facilities, and the facilitation of contacts with information sources in-country. If the project is AID funded or if judged to be appropriate, the USAID mission and/or the embassy may be requested to make reservations for the team at a suitable hotel in the capital and to meet the team upon their arrival at the airport.

As soon as both IFES and the funder are in general agreement with the arrangements spelled out in the proposal, a Project Authorization should be filled out, covering the proposal, and sent to the appropriate AID/Washington representative. This will meet AID's requirements for its Core support. Authorizing documents will be prepared for each funder/donor (UN, Host Country government, etc) as appropriate.

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## ~~How to~~ Selection of team

### A. ~~Selection~~ criteria

1. Language
2. Country knowledge and/or experience
3. Election administration
4. Issues in democratization
5. Election law
6. Training / *comp.*
7. *Team cohesion*

As the goals and objectives of the project are being determined, the Program Officer should begin to identify those consultants who may be best suited to accomplish the mission. The size of the team is largely dependent upon the scope of work and available budget. A team may have ~~two to four members~~, but should have sufficient background and experience to ensure that all aspects of the PEA will be completed satisfactorily.

~~The initial step in the selection process should be a search of the IFES Resource Center Database.~~ Information on consultants who have been part of prior IFES projects or who have provided detailed information on Individual Data Sheets will be available on-line to the Program Officer. Consultant information may also be gathered through referrals by other Program Officers and Program Officers' previous experience. ~~Secondary sources include universities, private consulting firms, or referrals from consultants.~~ Each potential consultant should be interviewed, perhaps more than once, with a foreign language component if the Program Officer is unsure of the consultant's skills in that area. ~~An Individual Data Sheet must be completed and, if possible, a writing sample should be obtained.~~

There are a number of criteria that must be considered as the team is selected. Certain skills are required, such as language capability; knowledge of the country, including in-country or regional experience; experience as an election administrator; more general experience in the democratic process; and familiarity with election law and related issues. In some cases, more specialized skills will be required for a particular assessment mission, such as knowledge of computers or of training. It is rare



that team members will individually possess all of these skills; however, it is important that as many as possible exist within the team as a whole. Depending on the country, some skills may be difficult to incorporate into the PEA team. It is important that consultants be selected according to how they can ~~best perform as a team~~ and how their collective skills may be applied to complete the scope of work. The Program Officer should consider as many combinations of consultants as possible and always be prepared with alternate selections.

**B. ~~Performance criteria~~**

1. Ability to write and to express oneself
2. Interaction with host country officials and USG officials in-country.
3. Successful completion of scope of work

Whatever the team members' special skills may be, they should have adequate command of English, both orally and in writing. Whenever possible, the team leader should have excellent command of the host country's official language(s), and each team member should be expected to interact with host government officials and U.S. government representatives effectively and with sensitivity to the country's culture. The team members will also be expected to contribute substantially to the assessment team's completion of the scope of work and the project objectives as set forth in the project proposal. It should be made clear to all concerned that these expectations will be foremost among the criteria on which the consultant's performance will be evaluated.

**C. Interviews**

In making decisions regarding the composition of the team, the Program Officer must consider additional factors. One member of the team should be designated (and interviewed) as the ~~team~~ leader. The team leader will act as the team's primary spokesperson while in-country, and will be responsible for bringing the team to consensus on its procedures, priorities, and activities. The team leader serves as the contact for the Program Officer in-country and should be able to provide administrative direction for the team while in-country.

One team member should also be designated the report coordinator. The report coordinator is responsible for reviewing the report as drafted by the team, noting any weak areas, before presenting it to IFES for editing. While the report coordinator may not be required to make specific report writing assignments, the coordinator is responsible for ensuring that all issues raised in the scope of work are addressed by the report. This person will be the initial contact for the Program Officer should questions arise during the report editing process. It is recommended that those consultants with previous experience and familiarity with IFES procedures be chosen as team leaders and report coordinators.

Logistics questions should be included in the interview. How does the consultant respond to the time commitment requested? How rigid is the consultant's schedule immediately following the close of the project? What kind of advance preparations should he or she make? Following the initial selection, the consultant should be contacted by the Contracting Officer to negotiate the consultant's daily rate. The Program Officer needs to be assured that the consultants will be able to complete the scope of work in the time provided and for the amount specified in the budget.

#### D. Final selection of team members

Final selection of members of the assessment team is usually subject to the approval of the funder and/or the U.S. Representative in the field. After the selection of team members is complete, a scope of work should be drafted for attachment to the Subcontract Authorization. The scope of work is also passed to the Contracts Officer to be included in the draft contract. In some cases, if the assessment is AID funded, approval from the U.S. embassy and USAID mission as well as AID/Washington technical and grants officers is required. Field approval is usually based on the team members' qualifications as reflected in their resumes or other documentation.

Approval from the funder is based on qualifications as well as the proposed consulting fee. Request for approval is normally accompanied by documentation of the proposed consultant's salary history and (for AID funded projects) by two authorization forms, the Authorization to Subcontract and the Travel Authorization. Until approval for consultants is received from the field and/or the funder, it is important to remind potential consultants that IFES' intention to contract with them for the assessment is



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conditional. The request for approval from the field is usually considered a simultaneous request for country clearance.

All contracts should be reviewed and approved by the Program Officer before being given to the consultants for signing. To minimize potential conflicts, consultants should not begin travel or work until consulting agreements have final approvals.

E. Pre-Departure team management

Travel, shots, visas, advances → Maritany

- a. Travel regulations
- b. Advances to include transportation funds
- c. Check out of computer equipment from IFES

Many tasks must be completed before the team arrives at IFES offices and before departure for the destination. Once team members are identified, they should be contacted by the ~~IFES~~ Administrative Assistant to make arrangements for air travel, visas, inoculations, medical insurance coverage, and lodging arrangements in Washington, if necessary. Travel Advances are determined by the Administrative Assistant, (and must be approved by the IFES Program Officer,) who is also responsible for ensuring IFES compliance with government regulations regarding travel and per diem as well as those of the funder (as each might apply to this project). For this reason, it is preferable that the Administrative Assistant, rather than the consultant or program staff, make these arrangements.

Specialized resources may be required for use by the assessment team. Examples are laptop computers complete with software and modem, portable printer, etc.

All requests for resources must be approved in advance by the IFES Program Officer. These requests would be fulfilled by the Administrative Assistant.

2. Briefing book

- a. Suggested contents and format
  - 1) Project proposal, including SOW
  - 2) Correspondence with funder and/or host government

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- 3) Consultants' resumes
- 4) Background information on country
- 5) ~~News articles on democratization and elections~~
- 6) Documents: Constitution, electoral law, etc.

b. Distribution

Briefing books should be prepared for each team member, with an additional copy for the Resource Center. The briefing book should include, in the following order:

- Project Proposal and Consultant's Scope of Work
- Relevant Correspondence between IFES Washington office, funder, and host government
- Team members' resumes
- Background information on the country
- News articles on the democratization and election process
- Documents such as the country's constitution and electoral law
- A copy of a model IFES report

~~Each team member should receive the briefing book complete with the individual scope of work with enough time to review it before arrival at the IFES office.~~

3. Team planning meetings

- a. Scope of work agreement (team and funder)
- b. Performance criteria and IFES expectations
  - 1) Performance in-country
  - 2) Quality and timeliness of draft report
- c. Resources (materials, people, examples)
  - 1) Civic education samples
  - 2) Other assessment reports
  - 3) Sample laws or other documents
  - 4) Sample registration materials, ballots, and other forms
  - 5) Price quotes for election commodities
- d. Report outline review

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- e. Individual work assignments
  - 1) Role and responsibility of team leader
  - 2) Role and responsibility of report coordinator
- f. Procedures for communications
- g. Time sheets and travel expense reports
- h. Emergency procedures

To the extent practicable, the two days prior to the team's departure are reserved for briefings and planning meetings in Washington, D.C. This time allows the team members to meet each other, IFES staff to brief the team, and any last-minute information, instructions and concerns to be shared.

During the briefing day(s), the team will meet with several members of IFES staff. Team members are briefed on IFES philosophy and guidelines for conduct in-country. The report writing responsibilities are also outlined in this meeting. In addition to the briefing books, team members are provided at this time with resource materials selected to provide a basis for completion of the various elements of the scope of work, such as examples of civic education materials, electoral laws or constitutions from other countries, sample registration material, ballots, or other forms, and price quotes for commonly referenced election commodities.

The IFES Program Officer and team members should review the outline of the proposed project report and provide instructions on style guidelines. This time should be used to confirm the connection between the project proposal, each individual's scope of work and the design of the project report. The proposed report outline should be used as a basic guide to document observations, findings and recommendations for each of the outline topics. The Program Officer should indicate which team member shall serve as the report coordinator and/or team leader, with an explanation of the role and responsibility of each. The Program Officer should also be able to demonstrate the rationale for individual work assignments by describing the skill set of the team and how the team members complement each other. The team should remain output oriented to ensure that all work assignments are completed and the recommendations are pragmatic, implementable and supported by findings. By the end of the meeting, each participant should have a clear understanding of how they function within the team, with detailed responsibilities assigned among team members for in-country work and preparation of the final report.

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The IFES logo consists of the letters "IFES" in a bold, sans-serif font. Below the letters, there is a stylized graphic element that appears to be a globe or a similar abstract shape, rendered in a dark, textured style.

The IFES Program Officer is held accountable for the adequacy of support for the project team. In conjunction with the in-country assessment team leader, ~~the Program Officer will make every effort to ensure that resources are available to the team in sufficient quantity and/or quality and when needed. As appropriate, the USAID Mission and/or the U.S. Embassy should be contacted by the Program Officer throughout the period the team is in-country to ensure the team's requirements are satisfied.~~

The Program Officer should have adequate in-country hotel and telephone information for team members and their families prior to or at least by the day of the team's departure. ~~Team members should be directed to communicate safe arrival in-country directly to IFES or through the U.S. embassy or USAID mission.~~

The Administrative Assistant and Contracts Officer will brief team members on their travel advances, with instructions regarding completion of time sheets and expense reports. Insurance coverage and emergency instructions should also be part of this meeting. Team members, after reviewing contracts with the Contracts Officer, should sign them and receive copies signed by an executive staff member.

4. Country-specific briefings : For team
  - a. AID and State Department
  - b. Host country embassy
  - c. Other experts

Current political information and confirmation of expectations are part of the AID/Washington and State Department briefings. These meetings are an opportunity for Department of State and AID officials to become familiar with the team, provide up-to-date country information, and review the expectations of the team including expectations for the verbal and written reporting of the team's findings. It is a time for the team members to ask any questions they might have about their scope of work or about the country's current political climate.

The final set of briefings consists of visits to the host country's Washington embassy and any other persons that the Program Officer believes may provide substantive country information. These include professors, consultants or anyone else who has significant country experience.

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**F. ~~Post departure -- team management and monitoring~~**

1. Communication
2. Support

Following the departure of the team, the Program Officer is responsible for team management and activity monitoring. Decisions regarding team procedure or unexpected situations should be referred to and decided by the Program Officer. The Program Officer also functions as the team's Washington-based support staff, obtaining additional information or making alternate arrangements as requested by the team. The Program Officer should communicate with the team as needed to stay up-to-date on current activities. Specific instructions as to methods and frequency of communications between the in-country team and Washington should be included in the briefing book and reviewed with project staff. The use of PC hardware and software (such as WordPerfect or Lotus) should be specified in advance to ensure full compliance. If the project report is to be drafted in a language other than English, the Program Officer ~~should ensure compatibility of software and availability of the appropriate translation services.~~

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### III. ~~Implementing the Assessment In-country~~

#### A. ~~In-Country Briefings, Introductions and Protocol Meetings~~

##### 1. ~~Embassy/USAID briefing~~

If the funder of this pre-election assessment is U.S. AID, then it is most likely that the assessment team's first activity will be a briefing with officials of the USAID mission and/or the U.S. Embassy. This is an opportunity for the team to formally introduce itself to U.S. officials in-country, and to introduce the assessment mission's terms of reference. The team should ensure that there is a mutual understanding of the goals of the IFES pre-election assessment, and an understanding of the role that the Embassy and the USAID mission will play in facilitating the assessment during the team's time in-country. It is helpful to discuss the team's scope of work in terms of what the embassy and USAID mission see as the most important issues to be addressed.

This is also an opportunity for the team to be briefed by embassy and USAID officials regarding the current political situation in the host country and the prominent players in the democratic transition and election administration.

##### 2. ~~Initial meetings with government, electoral commission counterparts~~

When IFES assessment missions are U.S. AID funded, it has been the practice for USAID or the U.S. embassy to arrange initial protocol and contact meetings with the government ministries and electoral officials with whom the team will be working. Often the first protocol meetings will be with the minister of external affairs and with the minister of the interior (or whichever ministry has oversight authority regarding elections). It is also common that the team will meet with the director of elections or with the election commission, if one exists. It may be desirable for an official from the U.S. embassy to accompany the assessment team on these first visits, but at the same time, the non-governmental nature of IFES and the non-partisan, non-political stance of the assessment team should be emphasized.



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It is important that the purpose, goals, and terms of reference of the assessment mission be clearly expressed at these early meetings with the host government. It is also important that these messages be expressed with consistency. Therefore, the initial introductory statement for the team should be made by the team leader or one individual who has been designated by the team. It is also advisable for the team to have a prepared written statement ready before they begin their host-government meetings. Such a standard statement regarding IFES and the objectives of the assessment can assist all members of the team in keeping their description of the terms of reference consistent. It can also be used to explain the team's purpose to the press, if appropriate.

### **3. ~~Press~~ Press release or briefing: pros and cons**

It is usually counterproductive for the assessment team to have a high level of visibility in the press. Sometimes, the U.S. embassy or the government will want to arrange for a beginning-of-visit press conference. While this may be useful to the government in exhibiting their willingness to listen to outside advisors, or to the embassy in publicizing its support of democracy, too much media exposure can be detrimental to the assessment mission by absorbing valuable time in a busy schedule and by provoking a deluge of requests for meetings with the team. IFES, in its discussions with the embassy and USAID mission, should encourage them to ~~keep media exposure low-key~~ at least until the final days of the assessment visit. ~~At the outset of the visit, a brief statement released to the press will give adequate exposure and also clarify the team's mission.~~

### **B. ~~Guidelines for whom to meet~~**

#### **1. Government officials, electoral officials**

The initial protocol and contact meetings are likely to point the team toward other government officials with whom the team will want to meet. Many of these meetings will be primarily informational in their focus, and one meeting will be sufficient during the course of the team's stay. There are other officials that the team may want to meet with several times during the visit, in working meetings where specific issues of the electoral process are discussed in depth. This latter group may include the election commission, if one exists. It may be of mutual interest to the officials and the team to meet at length or



several times to discuss such crucial issues as the registration system, election logistics, and the electoral budget.

The team should refer to the section below on information to be gathered as they prepare a list of government officials to meet with for informational purposes. These might include:

Ministry of Justice:	Constitutional issues; Electoral law, and other related laws: especially if the current laws are in draft form, and revisions are being considered.
Supreme Court Judges (or whichever court decides electoral issues):	The theory and practice of resolving disputes relating to registration, campaign ethics, voting fraud, and certification of electoral results.
Ministry of Finance:	Funding of election; campaigns.
Registrar of political parties:	The process whereby political parties are registered: complaints, constraints, political bias.
Registrar of voters:	The process whereby voters are registered: complaints, constraints, political bias.
Ministry of Education:	Status of civic education in the schools; Min. Ed.'s capacity to assist with civic and voter education programs; capacity to assist with training of registration and poll workers.
Ministry of Information:	Ministry's capacity to assist with civic and voter education programs; the government press and electronic media: their independence, their role in political campaigns.
Directors of government radio and television:	How news of political campaign is reported; role in civic education; access to air-time by political parties.
Bureau of Statistics:	Constituency delimitation (cartographic capability, computerization); civil register: accuracy and computerization; role in vote tabulation.
Government Printer:	Capacity of printing facilities: forms, ballots; degree of autonomy from ruling party; access to reliable paper supplies; security of printing.
Ministry of Interior or Chief of Police:	Role of police in election process: security, crowd control, transportation, communication.
Ministry of Defense:	Role of armed forces in election process.



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Minister of Administration: Organization and Facilitation of the election process.

Minister of External Affairs: Handling of citizens abroad; provisions for their participation in the election process.

## 2. ~~Non-governmental organizations~~ Non-governmental organizations †

The team should meet with representatives of host country civil society, particularly those who are active members in non-governmental organizations. In many countries, there is an NGO umbrella organization, which, along with providing entree to other NGOs, will give the team a sense of the coherence, organizational capacity, regional and topical scope, and political leanings of the NGO community. Meeting with the umbrella organization, and other NGOs, also can provide the assessment team with a list of the political concerns of a sector of the populace that is neither within the government or active in political parties.

~~Some specific types of NGOs that the team should seek to meet with include~~ 1) women's organizations, for information on women's involvement in politics and the electoral process; 2) professional organizations, such as teachers or university professors, which can provide information relevant to voter and civic education needs; 3) development NGOs, which are often a good source of information on infrastructure around the country, and on the needs and concerns of the poor and illiterate; 4) student and young people's groups; 5) organizations of ethnic groups; and 6) human rights organizations.

~~Meeting with international NGOs~~ can also provide information on conditions outside the capital. Some international NGO personnel can provide a valuable perspective on political tensions, level of fear or mistrust, and constraints to a successful democratic transition, especially as seen by the population sectors the NGOs work with.

## 3. Organized Religion

~~In many countries, organized religion is an~~ important element of civil society. (In some countries, churches, synagogues, temples and other places of worship may provide the only significant organized structure in civil society.) Meeting with religious leaders can provide the team with another perspective on potential problems and roadblocks in the democratization process. Religious leaders may also express



an interest and a capacity in playing a role in civic and voter education and/or organizing domestic election monitors, especially through parochial schools.

#### ~~4. Political parties~~

In most situations, it is vital for the assessment team to meet with leaders of the political parties. It is also important to attempt to meet with all parties, so that there is no appearance of bias. In countries where there are too many parties to be able to meet with each individually, an alternative is to arrange for group meetings.

Party leaders are likely to use their meeting with the assessment team as a forum for complaining about the disadvantages they are operating under, particularly if they represent opposition parties. It is often difficult to distinguish valid complaints from electioneering, and team members will likely have to listen to a lot of political campaign speech making in order to hear the valid complaints. A picture of the latter may only appear after speaking to several parties. Assessment team members should be cautioned to listen, document observations and withhold comments and recommendations for inclusion in the final assessment report.

Party leaders are valuable sources not only for their perspective on actual or potential flaws in the electoral system, but also for information on voter awareness and the need for voter and civic education. Where present, attention should be given to minority, ethnically based and/or religious parties to underscore their special problems.

#### ~~5. The media~~

In many developing countries, the radio, television and/or print media may be owned and/or controlled by the government. In some cases, these media may have a legal obligation to give air-time to political parties for campaign broadcasts. Such access to air-time can do a great deal to level the playing field between political parties.

The specific amount of air-time given to news generated by the ruling party is likely to be a contentious issue during the pre-election period. It is sometimes the case that newspaper, television and radio journalists, long accustomed to thinking that the only real news items are those that are handed to them by the government and ruling party, do not have the skills for conducting investigative journalism or doing stories on civil society, even if they have been given complete autonomy by the government. A finding of this sort may lead the team to recommend a training program for journalists.

Independent print journalists should be sought out for their perspective on the political transition and on the role that they see themselves playing in creating an informed electorate.

~~6. Diplomatic Community~~

The U.S. is often not the only bilateral donor interested in election assistance in a particular country. It is useful to meet other prominent embassy personnel to discuss their plans for election assistance as well as to hear their perspective on the transition and the electoral process.

~~7. Multilateral and intergovernmental organizations~~

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The most important multilateral organization to meet with while in-country is the United Nations. The United Nations, through the UNDP and the Resident Representative, is more and more often taking on a role in election assistance. This role may be to provide funds or technical advisors, or it may be limited to coordinating the efforts of other donors, or coordinating the deployment of election observers. For most assessments, it is important that their perspective and their level of involvement in the electoral process be noted in the report.

~~C. Travel outside the capital~~

1. Objectives of travel outside the capital

Whenever possible, it is recommended that the assessment team travel outside the capital city for at least one day. This permits the team to:



- Meet with regional and/or district officials who will be organizing and implementing the election process at those levels, to assess the information that they have received about the electoral system, their capacity to organize the process and their need for training;
- Assess the communication system--telephone, radio, telex--between the capital city and the district and provincial levels;
- Get a feel for the condition of the transportation system, and the ease or difficulty with which materials can be shipped from one part of the country to another;
- Assess the level of party activity, and possible constraints on party campaigning, in areas outside of the capital;
- Meet with regionally based NGOs that might play a role in civic education or election monitoring;
- Assess regional or ethnic tensions that might not be obvious in the capital.
- Assess security aspects for participants in future missions.

## 2. Arranging for travel

Travel outside the capital may require the team to ~~rent a car or charter a plane.~~ In many countries, it is advisable to hire a driver or pilot, preferably someone who is familiar with the region where the team will be traveling. Advance arrangements should be made to meet with regional government officials. ~~Usually this can be arranged from the capital through the ministry of administration or the ministry of interior.~~ Arrangements for overnight lodging should be made in advance as well. It is critical that IFES Washington be informed on a timely basis of all travel within the host country.

#### IV. Implementing the Assessment: Information to be Gathered

Information should be gathered by the assessment team so that they are able to address the following topics and issues in the pre-election assessment report. Some of this information will be available to the team before they arrive in country. Most will be gathered in meetings and interviews during the team's one to three weeks in-country.

##### A. Context of democratization

1. Geography and demographics / reg. sec. / map.
2. Historical setting
3. Societal, cultural, and ethnic implications / demogr.
4. Political changes and current electoral processes + laws
5. Economic climate and infrastructure + Dev.
  - a. Formal
  - b. Informal
6. Recent and current events towards democratization + pub. awareness
7. Democratizing institutions
8. Constraints : law + order / gov. + sec.

Team members should be well versed in the country's history, geography and development. This background information serves to put the up-coming election into context. Briefings should cover the following questions:

The geographical situation and regional security situation. Is the country alone in the region in conducting multi-party elections or surrounded by democratic neighbors? What effect has this setting had on the holding of elections? A map should be provided.

- Page 23
- **The historical setting.** Does the country have a history of independence/colonialism; of democracy/dictatorship; of peace/violence; of regional cooperation/isolationism? What has been the impact of these factors?
  
  - **Societal, cultural and ethnic implications.** Is the society split into different classes of people by reason of wealth/heritage/education? Is the culture western-oriented? What are the dominant religions? What is the position of women? Is the country divided along ethnic/tribal/clan lines? What provisions are made for guaranteeing minority rights? What is the human rights record of the government/opposition? Are politics personality or issue oriented?
  
  - **Political changes and current electoral processes.** How long has the current government been in power? What factors have brought about a multi-party election? Is there an organized opposition? When was the current electoral law adopted? Was the law adopted with the agreement of all political players?
  
  - **Economic climate and infrastructure.** Does the government control the means of production? What efforts, if any, have been made in the direction of privatization? Is the country's trade dependent on only one major export? What is the average monthly wage and the rate of inflation? Has recent change, for better or worse, occurred in the economy? Is there a 'black market' economy? Is the currency convertible? Is the country receiving and implementing advice received from the IMF and the World Bank? Is the country a member of a regional trading bloc?
  
  - **Recent and current events towards democratization.** Why has the government legalized opposition parties and called a multi-party election? Is the opposition free to organize? What laws have been passed to enable a multi-party election to take place? Does the public understand that they have a choice of political parties?
  
  - **Democratizing institutions.** Has an independent central electoral commission been established? Have political parties been allowed to register freely? Is there an independent judiciary? Does the media operate freely?

**Constraints.** Is there civil order in the country? Are political parties allowed to operate freely, both according to the law and in practice? Is there a real separation of powers? Do communications allow the majority of the population to be informed about the electoral process? Does the security apparatus intimidate the opposition/electorate?

All of this background information as shown above, particularly that which focused on recent events in the political transition, form the basis of understanding for the team's assessment while in-country and team members should, therefore, be familiar with most of this information before they arrive in-country.

~~To the degree possible, it is to be included in the briefing book given to team members before their departure; this information should be summarized in the opening chapter(s) of the assessment report.~~

~~Special attention should be given to constraints identified prior to going in-country.~~

B. ~~Relevant laws, codes, and regulations~~

1. Constitution and legal framework
2. Election laws (and media, campaign finance, ethics, etc. laws)
3. Structure of governing bodies and relationship to election administrators

*admin. & pub. law syst.  
- Code law & Cts. hierarchy*

The constitution, electoral law and other relevant laws may be available to the team before they arrive in-country. In some cases, the team may not see these documents until their arrival, particularly if they are still in draft form. The team should be thoroughly familiar with these documents as they begin their in-country meetings. If the constitution and electoral laws are not open for discussion and revision, then they define the "givens" of the electoral system. All discussions of procedures, needs, materials, and fairness will be based on the already established legal framework. If the constitution and/or the laws are in the process of being discussed and revised, then the team may be in a position to provide valuable input regarding consistency within and between these documents, the explicit or implicit constraints to democracy contained in the laws' provisions, the feasibility of the procedures specified in the law, and many other areas.

The team should become familiar with the bureaucratic structure of the government, particularly the relationship between relevant ministries in theory and practice, the relationship between the presidency

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and the ministries, and the relationship between the executive, legislative and judicial branches of government.

Often, the election administration body within the government has been newly created for the current democratic transition. The team should investigate the legal and bureaucratic standing of this body, particularly its ability to establish and control its own budget, to hire and fire staff, and to make policy and procedural decisions without interference from other ministries or levels of government from which it may be nominally autonomous.

C. ~~Timing of elections~~

- Q: Calendar
- 1. Technical and administrative considerations
- 2. Domestic political considerations
- 3. Donor considerations

If dates for elections have been set, it is important for the team to discover the reasons, historical, practical or political, that those dates have been chosen. The team should be in a position to assess whether a chosen date puts a political party or parties at an ~~unfair disadvantage~~, such that, if the elections do occur on that date, they cannot be considered free and fair. The team should also assess whether the administrative tasks that must be accomplished before the election day ~~can conceivably be accomplished~~.

The date of elections will be of relevance to donors as well. Among other reasons, the length of the period before elections should give them sufficient time to provide the assistance which they or the government deem necessary. Based on its analysis of all the above factors, the team may recommend proceeding with the election or changing the date, perhaps for administrative or technical reasons, and thus must understand what the political ramifications might be.

D. ~~Electoral institution and officials~~

- 1. Structure, autonomy
- 2. Capacity, effectiveness



As noted above, the government body charged with administering elections may or may not have an appropriate level of autonomy from the ruling party. This autonomy lies in its ability to make and implement decisions regarding the registration and electoral process, and also in its ability to control its own budget and staff.

The structure of the electoral institution is important as well, in its inclusion or exclusion of a wide range of political voices. It is important that the body be (and be perceived as being) either non-partisan or multi-partisan. The inclusion of representatives of many or all political parties is often desirable, but a large body can become unwieldy unless executive power is delegated to an individual or small committee. Therefore, the internal organization of the electoral institution is also important to investigate, in determining its ability to balance the need for democratic input with the need to make many daily decisions quickly and firmly.

It is often the case that those individuals assigned to administer multi-party elections, whether they are formed into a new election commission or are working out of an already existing ministry, are taking on that task for the first time. Therefore, it is important for the team to assess the level of experience and administrative capacity of the electoral body, ~~and the implied level of needed training or technical assistance.~~

#### E. Political parties

1. History, platforms, and leadership of political parties
2. Registration: legal process, problems, constraints
3. Access to resources
4. Capacity to organize and to campaign
5. Role in election policy decision-making and representation on election commissions
6. Willingness to participate in electoral process and accept results of elections

An important component of a pre-election assessment is a survey of the ability of political parties to conduct a campaign effectively, freely and fairly. The assessment team should gather information for inclusion in the report on the existing and emerging political parties, with basic information on their



policies and leadership. Information on new or changed political parties and updates to existing parties should be collected for entry into the IFES Resource Center Database for future reference.

One element in assessing the fairness of a campaign is the degree to which a party's activities are helped or hindered by the government and/or ruling party. The team should investigate the process whereby parties are registered, and assess whether the process is unnecessarily and undemocratically complicated or burdensome. Often, governments assist political parties in the run-up to elections by providing some financing and/or some right of free access to government radio and television. Political parties are also often given representation on the governmental body that is making electoral policy and administering the election, or at least provided with a forum for expressing their views on electoral laws and procedures. Another area of party-government interaction which the team should investigate is the degree to which ruling party resources are kept distinct from government resources, and how transparent that distinction is to the other parties and to the general populace.

A second element in the ability of parties to effectively reach the voter with their messages is their own internal capacity, in terms of human and material resources, to organize and mobilize their supporters, to publicize their platform, and to conduct a national campaign. In an emerging democracy, there are likely to be a plethora of small, weak, personality-based parties which are not operating on a "level playing field" with the ruling party and other more established parties. Such a playing field would be considered level if all are equally subject to the same rules with a reasonable access to resources. The assessment team should gather information on the internal constraints that parties face so that a preliminary assessment can be given in the report on the likelihood that the campaign process can be deemed free and fair. In addition, a determination should be made as to whether the weaker (newer or less experienced) parties are at a disadvantage due to either a lack of experience or the electoral "rules".

Political parties have a role to play in informing the voters, at least their supporters, about how, why and when to register and to vote. Assessing their ability to carry out this role, especially in the countryside, is an important element in establishing the need for an externally assisted voter and civic education program.

The results of elections will often be challenged by the losers. This challenge can come within the rules of the electoral system, or outside the established procedures. The assessment team should attempt to

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gather information regarding the willingness of competing political parties to accept the election process as a legitimate expression of the will of the electorate and to abide by the results.

#### F. Political Campaigning

1. Conduct/climate of campaign (level of fear, mistrust)
2. Access by parties to campaign financing
3. Access to media
4. Freedom of movement, freedom from harassment and intimidation

As noted above, the conduct of the political campaign and the environment in which political parties operate is an important element in an electoral system's capacity to produce a credible and legitimate result. The impediments to free and fair political competition go beyond the bureaucratic barriers that may be constructed by the government. The assessment team should look at the actual practice of political party competition, particularly if the campaign period has formally begun. An assessment of the level of fear, mistrust and hostility between parties and specifically between opposition parties and the ruling party will, among other things, provide input into an analysis of the required confidence-building and fraud-prevention measures that must be built into the electoral system.

An assessment of parties' access to the media and their relative exposure in media news stories as well as their relative access to public funding for their campaign (especially if the ruling party receives an explicit or implicit subsidy by virtue of its symbiotic relationship with the state) lays important groundwork for later analysis of the fairness of the electoral process. Assessing the parties' freedom of movement and assembly is especially important outside the capital, where conditions may be radically different as determined by local rather than national officials.

#### Voter Education and Civic Education

1. Distinction between voter education and civic education
2. Assessing the need
3. Constraints and special issues

4. *What can be done*

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IFES has found that it is useful to make a distinction between voter education and civic education. The division between the two topics is not entirely clear cut; however, they can be defined as having different subject matter and different implementing institutions. Additionally, a distinction must be made between short and long-term civic education, where the short-term civic education tends to election-related and directed toward voter education which may be carried out primarily, although not exclusively, by governmental bodies. It refers to the task of informing the electorate of how, when, where and why to register and to vote. Civic education is a more broadly defined and generally a long-term program with the goal of disseminating information to the population as a whole about the theories, principles and practices of democratic governance. It is not necessarily focussed on an election period. While government can have a role in implementing civic education programs, particularly through school curricula, civic education is, to some degree, a task of civil society, embodied both in political parties and in non-partisan, non-governmental organizations.

The assessment team should gather information on both the need for voter and civic education and the capacity of host country institutions to respond to that need. A gap between the observed need and the internal capacity to meet that need should lead to a recommendation for external assistance in this area. In discussing external assistance, it is useful to keep clear the distinction between short-term, (government-implemented) voter education and longer-term, (NGO-implemented) civic education. It is also important to note the existing impediments to implementing programs of either type, such as illiteracy, linguistic diversity, infrastructure limitations, limits to the reach of mass communication media, an atmosphere of mistrust or fear of the government, or a scarcity of NGOs that have either the interest or the capacity to carry out an effective non-partisan civic education program. The assessment team should also gather input on the type of information within the range of voter and civic education programs that should be given priority, and on the most effective and culturally appropriate mechanisms for disseminating that information. Finally, the assessment team should determine the extent to which gender, minority, ethnic, racial, religious, etc., status is a constraint to the civic education process.

**H. Constituency delimitation**

1. Constituencies as defined in electoral law
2. Other options



3. Criteria for establishing constituency boundaries
4. Techniques for delimiting constituencies

One of the first tasks in establishing an electoral system is defining and delimiting the constituencies from which voters will elect their representatives. The electoral constituencies of a country are usually defined in its electoral law. Sometimes existing administrative divisions are used as the electoral constituency. In other cases, voting districts are drawn that are distinct from administrative districts, or there is only one nationwide constituency used. Whatever system is defined in the electoral law or is being discussed at the time of the team's visit, one major question to examine is the degree to which the system conforms to the principle of one-person one-vote. Another is ~~the impact of constituency delimitation on supply distribution and on the number of poll workers needed.~~

~~The team should visit the government's bureau of statistics or the cartographic office to meet with the officials who will be charged with providing demographic information used in determining constituencies and actually carrying out the task of mapping the country's voting districts.~~

- I. ~~Registration of voters~~ : collect info.
1. Registration system: options
  2. Timing of registration
  3. Registration cards
  4. Electors lists
  5. Registration personnel
  6. Voter education

The system of registering voters is one of the most complex and expensive of the components of any country's electoral system. It can also be one of the most controversial. A poorly conducted registration process, or a system that is not the product of a consensus among all major political actors, is almost guaranteed to result in a disputed election and a shaky beginning for multi-party democracy. Depending somewhat on the timing of the assessment team's visit, it is likely that the team will spend a large share

of its time in-country discussing registration issues. Information should be gathered on the following questions so that solid findings can be reported and recommendations made.

**1. Registration system: current plan or options under consideration**

- a. What registration system is currently specified in the electoral law or is currently under discussion?
- b. What are the advantages and disadvantages (for security, efficiency of voting process, cost-cutting) of a single-step process of registration at the time of voting versus a registration prior to elections?
- c. Is a no-registration system feasible?
- d. Which registration system is most practically matched with the electoral systems specified in the current law (i.e., proportional representation or single-member districts)?
- e. What is the team's recommendation, on a cost-benefit basis, for the preferred registration system for the country to implement?

**2. Timing of registration**

- a. Is the length of the registration period sufficient to enable all those eligible to register without undue inconvenience?
- b. Does the period for registration take into account the flow of refugees or displaced persons during the months before the election or the impact of weather conditions?
- c. Is there a cut-off date for registration that will provide sufficient time to produce reliable polling station electors' lists (if such lists are being used) and to obtain and distribute the appropriate commodities to all stations?

**3. Registration cards**

- a. What is the current system of national identification, and the status of civil registry and personal documentation?
- b. Will voter registration cards be issued to all eligible voters? Is this feasible? How long is it likely to take?



- c. What type of card will be used: photo? laminated? simple card in plastic pouch? no plastic pouch? Does the proposed card fit the needs in the most economical way?
- d. Do the expensive options provide increased security such that the increased expense is recommended or necessary?
- e. What means are available for guarding against forgery of registration cards?
- f. What information will be included on a registration card?
- g. Is (will) a national ID card (be) issued that is distinct from a voter's ID?

#### 4. Electors lists

- a. If electors lists will be used at the polling stations will they be locally or centrally compiled?
- b. Will the compilation of electors lists be computerized? If not, is computerization feasible? Desirable?
- c. If a national voters registry currently exists, how accurate is that list?
- d. Is there a mechanism by which the public and the political parties can review the electors list with sufficient time before the election so that revisions may be made?
- e. What is the mechanism for challenging and revising the electors list?
- f. What is the mechanism for resolving disputes regarding the electors list?
- g. How will the list be used on election day?

#### 5. Registration personnel

- a. If a national registration campaign is planned, how will that be carried out? How much time and how many people will be dedicated to this task? Have all available options for carrying out a registration drive been considered, and the most cost-effective one chosen?
- b. What types of people should make up the registration teams? What are their qualifications?
- c. How many teams are recommended, and of what size?
- d. Will the registration teams be mobile, or operate from fixed sites?
- e. How will they be trained? (how long? where? covering what information?) What training material will be prepared?
- f. Have sufficient funds been budgeted for this activity?



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6. Voter education

- a. What office or ministry is responsible for disseminating information about why, how, when and where to register?
- b. When will the information campaign begin? Is sufficient time allotted to this task?
- c. What methods will be used to disseminate this information? Do the methods appear to be cost effective?
- d. Have sufficient funds been budgeted for this activity?

J. ~~poll workers~~

1. Numbers
2. Qualifications
3. Recruitment
4. Training
  - a. Training design
  - b. Training materials
5. Roles and responsibilities
6. Election workers and vote tabulators at district and regional levels
  - a. Qualifications and recruitment
  - b. Training

The workers at polling stations on election day make up one of the most important components of an electoral system. The assessment team should gather information on the numbers and qualification of needed poll workers and on current plans for the recruitment and training. The team should determine whether opposition parties will have input into the selection of poll workers, and if not, whether government-selected poll workers will be trusted to perform their responsibilities without bias.

The training of poll workers is one of the most expensive and logistically complex components of the electoral system. The team should discuss the plan for training the thousands of needed poll workers and assess whether it is likely to be feasible and effective. The team should also assess whether sufficient

funds have been budgeted for this activity, and whether external financial or technical assistance is needed.

K. **Ballot Design and Security** : Collected Info.

1. Single v. multiple ballot
2. Need for sophisticated anti-counterfeiting measures
3. Accounting and tracking mechanisms: serial numbers, counterfoils, etc.
4. Printing capacity in-country
5. Ballot storage and distribution plans

Ballots are obviously a crucial element in an electoral system; they are also one of the most problematic. Basic decisions about ballot design can play a large role in the cost of the elections and in the voters' comprehension of the voting process. One basic option is between a single ballot for each office being elected and a multiple ballot system where there is one ballot for each candidate. The cost advantages of the single ballot system must be weighed against considerations of tradition and of comprehension, particularly for illiterate voters.

Much effort is put into the prevention of the counterfeiting of ballots and the stuffing of ballot boxes. The assessment team should examine what is planned and what is needed in terms of sophisticated anti-counterfeiting measures, and in terms of mechanisms for tracking the distribution and use of ballots. Again, security needs must be weighed against financial limitations, while acknowledging that often sufficient security can be assured with systems that are not necessarily the most complex or most expensive.

One important element in providing ballot security is simply good organization, so that ballots are well-guarded and distributed carefully with sufficient controls built in. The team should thus examine the proposed system for storing and distributing ballots.



L. ~~Election Commodities~~

1. Ballots
2. Ballot boxes
3. Voting screens
4. Indelible ink
5. Election-related equipment
6. Others

*Ω procurement reviews.*

At the time of the team's visit, the government will probably have plans for as well as questions about the design and procurement of specialized election commodities. The decisions made on both topics, design and procurement, can have a large impact on the efficiency and cost effectiveness of the electoral system. The assessment team should be prepared to assess plans for:

- 1) the design and printing of ballots;
- 2) the type and quantity of ballot boxes and voting screens;
- 3) the use of indelible ink or other security related commodities, and
- 4) options for type and for suppliers.

Teams may be met with grandiose "wish lists" that must be examined in light of life cycle maintenance cost and the overall contribution to the electoral process. Identical requests for commodities may be submitted to multiple potential donors. It is crucial to determine which body has ultimate authority to make requests (or for procurement) and to whom the request have been or are planned to be made. Donor coordination to prevent duplication is of the utmost importance. It is often helpful if the assessment team can provide some recommendations regarding prices and suppliers to government officials while in-country.

M. ~~Transportation and Communication~~

1. Roads and communication system
2. Transport and communication needs
  - a. Registration period

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- b. Election period
- 3. Government's capacity to meet transport and communication needs of registration and election process / Goodwill
  - a. Current status of government planning
  - b. Coordination between election officials and other government ministries regarding transportation and communication
- 4. Role of military in transportation and communication during registration and election process
- 5. Need for external assistance in communication and transportation

Transportation and communication are likely to be two very expensive categories in the government's electoral budget. There are times during the registration and voting periods when the requirements for moving people and materials around the country quickly and reliably are enormous. The need for reliable nationwide communication, particularly during the crucial days before, during, and after election day, is also obvious. The assessment team should carefully examine the government's plans to cope with those needs. They should assess the degree to which the government has begun the task of calling on its own resources for election-related transportation and communication. In these two areas, the ability and willingness of the government to make all possible use of its internal resources will have a large impact on the team's recommendations regarding needed external assistance to meet the transportation and communication needs that cannot be met by the country itself.

N. **Election operations**, (as specified in electoral law or current government plans)

- 1. Procedures for voting
- 2. Security measures at polls
  - a. Role of police and/or armed forces
  - b. Role of civilian election workers
- 3. Security measures for transportation of ballots
- 4. Vote counting and certification of election results
  - a. Location of vote counting
  - b. Method of reporting vote counts to capital
  - c. Mechanism for disseminating vote count information

*an evaluation of pop's receptivity*

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The team should gather information on the government's current plans for the processing of voters and for vote counting. They should be able to describe and analyze in their report the procedures for voting, vote counting, and vote tabulating and reporting. They should examine whether the procedures developed by the government are consistent with the requirements of the electoral law, and whether they provide sufficient guarantees that the elector's vote will be secret and will be counted and tabulated accurately. The team should examine plans for security on polling day, particularly the role of police and armed forces in light of their ability to carry out that task reliably and without intimidation or prejudice and in light of the general populace's attitude toward the police and military.

O. ~~Computerization~~

1. Need and feasibility
  - a. Voters registry
  - b. Vote counting and tabulating
2. Current capacity
  - a. Hardware
  - b. Software
  - c. Technical capability

The assessment team should examine carefully the need, feasibility and current capacity for computerizing components of the registration and vote counting processes. While entering data from the voter registration process into a computerized database can greatly facilitate revision and compilation of the voters registry, it is often not feasible to enter so much new data within the time available without a prohibitive outlay for computer hardware and for data processors' salaries. Complete computerization of the voters registry may have to wait until after the elections.

Similarly, computerization of the vote tabulating process may enable results to be compiled and announced more quickly than a manual system. In many developing countries, however, the reliability of a computerized counting system is mitigated by the potential of power outages, inexperienced data processors, untried software programs, and the worry that computer programs can be "fixed" by the

ruling party or others. In other words, computerization does not necessarily lead to the goal of a fast and reliable system.

The assessment team should gather information on current government and, if appropriate, private computer capabilities. The government's bureau of statistics, the census bureau, the civil registry office, or even ministries of health, agriculture or trade (where national statistics are likely to be compiled) are all potential sources for this information as well as sources for assistance to the elections commission. Giving the government needed advice on computer usage in the electoral system may be beyond the technical capacity of the assessment team. In that case, the team should provide sufficient information in their report so that a detailed scope of work for any subsequent technical assistance project in this area could be written.

P. Role of election observers

1. International
  - a. Legal status
  - b. Government's and political parties' attitude regarding international observers
  - c. Level of need for international observers
  - d. Appropriate number of international observers
2. Local
  - a. Party poll watchers
  - b. NGO-sponsored monitors

In some countries, international election observers are given formal legal status in the electoral law, in which the rights and responsibilities of observers are set forth. In other countries, outside observers may be welcome, and their role outlined in a more informal code of conduct. In this latter case, the role of the observer in the process may need to be determined and clarified. Governments are sometimes reluctant to invite international observers, fearing that their presence will be intrusive in a domestic process. The team should clarify these issues of legal status and attitude, and also discuss with the

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government the role that the host government the role they plan to play in financing or coordinating observers while in-country.

The presence of international observers can fulfill a number of objectives, that may or may not be shared among the international community, the host government, the opposition parties and the general population. Observers can serve to indicate international interest and concern, defuse tension, raise the confidence level of voters, and deliver an independent message to international and domestic audiences about the conduct of the elections. The assessment team should note which objectives are of highest importance in their specific country, and recommend how many observers are needed.

It is often the case that political party poll watchers are given a legal status in a country's electoral law. The pertinent issues for the assessment team to investigate in regard to party poll watchers are their legal status and role, the capacity of the political parties to place their agents in the polling stations, and the plans for training these agents.

The issue of non-partisan domestic monitors is often more controversial than party poll watchers. Some governments do not recognize that a domestic group of observers can act in a non-biased way, and thus refuse to grant permission or credentials to domestic monitors. In many cases, an indigenous non-governmental and non-partisan organization with the capacity to organize and train domestic monitors does not exist. The assessment team should gather information on the need, the legality and the feasibility of fielding teams of domestic monitors, and make recommendations on what role the international community could usefully play in assisting with training and organization.

**Q. Budgetary needs of the election process,**

- 1. Review of existing government budget or budget proposal
  - a. Personnel
    - 1) Election commission and support staff
    - 2) Regional and district officials
    - 3) Registration teams
    - 4) Poll workers



- 5) Drivers, security, and other support
  - b. Training
    - 1) Stipends
    - 2) Materials: design, printing and distribution
    - 3) Transportation
    - 4) Trainers fees
  - c. Election materials: consumables
    - 1) Registration forms, cards, manuals
    - 2) Ballots
    - 3) Election day forms
    - 4) Electors' lists
    - 5) Indelible ink
    - 6) Other
  - d. Election materials: non-consumables
    - 1) Ballot boxes
    - 2) Voting screens
    - 3) Other
  - e. Computerization
    - 1) Hardware
    - 2) Software and programming
    - 3) Data entry
  - f. Communication
  - g. Transportation
  - h. Other: Office equipment, office rental, etc.
2. Review of mechanism for elaborating and discussing budget within government and between political parties
  3. Assessment of government capacity to meet electoral budget needs
  4. Review of request for donor assistance

The assessment team may be presented with a detailed electoral budget by the government and asked to review it while in-country. Conversely, the team may be asked to help the government draw up an

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electoral budget during their visit. In either case, it is usually expected that the team will make detailed comments on the electoral budget in the report, with special emphasis placed on what may have been left out of the budget, and what components of the electoral system might be implemented in a more cost-effective way.

The team should also gather information to be included in the report on the bureaucratic mechanisms by which an electoral budget has been or will be developed, and on the capacity of the government to meet electoral budget needs through its own resources. This latter question should form the background for the team's review of the government's request for donor assistance to the electoral process, if one exists.

R. ~~International and donor support~~

1. Possible assistance from other bilateral and multilateral sources
2. Mechanisms for donor coordination

*Communications*

The team should discuss with the government and with other parties and groups involved in the electoral process the areas in which donors could most usefully provide assistance. The team should list and prioritize the various recommended areas of assistance, and, to the degree possible, provide budget estimates for each of the recommended activities. Additionally, the team should provide the host government with recommendations on how they should proceed with the task of obtaining technical assistance and election commodities. The team may wish to recommend the creation of an independent commission to coordinate communications with potential funders/donors.

V. **Implementing the Assessment: In-Country Reporting and Debriefings**

A. **Reporting on findings to the host government**

In most cases, the assessment team will be expected to meet with officials of the host government at the end of its stay to report orally on the team's major findings and recommendations.

B. **Debriefing with funder/U.S. Embassy/USAID mission**

If the funder of the assessment mission is U.S. AID, team members will be expected to orally debrief USAID and embassy officials prior to their departure from the country. The team should be prepared to outline its findings and recommendations, particularly those regarding possible donor assistance to the electoral process. Often, the funder will expect to receive a written report from the team prior to its departure. The outline for such a report will be clearly expressed in the team's scope of work and in team members' contracts.

C. **Washington debriefings**

When possible, IFES schedules a debriefing for the team in Washington, at the IFES office and, particularly if the assessment is AID funded, with officials of the Department of State and U.S. AID. This, too, is usually an oral debriefing on the team's findings and recommendations.



## VI. ~~Writing the Assessment Report~~

### A. Division of Tasks among the team members

An assessment team may be made up of two to four members. The team should determine a preliminary division of report writing tasks prior to their travel, with the guidance of the IFES Program Officer. When areas of concentration are determined prior to departure, or early in the team's visit, team members should be able to begin writing their sections during the time in-country. Because members of the assessment team are chosen to complement each other's specialties, it should not be difficult to assign portions of the overall task as outlined in the scope of work to individual team members.

Usually, one member of the team is designated as report coordinator. This person is often the team leader. The role of the report coordinator will be specified in the individual's contract, and will generally detail the assignment to coordinate determining writing responsibilities of sections of the report to team members; receiving each member's draft section and ensuring that it fulfills the expectations of the scope of work; and assembling the draft sections into a coherent whole to be submitted as the team's draft to IFES. IFES generally requires that the team's draft ~~report be received by IFES within approximately ten~~ ~~days after their departure from the country where the assessment took place.~~

### B. Table of Contents (Example)

1. Executive Summary *2-p. overview of <sup>major</sup> events*
2. Introduction
3. Context of Democratization
  - a. Relevant facts of country geography and population
  - b. Historical overview
  - c. Recent events in democratization process
4. Legal Context
  - a. Constitution
  - b. Electoral Law



- c. Other relevant laws
- 5. Electoral institutions and officials
- 6. Political parties and campaigning
- 7. Constituency delimitation
- 8. Voter registration
- 9. Poll workers and training
- 10. Election materials, equipment and operations
- 11. Computerization, transportation, communication
- 12. Constituent groups of the electorate
  - a. Women
  - b. Military
  - c. Ethnic/racial minorities
- 13. Election observers
- 14. Review of election budget
- 15. Donor support and assistance
- 16. Recommendations
  - a. Election laws, procedures, policies
  - b. Election material and equipment
  - c. Election budget
  - d. Donor assistance
- 17. Summary
- 18. Appendices
  - a. Persons interviewed
  - b. Organizations contacted
  - c. Samples: forms, ballots, etc.
  - d. Laws and codes
  - e. Other electoral documents
  - f. Media coverage of the team's visit

IFES suggests that the report follow the above format, with each of the 18 elements becoming a chapter in the report. In those cases, where the information for an element is not sufficient for a chapter, IFES



will still expect that all of these topics be covered somewhere in the report. ~~Guidance to style, format and grammar must be provided by the Program Officer in advance of writing the draft report.~~

C. Editing the Report: The role of IFES program staff

Usually, the team's draft report is received by the IFES Program Officer who has been acting as the project manager. That Program Officer also acts as the report editor. The first task of the editor is to determine whether the assessment team has fulfilled its scope of work as defined in the members' contracts by adequately covering all of the specified elements in the draft report. ~~If there are gaps in the information provided in the draft report, the Program Officer should quickly inform the team members~~ ~~for this reason, the Program Officer should not approve payment of consultants' fees until the draft report has been thoroughly reviewed.~~

~~Ideally, the assessment report should be reviewed by at least two IFES staff members in addition to the Program Officer responsible before it is accepted as final. Usually, the secondary reviewers/editors will be the Senior Program Officer, the Program Director or the Deputy Director. IFES usually delivers the completed report to the funder within three weeks of the assessment team's departure from the country.~~

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## VII. Monitoring and evaluation strategy

Pre-election assessments can and should be evaluated on several levels, using a variety of evaluative tools, with several different audiences and purposes in mind. Each type of evaluation listed below is described in terms of the questions: 1) What is being evaluated? 2) Why is it being evaluated? 3) How is it to be evaluated? and 4) Who is the audience for the evaluation and how is the evaluation passed on to the relevant audience?

### A. ~~Evaluating team members' performance.~~

The performance of each individual assessment team member should be evaluated, for two primary purposes:

- a) to assess whether the scope of work and other formal expectations have been fulfilled sufficiently to justify payment of consultant's fee; and
- b) to leave an evaluative record of the consultant's work in his IFES file. This will provide an audit trail for the Consultant's SOW and performance review by funder (if required) and to better judge the consultant's suitability for future IFES assignments.

The IFES Program Officer who managed the assessment project should solicit feedback from the USAID mission, the U.S. embassy or other funder with whom the consultant interacted in the field, regarding the consultant's performance according to the pre-established criteria: a strong command of English and the official language; positive interaction with host country officials and USG officials in-country; and substantive contribution to the tasks outlined in the scope of work. Program Officers should add their evaluative comments on those performance criteria, based on Washington briefings and debriefings and on the assessment report.

~~The Program Officer's evaluation of the assessment team members should be written and placed in the consultant's confidential file at IFES.~~

## B. Evaluating project design and support

IFES' project design and support to the assessment team should be evaluated by the team members with the primary evaluative criterion being: Did IFES enable the consultants to do as good a job as possible in carrying out the assessment? The purpose of this evaluation is to give feedback to IFES on its general administrative procedures in designing and supporting a pre-election assessment, so that the design and support can improve with future assessments.

The Program Officer asks the assessment team members to give feedback for this evaluation after the completion of the assessment project, requesting that they give a written response evaluating project elements such as:

- a) make-up of the assessment team: size; complement of skills, of personalities; appropriateness of choice of team leader and report coordinator
- b) preparations for the assessment: briefing book; accuracy of verbal description of project task; quality and applicability of Washington briefings
- c) IFES support to team while in-country
- d) length of stay in-country
- e) length of time given for consultant's report writing
- f) overall project design: feasibility and appropriateness of scope of work

The team members' written evaluation should be sent to the Program Officer, who will share the comments with other program staff and use the consultants' suggestions to make improvements in assessment project management.

## C. Evaluating project's responsiveness to funder's and host country's needs

The project as a whole should be evaluated according to how well it responded to the needs of the host country and the funder. Evaluation of this question can be profitably carried out both immediately after the completion and following delivery of the assessment report, and several months later.

## 1. Immediate project evaluation

The evaluative questions that the IFES Program Officer should discuss with the project funder, and to the extent possible host government officials, include:

- Was the project scope of work sufficiently comprehensive and sufficiently focussed to meet the needs of the funder and the host country?
- Were the individual objectives of the scope of work fulfilled, through the assessment team's work in-country and through the assessment report?
- Was the IFES response to the need and the request for a pre-election assessment generally satisfactory?
- What, if any, are the near-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in their preparations for elections?

The means for gathering answers to these questions, from the funder and from host country officials, may vary. Informal means, such as telephone calls, often can solicit a more frank and comprehensive response. It is important, however, to solicit written responses to these questions, if possible.

The funder and host country evaluation of the project should be collected, recorded in writing (if given verbally), commented on by the IFES Program Officer, and included in the permanent project file. A copy is also placed in the evaluation file in the Director's office, where it can be shared with other IFES staff members, funders, and board members, as appropriate. The funder and host country evaluations should also be presented at the project evaluation meeting convened by the regional Program Director. (See item D, below.)

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2. Longer term project evaluation

To evaluate the effectiveness of the assessment mission and the assessment report in furthering progress toward democratic elections in the host country, both from the perspective of election preparations and election assistance, it is useful to solicit feedback from the USAID mission, U.S. embassy, or other funder within two to four months after the report has been delivered. ~~One tool~~ for gathering that feedback might be a ~~questionnaire~~ such as the following, to be sent to the U.S. ambassador, DCM, political officer, USAID director, or other appropriate representative of the funding institution. If possible, a similar questionnaire should be sent to an appropriate host country official(s) as well.

1. Briefly, how have election preparations progressed in the host country since the assessment team's visit? (e.g., revision of electoral code, appointment of Electoral Commission, registration of voters, the holding or postponement of scheduled referenda or elections).
2. What further assistance (material, financial, technical) has been provided to the Government's election preparations since of the IFES assessment?
3. How was the IFES Pre-Election Assessment Report used in guiding the Embassy/USAID mission/other funder in providing follow-up assistance?
4. If an external donors' conference was held subsequent to the receipt of the IFES Pre-Election Assessment Report in the host country, how, if at all, was the Report used as an aid to donors' discussions regarding assistance to elections?
5. In general, how would you characterize the response of the host country government to the IFES Report?
6. To your knowledge, was the IFES Report used as a planning tool or a catalyst for discussion and action by government officials responsible for election administration? Did the Report produce any discernible effects on the Government's planning, policy, or procedures related to the election process?



7. How widely distributed was the IFES Report to individuals and groups outside the Government? In general, how would you characterize the response of non-governmental groups and individuals to the Report? What use, if any, did these groups or individuals make of the Report?
8. On a 1-10 scale, how would you evaluate the effectiveness of the assessment team's visit in meeting out the objectives set by the U.S. Embassy/USAID mission/other funder? Explain.
9. On a 1-10 scale, how would you evaluate the effectiveness of the assessment team's visit in meeting out the objectives set by the host country government? Explain.
10. On a 1-10 scale, how would you evaluate the effectiveness of the IFES Assessment Report in addressing the needs and the concerns of the U.S. Embassy? Explain.
11. On a 1-10 scale, how would you evaluate the effectiveness of the IFES Assessment Report in addressing the needs and the concerns of the host country government? Explain.
12. On a 1-10 scale, how would you rate the expertise and the professionalism of the assessment team, as reflected in their work in-country and in their written report?
13. What were the most notable weaknesses of the assessment team? The assessment report?
14. What were the most notable strengths of the assessment team? The assessment report?
15. Do you have any other comments on the IFES Pre-Election Assessment Project in the host country? (regarding, e.g., the length of stay, the timeliness of the visit, etc.)
16. How would you evaluate your dealings with IFES Program Staff in Washington? What recommendations would you make for improvement in the manner in which IFES responds to pre-election assessment request from U.S. Embassies (or USAID missions)?

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#### D. Evaluating project fulfillment of IFES' objectives

IFES implicitly or explicitly sets institutional objectives for each project that it undertakes, including pre-election assessments. ~~At the completion of the project, the relevant~~ IFES staff should gather to review those objectives and to evaluate whether they have been accomplished. Institutional objectives for carrying out a pre-election assessment might include the following:

- to satisfy a request from a funder with whom it is important to maintain or build a good relationship;
- to lay the groundwork for further short- or long-term assistance in the country or for an upcoming observation mission;
- to fulfill in part the IFES annual workplan;
- to generate the revenue that comes from the overhead category in the project budget;
- to provide assessment experience to an IFES staff member or consultant.

An evaluative discussion regarding each project should be convened by the regional Program Director, to include representatives from program staff, financial and administrative staff, and executive staff, to examine how well the project has fulfilled the institutional objectives of IFES. Such discussion should determine whether a project has been profitable, in every sense of the word, to IFES and whether similar projects should continue to be undertaken.

**HOW TO ORGANIZE AN  
ON-SITE TECHNICAL ASSISTANCE PROJECT**

## HOW TO ORGANIZE AN

## ON-SITE TECHNICAL ASSISTANCE PROJECT

### INTRODUCTION

Project work begins with planning. Elections are uniquely administered events where months of planning culminate in a single day's or several days' activities. Planning is reflected in any support provided, and planning is consequently a major component of election project work.

The planning process begins with a pre-election assessment. Guidelines for conducting such an assessment are discussed in IFES' *How to Organize a Pre-Election Assessment* manual. These assessments are extremely valuable in providing a "snapshot" of the conditions and institutions at a given point in time. Given the nature of on-site assistance work, however, assessment of the electoral process must continue throughout the project. Setting up an on-site assistance project to implement the pre-election assessment recommendations also requires field work, budgeting, analysis, and scheduling. It involves a level of operations of its own in order to be completed.

This manual is intended to present guidelines for a project structure which can be both standardized yet adaptable to different levels of need. The use of "project modules" allows Program Officers to select and administer one or several standard modules of project involvement depending upon the scope of work defined by the project funding source and the IFES pre-election technical assessment.

On-Site Technical Assistance Project  
Project Administration Manual

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# HOW TO ORGANIZE AN ON-SITE TECHNICAL ASSISTANCE PROJECT

## I. Project identification, design, and management

### A. Project Identification

#### 1. Satisfaction of IFES pre-conditions for undertaking an on-site assistance

##### Project

- Invitation from the host government
- A democratizing country
- Funding available

Rendering appropriate technical assistance to requesting countries is a basic tenet of the International Foundation for Electoral System's (IFES) philosophy. Assistance should be considered appropriate when it is tailored to the specific needs of each country, when it takes into consideration the long-term goal of building a sustainable institutional base for a democratic electoral system, and when it is provided at the request of the host government. It is not the policy of IFES to provide on-site technical assistance to a country whose government has not extended an invitation, either through the U.S. Embassy or the USAID mission, through another organization which will be co-sponsoring or funding the project, or to IFES itself. IFES must also be assured of the host government's demonstrated and continued commitment to the implementation of free and fair elections before beginning any substantive project. There should be sufficient time prior to the elections for the project to succeed. It is also IFES' general policy not to provide on-site technical assistance without the benefit of a pre-election technical assessment, although limited requests for specific commodities or consulting assistance on specific topics may be accepted on a case-by-case basis if evidence is readily available that would justify such assistance.

Funding for projects must also be identified before work is begun, as they cannot be funded strictly from overhead. Potential sources of funding include U.S. AID, the National Endowment for Democracy, the United Nations, and private foundations and corporations.

#### 2. IFES objectives in undertaking this project

- a. Why did IFES respond positively to the request to undertake this on-site assistance project?
- b. What are IFES' institutional objectives for this project?

IFES provides on-site technical assistance to accomplish any of several possible objectives. Most importantly, IFES has been chartered ~~to advance the electoral process in evolving free and democratic societies~~; therefore, on-site assistance generally fulfills an important aspect of IFES' mandate. IFES would also initiate an on-site technical assistance project at the request of a donor or country with whom it was important ~~to maintain or develop a long and valued relationship~~.

On-site technical assistance projects often lead to ongoing relationships with the electoral authorities of a country, thereby laying the groundwork for future work in that country. They also afford an unparalleled opportunity to gather materials and information on different electoral models which can later be shared with other countries. On-site projects also generate contacts with individuals working with other assistance organizations or even local or national electoral officials who could work with IFES to provide assistance in other countries.

Each project should recover all direct and out-of-pocket costs and also ~~generate support for IFES' core administration, Resource Center, and information dissemination activities~~, thereby achieving another objective of the IFES annual operating plan.

It is essential that IFES be clear and explicit about its objectives in carrying out each project prior to the design and implementation phase. Clarity is critical when determining the scope of the project, when resolving any potential conflict with the project funder, and especially when evaluating the project to determine if all objectives have been fulfilled.

**B. ~~Scope of work~~**

**1. ~~Goals, objectives, activities:~~**

- a. ~~Are they mutually satisfactory~~ to IFES and to funder?
- b. ~~Are they feasible,~~ given constraints?
- c. ~~Are there criteria~~ for evaluation?

Once IFES and the project funder agree on basic terms of reference, IFES project staff can begin to develop detailed goals and objectives and a preliminary project workplan, including implementation timetable. Certain elements of a project are essential to meeting IFES' objectives, such as expanding the information base in the IFES Resource Center; others may be incorporated at the suggestion of the funder



or by the funder on behalf of the host government. It is imperative that all parties concerned - IFES, funder(s), and host country government - achieve consensus regarding mutual expectations and constraints before the project begins.

The objectives of the project, as reflected in the scope of work or terms of reference for the project team, must be written so that they indicate clearly what the funder expects from IFES and what IFES expects from the team members, including consultants, who will be carrying out the project. They also should be written so that their accomplishment is measurable, both by IFES and by the funder. In the evaluation phase of the project, both institutions should be able to identify and quantify clearly the degree to which objectives were met.

For planning purposes, the modules of on-site technical assistance project involvement can be defined as follows:

- Commodity assistance - provision of election equipment, supplies, and services, from ballot boxes, ballot paper, and staining ink to transportation of commodities or data processing. With this activity comes the responsibility of seeing that equipment and supplies are properly purchased, shipped, inventoried, warehoused, deployed, used, and (in some cases) recovered.
- Communications assistance - development of a communication strategy for an election authority, which may include recommendations on specific applications, equipment, protocol, deployment, and technology mix, and acquisition of equipment approved by the funder.
- Data processing assistance - analysis, support, or administration of the data processing functions of an election authority, including voter registration, vote tabulation, geographical mapping, inventory, logistical tracking, personnel planning, and polling station reference information.
- Logistical planning - analysis, planning, or management of the movement of people and supplies in the administration of the electoral process. This includes recommendations



on an election calendar, packing and shipping techniques, shipment security, polling station identification, polling station configuration, polling station workflow, methods of transportation, inventory, supply tracking, and budgets.

- Procedural planning - development of forms and administrative procedures which provide controls on the electoral process, which may include voter and candidate registration, or streamline older cumbersome processes which may inhibit the flow of voters in and out of a polling station.
- Statutory planning - ongoing assistance in the development of a statutory framework for the holding of elections, covering areas such as procedures for voter registration, identification of offices to be filled through elections, type of ballot and vote tabulation process, declaration of winners, recount procedures, and election certification.
- Poll worker or Election Administrator Training - analysis and support of an election authority's training program. This can include recommendations on poll worker or staff recruitment, the development of print, audio, and video training materials, or curriculum, methods, timetable, recruitment objectives, and budgets. The management and conduct of poll worker training programs are often funded as a separate project. (See related *How to Organize a Poll Worker Training Project* manual.)
- Voter Education - assistance in developing a variety of non-partisan informational messages in print and video media concerning the voting process, such as how to vote, where to vote, procedural instruction, and motivating voters to go to the polls.
- Observation - assistance in the logistical and technical aspects of having international observer teams present. This may include assistance to the electoral administration in resolving last-minute problems by having on-site technical assistance project staff present on election day.
- Donor Coordination/Solicitation - establish and maintain relationships with other donor organizations supporting or potentially interested in supporting the election process.

- Miscellaneous Consulting - other consultant and vendor-based tasks which may be required during a project.

As part of the scope of work, the type of on-site staffing must be decided. There are four options:

- 1) local staff;
- 2) traveling consultants;
- 3) resident consultants; or
- 4) some combination of the above.

If there is a decision to open an office, the overhead and responsibilities associated with such a venture must be budgeted. However, if regular technical assistance is being provided to the election authority, a request should be made for office space within its facility. This will facilitate better communications and stronger working relationships between IFES representatives and local election authority staff. In addition, a significant proportion of the expense of operating an independent office may be eliminated.

#### Prepare job descriptions

1. IFES/On-site Team
2. IFES/Washington

The project team includes both on-site personnel and IFES/Washington staff. The size of the project team will vary depending on the length and complexity of the project and may expand or contract during the course of the project, depending on task requirements and funding. One individual might be able to handle all aspects of a small project, while the on-site staff for a major project might consist of:

- Project Manager (or co-managers alternating time in-country) -- The project manager will act as the team's primary spokesperson while in-country, and will be responsible for bringing the team to consensus on its procedures, priorities, and activities. The project manager serves as the contact for the Program Officer in-country and should be able to provide administrative direction for the team while in-country. Project managers are usually expected to have previous IFES experience. The project manager will also normally coordinate the drafting of the final project report, although the Program Officer may assume this responsibility directly or designate another team member to do so.

- Civic Education Specialist and Assistant -- The civic education specialist is responsible for coordinating all IFES-sponsored civic or voter education activities with the electoral authorities and counterpart organizations. (These activities may be funded through a separate project; see the *How to Organize a Program in Civic Education* manual.) This individual will develop or assist others in developing appropriate civic education materials, supervise their production, and plan and direct their distribution or dissemination.
- Poll Worker Training Specialist and Assistant -- The poll worker training specialist is responsible for coordinating all IFES-sponsored poll worker training activities with the electoral authorities and counterpart organizations. This individual will develop or assist others in developing appropriate poll worker training materials, supervise their production, and plan and administer training seminars. (These activities may be funded through a separate project; see the *How to Organize a Poll Worker Training Project* manual.)
- Media Specialist -- The media specialist is responsible for assisting the electoral authorities in preparing materials for release to the media and for working with the media to ensure the widest dissemination possible of news items related to the elections process.
- Financial Manager -- The financial manager is responsible for monitoring all financial activity involving the on-site office. The FM will track all advances to and expenditures by the on-site office, prepare actual vs. budget reports for use by the project manager and Program Officer, and work with the Program Officer to prepare estimates of budget requirements through the end of the project. This individual also responds, in coordination with IFES/Washington, to requests for information from the local financial staff of the funding agency.
- Office Staff (secretary, office manager, driver, expeditor, etc.) -- The office staff is responsible for making logistical arrangements for the on-site staff (hotel, vehicle rental, travel, etc.) and performs other duties as assigned by the project manager or other on-site staff.

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- and others as appropriate.

IFES/Washington staff involved in the project will generally include:

- Program Officer -- The Program Officer will generally be either a Program Officer or Senior Program Officer in charge of the project and is the principal point of contact in Washington for the project team. The duties of the Program Officer in relation to the project are laid out throughout this manual.
- Project Assistant -- The project assistant is usually asked to maintain project files, monitor progress on the project, coordinate team travel with the administrative assistant, develop procurement specifications, analyze bids, review invoices and expense reports, and draft narrative reports as directed.
- Finance Staff -- The director of finance assists the Program Officer in developing an initial budget and any subsequent budget amendment requests and approves the final versions of these before they are submitted to senior staff for signature. The project accountant and bookkeeper perform duties related to the project as assigned by the director of finance and administration.
- Senior Staff -- The director of programs is the immediate supervisor of the Program Officer and should monitor progress on the project through regular program staff meetings. The Program Officer should report any problems encountered to the program director for further action. The chairman, director, or their designated representative are the only individuals authorized to sign any contract or agreement on behalf of IFES. Items requiring their signature should be routed through the executive assistant.

Once position descriptions have been completed, a scope of work should be drafted to support the process of selecting the project team. The selection process is described in II. Select Team.

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- D. Prepare Budget**
- ~~Develop project budget for on-site assistance projects~~
  - ~~Negotiate budget agreement with funder~~

As the terms of reference and objectives of the project are defined, IFES project staff must begin to develop a project budget. This budget should cover all anticipated direct and indirect costs, based on previous IFES experience and additional information provided by the funder or the host government. Project budget information for equipment (a capital account) and supplies (items which are consumed during the election) can be established on the basis of experience gathered from election to election. Backup documentation and the basis of estimation for individual line items should accompany the budget.

A primary objective of the budget process is to make the proposed budget as complete and realistic as possible, since it will serve as the basis for negotiation with the funder(s) in determining the final project scope and budget.

A copy of the IFES On-Site Technical Assistance boilerplate budget is included as an attachment to this document. The proposed project budget should be drafted in cooperation with the IFES Director of Finance and Administration. The budget is included as part of the project proposal and is subject to review and approval by IFES executive staff as well as the funder.

**E. Negotiate other project parameters**

**I. ~~Make arrangements with host country~~**

- ~~Determine the primary point of contact in the government for the on-site team~~
- b. Determine the primary point of contact in the election commission for the on-site team
- c. Determine the primary point of contact at the Host Country embassy in Washington for IFES/Washington staff
- d. Review other understandings such as customs clearance and title to equipment

As IFES discusses the scope of work of an on-site assistance project with a USAID mission, a U.S. embassy, or another funder, it is essential that the host government be brought into the discussion, either

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with IFES directly or through the funder as intermediary. ~~IFES should request copies of correspondence between the funder and the host government regarding the initiation of the project~~ and the understanding that the government has regarding the objectives and priorities of the project. Also, the funder should be asked to provide a written summary of its discussions with the host government and a list with names and titles of government officials who will be the project team's primary or initial points of contact. This written documentation should spell out the kind of assistance, if any, that the project team should expect from the government, such as local transportation, office space, or assistance in arranging meetings with officials inside and outside of the government.

### ~~2. Make arrangements with U.S. Embassy or USAID mission.~~

~~Discussions with the funder and/or the U.S. embassy should also clarify the degree and kind of support that they intend to provide~~ for the team, such as car and driver, office space, access to communication facilities, or the facilitation of contacts with information sources in-country. If the project is AID funded or if judged to be appropriate, the USAID mission and/or the embassy may be requested to make reservations for the team at a suitable hotel in the capital and to meet the team upon their arrival at the airport.

As soon as both IFES and the funder are in general agreement with the arrangements spelled out in the proposal, IFES should request authorization to begin expending funds on the project. If the project is funded by USAID, a Project Authorization covering the proposal should be filled out and sent to the appropriate AID/Washington representative. This will meet AID's requirements for its Core support. Authorizing documents for other funders/donors (UN, Host Country government, etc.) will be prepared as required.



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## II. ~~Select Team~~

- A. ~~Establish~~
1. ~~language(s) of target country~~
  2. ~~ability to write in English (for reporting purposes)~~
  3. ~~country knowledge and/or experience~~
  4. ~~election administration knowledge and/or experience~~
  5. ~~knowledge of election commodities~~
  6. ~~knowledge of election law~~
  7. ~~training experience~~

On the basis of the position descriptions, goals, and objectives developed, the Program Officer should begin to identify those consultants who may be best suited to accomplish the mission. The team should have sufficient background and experience to ensure that all aspects of the project will be completed satisfactorily.

The project team must have certain skills, such as language capability; knowledge of the country, including in-country or regional experience; election administration experience; more general experience in the democratic process; and familiarity with election law and related issues. In some cases, more specialized skills will be required for a particular project, such as knowledge of computers, commodities, or training. Depending on the country, some skills may be difficult to incorporate into the project team. It is important that consultants be selected according to how their collective skills may be applied to complete the scope of work and (if applicable) how they can best perform as a team. The Program Officer should consider as many combinations of consultants as possible and always be prepared with alternate selections.

## B. ~~Survey database and other sources for candidates~~

The initial step in the selection process should be a search of the IFES Resource Center Database. Information on consultants who have been part of prior IFES projects or who have provided detailed information on Individual Data Sheets will be available on-line to IFES program staff. Consultant information may also be gathered through conversation with other Program Officers or through Program



Officers' previous experience. Secondary sources include ~~universities, private consulting firms, or referrals~~ from other IFES consultants.

C. Establish performance criteria

Whatever a team member's special skills, they should have adequate command of English, both orally and in writing. The project manager should have excellent command of the host country's official language, at least orally, and each team member should be expected to interact with host government officials and U.S. government representatives effectively and with sensitivity to the country's culture. A team member will also be expected to contribute substantially to the team's completion of the scope of work and the project objectives as set forth in the project proposal. It should be made clear to all concerned that these expectations will be foremost among the criteria on which the consultant's performance will be evaluated.

~~D. Interview candidates~~

1. Ascertain interest and availability
2. Determine level of language skills
3. Obtain writing sample

Each potential consultant should be interviewed, perhaps more than once, with a foreign language component if the Program Officer is unsure of the consultant's skills in that area. An Individual Data Sheet must be completed if one has not been submitted previously, and a writing sample should be obtained if possible.

Logistics questions should be included in the interview:

- How does the consultant respond to the ~~time commitment~~ requested?
- How rigid is the consultant's schedule immediately following the close of the project?
- What kind of advance preparations do they need to make?

**E. ~~Negotiate terms of contract~~**

Following the initial selection, the Program Officer should ask the consultant to complete a Contractor ~~Biographical Data Sheet~~ (This form is optional for privately-funded projects but provides useful backup information.) On the basis of the response, the contracting officer will calculate the maximum daily rate which can be paid and should then contact the consultant directly to negotiate the consultant's daily rate. It is important to note that IFES may be able to obtain some consultants, such as permanent employees of national election commissions, on loan from their current positions, in which case the normal arrangement is for IFES to cover travel and per diem expenses only. The Program Officer needs to be assured that the consultants will be able to complete the scope of work in the time provided and for the amount specified in the budget.

**~~Request approval from funder~~**

~~Final selection of members of the project team is usually subject to the approval of the funder~~ and/or the U.S. representative in the field. In some cases, if the project is AID funded, approval from the U.S. embassy and USAID mission as well as AID/Washington technical and grants officers is required. Request for approval is normally accompanied by documentation of the proposed consultant's salary history and (for AID funded projects) by two authorization forms, the Authorization to Subcontract and the Travel Authorization.

Approval from the funder is based on qualifications as well as the proposed consulting fee. Field approval is usually granted on the basis of the team members' qualifications as reflected in their resumes or other documentation. The request for approval from the field is usually considered a simultaneous ~~request for country clearance~~ ~~if this is required~~. Until approval for consultants is received from the field and/or the funder, it is important to remind the potential consultant that IFES' intention to contract with the consultant is conditional. To minimize potential conflicts, consultants should not begin travel or work until consulting agreements have final approvals.

**Prepare and execute contract**

Once the funder's approval is received, the contracting officer should prepare and execute the contract with the consultant. Only the chairman, director, or their designated representatives may sign contracts on behalf of IFES. One signed original is placed in the individual's contract file, and the other is returned to the contractor. Program Officers should retain copies of contracts in their project files for future reference.

### III. ~~Pre-departure (Team) management~~

#### A. ~~Have travel coordinator arrange travel, shots, visas, advances~~

Many tasks must be completed before the team arrives at IFES offices and before departure for the destination. Once team members are identified, they should be contacted by the IFES Administrative Assistant to make arrangements for air travel, visas, inoculations, medical insurance coverage and lodging arrangements. Travel Advances are determined by the Administrative Assistant, who is also responsible for ensuring IFES compliance with all applicable regulations regarding travel and per diem. For this reason, it is preferable that the Administrative Assistant, rather than the consultant or program staff, make these arrangements.

#### B. ~~Coordinate preparation and distribution of briefing book, which should include:~~

1. Project proposal, including SOW
2. Pre-election assessment report
3. Correspondence with funder and/or host government
4. Consultants' resumes
5. Time sheets and travel expense reports
6. Background information on country
7. Reference materials

Briefing books should be prepared for each team member, with an additional copy for the Resource Center. The briefing book should include, in the following order:

- ~~Project Proposal and Consultant's Scope of Work~~
- ~~Relevant Correspondence~~ between IFES Washington office, funder, and the host government
- ~~Team members' resumes~~
- ~~Background information on the country~~
- ~~News articles on the democratization~~ and election process
- ~~A copy of any pre-election assessment~~ report on the country
- ~~Time sheets and travel expense reports~~

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The IFES logo consists of the letters "IFES" in a bold, sans-serif font, with a stylized graphic element below it that resembles a globe or a series of curved lines.

- ~~Reference materials~~, such as the constitution and electoral law of the target country, sample civic education materials, sample laws or other documents from other countries, sample registration materials, ballots, and forms from other countries, and recent price quotes for election commodities.

Each team member should receive their briefing book with enough time to review it before arrival at the IFES office.

**C. ~~Issue supplies and equipment~~**

The administrative assistant, Program Officer, and/or program assistant will turn over to the project manager one or more packages of supplies and equipment and review instructions for obtaining additional items if necessary. The Program Officer should also ensure that the team members are familiar with any computer hardware or software provided. Software should be compatible with IFES/Washington equipment if possible.

If a local office is to be set up for the on-site project staff, the Director of Finance and Administration will review the local office operations manual with the project manager.

**D. ~~Set up team planning meetings~~**

1. at IFES
2. with funder
3. Country-specific briefings

To the extent feasible, the two days prior to the team's departure are reserved for briefings and planning meetings in Washington, D.C. This time allows the team members to meet each other, IFES staff to brief the team, and any last-minute information, instructions, and concerns to be shared.

During the briefing day(s), the team will meet with several members of IFES' staff. Team members are briefed on IFES philosophy and guidelines for conduct in-country. Each team member's responsibilities are also outlined in this meeting. In addition to the briefing books, team members are provided at this time with any additional resource materials available in the IFES Resource Center which are of potential

use in carrying out the project, such as examples of civic education materials, electoral laws or constitutions from other countries, sample registration material, ballots, or other forms, and price quotes for commonly referenced election commodities.

The IFES Program Officer and team members should review the objectives of the project and a preliminary project workplan, including an implementation timetable, to confirm the connection between the project proposal and each individual's scope of work. By the end of the meeting, each participant should have a clear understanding of their role within the team. Team members should be reminded that responsibilities may need to be reassigned among team members by the Program Officer and project manager on the basis of workloads and conditions as in-country work progresses.

~~The Program Officer should also review communications, administrative, financial, procurement, security, and personnel procedures, requirements and procedures for travel outside the capital, and the relationships and communications between IFES' local and Washington offices and between IFES and host country local election officials, the local USAID mission or US Embassy, and others (OAS, UN, etc.).~~ The Program Officer should take time to outline both the requirements for routine reports (both for IFES and as required by the funder) and the procedures to be followed to report any emergency situation. It is also important to review project wrap-up procedures, even if the project is expected to last several months or more. Items to be covered include asset recovery if commodities are to be supplied, local office shutdown, audit requirements, the format and contents of the final project report, and the project evaluation process outlined at the end of this manual.

~~The administrative assistant and contracts officer will brief team members on their travel advances, with instructions regarding completion of time sheets and expense reports. Insurance coverage and emergency information should also be part of this meeting.~~ Team members, after reviewing contracts with the contracts officer, should sign them and receive copies signed by a qualified executive staff member.

~~Team members should also visit AID/Washington and the State Department for briefings on the current political and security situation and, if the project is AID funded, to review and confirm AID expectations for the project.~~ These meetings are also an opportunity for State and AID officials in Washington to become familiar with the team and review the host country's expectations of the team. It is a time for



the team members to ask any questions they might have about their scope of work or about the country's current political climate.

~~The final set of briefings consists of visits to the host country's Washington embassy and any other persons that the Program Officer believes may provide substantive country information.~~ These persons include professors, consultants, or anyone else who has significant country experience.

The administrative assistant or Program Officer should have adequate in-country hotel and telephone information for team members and their families prior to or at least by the day of the team's departure. Team members should be directed to communicate safe arrival in-country directly to IFES or through the U.S. embassy or USAID mission.

#### IV. ~~Post-departure team management~~

- A. ~~Monitor routine reports from team for progress~~
- B. ~~Report to funder as appropriate or required~~
- C. Route information to IFES senior staff as appropriate
- D. ~~Monitor expenses against budget figures~~

Following the departure of the team, the Program Officer monitors the team's activities and functions as the team's primary Washington-based contact, routing reports and requests for additional information and providing guidance and instructions to the team. The Program Officer should communicate with the team as needed to stay abreast of current activities. The Program Officer should refer unusual questions regarding team procedure or unexpected situations to senior staff whenever necessary. In addition, the Program Officer should obtain monthly reports from the finance staff and compare actual project expenditures against the budget and should initiate requests for modification of the budget or scope of work as necessary. The Program Officer is also responsible for fulfilling reporting requirements - weekly, monthly, quarterly, etc. - as set forth in the project agreement. All progress reports should be reviewed by the Senior Program Officer. If the project is of sufficient duration - usually three months or more - the Program Officer in charge should schedule an on-site visit to meet with the election authorities and project team, evaluate progress to date, and gather impressions and information to use in drafting progress reports and any amendment request which might be necessary.



## V. Implementing the project

### A. ~~In-Country Briefings, Introductions, and Protocol Meetings~~

#### 1. Embassy/USAID briefing

If the funder of the project is U.S. AID, then it is most likely that the project team's first activity will be a briefing with officials of the USAID mission and/or the U.S. Embassy. This is an opportunity for the team to formally introduce itself to U.S. officials in-country, and to introduce the project's terms of reference. The team should ensure that there is a mutual understanding of the goals of the project and of the role that the Embassy and the USAID mission will play in facilitating the project work during the team's time in-country. It is helpful to discuss the team's scope of work in terms of what the embassy and USAID mission see as the most important issues to be addressed.

This is also an opportunity for the team to be briefed by embassy and USAID officials regarding the current political events of the host country and the prominent players in the democratic transition and election administration.

#### 2. ~~Meetings with government, electoral commission counterparts, accompanied by Embassy/USAID officials where appropriate~~

When IFES projects are AID funded, it has been the practice for USAID or the embassy to arrange initial protocol and contact meetings with the government ministries and electoral officials with whom the team will be working. Often the first protocol meetings will be with the minister of external affairs and the minister of the interior (or whichever ministry has oversight authority regarding elections). The team should then meet with the director of elections or with the election commission, if one exists. It may be desirable for an official from the U.S. embassy to accompany the team on these first visits, but at the same time, the non-governmental nature of IFES and the non-partisan, non-political stance of the project team should be emphasized.

It is important that the purpose, goals, and terms of reference of the project be clearly expressed at these early meetings with the host government and consistently thereafter. Therefore, the initial introductory statement for the team should be made by the project manager or one individual who has been designated

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by the Program Officer. It is also advisable for the team to have a prepared written statement ready before they begin their host-government meetings. Such a standard statement regarding IFES and the objectives of the project can assist all members of the team in keeping their description of the terms of reference consistent. It can also be used to explain the team's purpose to the press, if appropriate.

Following the introductory meetings, work can begin on the tasks established in the project workplan. As stated earlier in this manual, an on-site technical assistance project can comprise any or all of a number of standard modules, which are now outlined in turn. The following descriptions of the modules are not intended to be exhaustive, but rather to give the Program Officer an idea of the tasks that must be assigned during the course of the project in order to ensure success.

## **B. COMMODITY ASSISTANCE MODULE**

This section is intended to guide Program Officers through the entire process of administering commodity assistance, although some of the early steps may be completed during the pre-election assessment.

### **1. Plan**

The first step in establishing an election commodity assistance program is to develop a master list of items required to administer the election. For analytical purposes, it is useful to divide the items into

- capital equipment (commodities which may be reusable in other elections);
- supplies (commodities which are consumed during the course of the election); and
- services (specialized tasks performed for the election).

The next steps are to inventory existing stocks of goods (a sample inventory form follows this section), determine replacement goods required, ascertain what goods and services can be provided out of the election authority's existing budget, and make recommendations on new goods, services, and technologies which may improve the administration of the election. Technology evaluation is especially critical in such areas as identification card production, voter registration data, radio and telephone communications, and vote reporting and tabulation. Computer and communications assistance are covered separately later in the manual.

Once the IFES representative has assessed the extent of the deficit between existing stocks and anticipated needs along with the ability of the election authority to replenish stocks through its own budget, the Program Officer and team leader should attempt to identify other potential donors capable of filling any supply gaps remaining. Other potential donors include the United Nations, US-based groups, regional organizations, and other countries. Relationships with other donors are discussed in detail in a subsequent section.

The next step is for the Program Officer and team leader to develop a schedule for delivery and deployment of goods to be purchased by IFES. For example, supplies for the voter registration process would be required before supplies needed on election day. The schedule for identifying, procuring and delivering goods must reflect the reality of the election calendar.

For capital equipment, the post-election use of the equipment is a question which must be addressed early in the process. While the ultimate decision of post-election use will be made by the funding agency, the Program Officer and project manager should make recommendations based on their knowledge of the situation.

In any case, asset recovery may be required and if so, a recovery plan, timetable and budget should be developed and reviewed with host country electoral authorities. The asset recovery plan should include a designation of which IFES representative will supervise the process. In addition, if outside vendors are to be used, there must be a description of their responsibilities in the recovery process for contract purposes.

## 2. Procure

Once there is agreement between IFES and the host country election authority on IFES providing a particular item, the election authority must initiate a letter of request asking IFES to provide that item. The letter should be addressed to director of IFES or to the Program Officer and include detailed specifications for quantity, size, model, color, features, date required, shipping requirement, and any other specifications, etc. In the letter of request, the election authority should agree to facilitate duty-free entry of the commodities and to complete the appropriate customs paperwork to ensure that the delivery

is processed by customs on an expedited basis. The program and finance staffs can then work together on organizing requests for bids and selecting vendor(s).

A database has been established in the IFES/Washington office to aid in the identification of vendors of election-related products and services. As additional vendors of a particular product category are identified, the sales contact, product, and price information should be sent to the Resource Center for entry into the database.

Samples of items should be obtained in advance of the bid decision so that independent testing or product evaluation can occur under IFES supervision. If possible, these samples and the test results should remain in or be forwarded to the IFES Resource Center after testing for future reference.

After the vendor selection has been made, the team leader should organize training in the use of the commodities. Such training may range from a single instruction sheet to multiple field seminars.

For items of high value, for example capital equipment such as computer or certain radio equipment, or for items which should be transported under tight security such as ballots, IFES couriers should accompany or carry the shipment. IFES Program Officers may also decide to insure valuable equipment during election use, in which case it may be necessary for the team leader to obtain quotations for insurance from local agencies.

When goods are delivered, they should be inventoried by both IFES and election authority representatives. A receiving report, including equipment serial numbers (if applicable) should be executed, signed by both parties. The receiving report must include the following two qualifications to the delivery:

1. The election authority agrees to store the commodities in a secure and suitable environment.
2. The election authority recognizes that the commodities are for use during the course of activities in the present election cycle and that title remains with IFES or the funding agency unless or until other agreements are negotiated.

### 3. Deploy

Receiving reports should be sent by facsimile to the IFES/Washington upon completion. Originals should be delivered to IFES/Washington in person or mailed from the U.S. whenever possible unless otherwise specified by the funder for audit purposes.

Once the goods are delivered, appropriate storage facilities and recordkeeping are essential. Storage facilities must possess adequate security and environmental control to assure that the equipment and supplies are not damaged or lost while in inventory. Equipment such as computers and supplies such as film and staining ink may require cool, dry storage environments. Extensive periods of storage are not recommended for any item. Careful recordkeeping is necessary to avoid any dispute regarding the ownership or use of any item.

If the election process is postponed, it may be necessary to store equipment and commodities for an indefinite period of time. If possible, they should be stored under lock, key, and seal. If this is impossible, the on-site team should perform spot checks and inventory counts of goods in storage.

### 4. Recover

Following the election, it is critical to move quickly to recover any assets the funder wishes recovered. Asset recovery generally requires IFES-contracted transportation and storage. Project records must note the general condition of returned equipment, any missing equipment, and who had custody of the equipment. A local police report regarding any stolen or vandalized equipment is generally required.

### 5. Evaluate

For all items supplied, a usage report should be prepared, comparing the expected use of the item versus its actual use. For supply items, the usage report should include the beginning and ending inventory figures. For equipment, the report should include hours of use and number of users.

A review of the performance of the equipment, supplies, or services should be conducted to document the performance of the vendor, manufacturer, or product. Such a review should discuss whether the

vendor delivered the product or service on schedule and if it was correctly installed. For equipment, it should state whether the warranty period was honored by the manufacturer. If equipment service was part of the package, the review should evaluate the quality of the service program. If environmental factors affected the performance of the equipment, this should be noted in the review as well.

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Pre-Election Commodity Inventory Supplement

<u>Item</u>	<u>Quantity Needed</u>	<u>Quantity In Stock</u>	<u>Quantity To Be Bought</u>
<b>Equipment</b>			
Voting Machines			
Vote Counting Machines			
Ballot Boxes			
Padlocks			
Voting Booths/Screens			
Cameras			
Photo Die Cutters			
Laminating Machines			
Computer Equipment			
Software			
Radio Equipment			
Fax Machines			
Cellular Telephones			
Video Players			
Video Monitors			
Photocopiers			
Microfilm Readers			
Lamps			
Generators			
<b>Supplies</b>			
Ballot Box Seals			
Staining Ink			
Film			
Blank ID cards			
Laminate			
Paper			

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Ballot Paper  
Envelopes  
Office Supplies  
Rubber Stamps  
Security Bags

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**IFES**  
FOR 24



## Post-Election Commodity Inventory Supplement

<u>Item</u>	<u>Quantity Supplied</u>	<u>Quantity In Stock</u>	<u>Quantity Used</u>
<b>Equipment</b>			
Voting Machines			
Vote Counting Machines			
Ballot Boxes			
Padlocks			
Voting Booths/Screens			
Rubber Stamps			
Cameras			
Photo Die Cutters			
Laminating Machines			
Computer Equipment			
Software			
Radio Equipment			
Fax Machines			
Cellular Telephones			
Video Players			
Video Monitors			
Photocopiers			
Microfilm Readers			
Lamps			
Generators			
<b>Supplies</b>			
Ballot Box Seals			
Staining Ink			
Film			
Blank ID cards			

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 JFES

Laminate

Paper

Ballot Paper

Envelopes

Office Supplies

Security Bags

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## C. COMMUNICATIONS ASSISTANCE MODULE

Within the context of commodity assistance, one specialized area of need is often communications. Communications are critical to electoral administration, and more so when a country's transportation infrastructure is poor. Reliable communications are necessary for all phases of electoral administration, from organization of voter registration efforts to election-day supervision and problem reporting to transmission of election results. Each use of communication has distinct security requirements as well.

### 1. Plan

If support for the communication function of the election authority is part of the technical assistance project, then a communications system plan should be developed. A plan should identify the elections authority's specific needs, evaluate the existing infrastructure in terms of whether it should be integrated into a larger election administration network, upgraded to meet election needs on its own, or replaced, and make recommendations on new technologies to be introduced. There should also be an evaluation of the capabilities of the election authority to manage, operate, and maintain the equipment.

If remote bases for communication devices are envisioned, the IFES representative should make on-site visits to the potential locations if possible and assess them for electric power, environment, security, and accountability. Specific strategies and equipment uses must be defined.

Because of the sensitive nature of radio communications for election related communications and election results, certain standards of operation must be in place for radio to be considered a secure medium of transmission. Such standards involve procedural and equipment-related issues. Procedural issues are those such as the use of call signs for each user. For the reporting of election results, authentication codes must be developed and used to validate a transmission. In these cases, a unique code is established for each polling station. This code must be transmitted with the election results. On the equipment side, security can be enhanced by utilizing encryption devices to scramble and unscramble transmissions. Critical periods of transmission can be tape recorded to provide an audio document of the discussion or reports.

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The electoral authorities should request (usually from a government agency) several exclusive frequencies for High Frequency and Very High Frequency networks, depending upon the number of radio units in the field and the times of day that the frequencies are to be used. It may also be necessary to assign certain frequencies to particular radio units in order to keep priority channels clear of routine traffic.

On the basis of these recommendations, a communications budget can be developed. Before the Program Officer can proceed with the procurement process, it is necessary to obtain a letter or request from the election authority. The letter should contain specific product information and the provisions as stated in the commodities section. A usage agreement should be developed and executed with the election authority. This agreement spells out the parameters of legitimate use of the communications network and states any specific prohibitions, such as military or other inappropriate use of the radio, fax, telephone or other communication system(s). Staffing and service responsibilities should also be stated. This document should be signed by representatives of both IFES and the election authority.

## 2. Procure

In general, such a procurement follows the same guidelines as any equipment procurement; in this case, though, the issues of insurance, asset recovery, and post-election use are even more critical and must be decided upon in conjunction with the funding agency.

After the vendor selection is made and the equipment delivered, an IFES representative must inventory the goods with someone from the elections authority and execute a standard receiving report.

The frequencies assigned to the electoral authorities must then be monitored for quality under daytime and nighttime conditions, in various locations, and with each type of equipment to be used before being employed on a day-to-day basis. If the equipment is stored prior to use, those units in storage should be rotated with those in use for testing purposes. Only after all equipment has been tested should final payment be made.

Training is as critical with communication equipment as with any other resource. Training manuals which address the entire system use must be developed to instruct the users on operations, protocol,

trouble shooting, and other responsibilities associated with participating in the communications network. A sample radio system manual is available in the IFES Resource Center for reference.

### 3. Deploy

Receiving reports should be sent by facsimile to the IFES/Washington upon completion. Originals should be delivered to IFES/Washington in person or mailed from the U.S. whenever possible unless otherwise specified by the funder for audit purposes.

Once the equipment is delivered, appropriate storage facilities and recordkeeping are essential. Storage facilities must possess adequate security and environmental control to assure that the equipment is not damaged or lost while in inventory. Careful recordkeeping is necessary to avoid any dispute regarding responsibility for any item. A sign-out log should be used to keep track of all radio equipment; a sample is appended to this manual. Similarly, a trouble report should be required in the event of any theft or damage to IFES-procured equipment; a sample is appended to this manual.

If the election process is postponed, it may be necessary to store the commodities for an indefinite period of time. If possible, they should be stored under lock, key, and seal. If this is impossible, the on-site team should perform spot checks and inventory counts of goods in storage.

### 4. Recover

Following the election, it is critical to move quickly to recover any assets the funder wishes recovered. Asset recovery generally requires IFES-contracted transportation and storage. Project records must note the general condition of returned equipment, any missing equipment, and who had custody of the equipment.

### 5. Evaluate

A post-election review of vendor and equipment performance should be undertaken. Factors to be evaluated include frequency of use of the equipment, the overall utility of the system (how critical it was to election administration), and the quality of transmissions and reception.

## D. DATA PROCESSING ASSISTANCE MODULE

### 1. Plan

A data processing evaluation is useful for ascertaining capabilities and needs. Such an assessment comprises two parts, the first dealing with existing capabilities and the second outlining recommended applications and costs.

In order to evaluate existing capabilities, the following points must be addressed:

#### Hardware

- Are mainframe, minicomputers, or personal computers used?
- What are the names of the hardware manufacturers?
- What model numbers and series numbers are on the hardware used?
- What sizes of disks or tapes can be used with the system?
- What are the memory capabilities?
- Are there terminals outside of the building?
- Evaluate the power supply. What power control devices are used or should be used?
- What types of printers (manufacturers, models, and numbers) are used?
- What other peripheral equipment is in use, i.e., modems?
- What is the downtime record and what are the reasons for the downtime?
- Is this installation typical of the computer capability existent in the country?
- If there are better facilities, can these be toured?
- Is there any excess capacity in machine time at other locations?

#### Security

- Describe the security arrangements in the computer terminal areas.

#### Software

- What is the operating software for the system?
- If networking software is used, what kind is it?
- What are the current applications, i.e. voter registration, ID cards?
- What application software is being used? What are the licensing or ownership arrangements?
- Are there multiple applications from one database?

### Personnel

- Describe the staffing (supervisors, data entry personnel, programmers, and technicians) currently available to the election authority.
- Is there technical expertise on staff at the other facilities who could do consulting work if required?
- Is there any excess capacity in staffing at other locations?

### Procedures

- Describe the flow of source documents into the entry area. How are the documents batched? How are they transported? Is there a shipping document?
- Obtain copies of forms used in the entry process, i.e., original entry form or change of record form. Diagram the form names and numbers into a workflow picture.
- Obtain a hard copy of examples of entry screens for key applications.
- Where and how is information verified on these documents?
- What is the error rate in entry from these documents? What are the auditing procedures? How are errors corrected?
- How are problematic documents flagged for special handling?
- If voter registration is an application, how are duplications found? How are duplications eliminated?
- If vote tabulation is an application, describe the testing process to ascertain the accuracy of the counting software.
- If voters list development is an application, how much printing time is required to print the required number of copies of the list?
- What back-ups are kept?
- What are the system reporting capabilities? Obtain copies of system reports.

### Upgrades

- Identify hardware and software upgrades which may be introduced to improve the system.

The focus of the evaluation then shifts to a set of recommendations on data processing applications. Potential data processing applications for an election authority include the following areas:

- Voter registration
- Identification card production

- Signature retrieval/comparison
- Geographical mapping
- Logistical tracking
- Polling station data
- Office administration and planning
- Financial accounting
- Word processing
- Vote tabulation
- Media notification of results
- Inventory tracking
- Layouts for forms and ballots
- Candidate filings

In recommending specific applications, the IFES representative should write a general scenario of the application being recommended, including:

- a complete list of components and any peripheral equipment needed;
- a discussion of available upgrades;
- workflow diagrams of the systems being proposed;
- budget figures for the total system including hardware, software, shipping, training, and installation;
- a cost-benefit analysis of the options;
- a projected timeline associated with general product availability, shipping, software development and installation, and hardware installation;
- a discussion of hardware and software service considerations;
- and recommendations on whether the equipment should be insured and on its post-election use.

If the software recommended is proprietary in nature, the licensing and ownership fees, responsibilities, and privileges should be noted. If the software was developed by IFES consultants or contractors for the project, licensing and software ownership questions must be resolved before the software is turned over. An evaluation of the relevance of other forms of information/document processing such as optical imaging or microfilming is also be useful.

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## 2. Purchase

The information contained in the plan should provide sufficient detail for the Program Officer and finance staff to develop bid specifications and select a vendor.

The IFES representative must obtain a request letter from the election authority detailing the application and component. Just as with communications equipment, a user agreement stipulating the application of the system should be developed and executed with the election authority.

Once the system is purchased, the election authority must assist in executing the customs paperwork and arrange for expedited customs processing.

## 3. Install

After delivery, the IFES representative should execute a receiving report with the election authority, supervise the installation of the system, and develop any needed training manuals. Receiving reports should be sent by facsimile to the IFES/Washington upon completion. Originals should be delivered to IFES/Washington in person or mailed from the U.S. whenever possible unless otherwise specified by the funder for audit purposes.

Once the equipment is delivered, the IFES on-site team must monitor its usage to ensure that the terms of the usage agreement are being complied with and that the physical conditions remain appropriate for sensitive equipment. A constant power supply is especially critical to prevent damage to the equipment.

## 4. Recover

Following the election, it is critical to move quickly to recover any assets the funder wishes recovered. Asset recovery generally requires IFES-contracted transportation and storage. Project records must note the general condition of returned equipment, any missing equipment, and who had custody of the equipment.

## 5. Evaluate

A post-election review of vendor and equipment performance should be undertaken. Factors to be evaluated include frequency of use of the equipment, the overall utility of the system (how critical it was to election administration), and the dependability of the equipment.

### E. LOGISTICAL PLANNING MODULE

In providing logistical support, there are a variety of topics to be addressed. These topics include polling-station selection, establishment of an election calendar, transportation of election supplies, security, and return of goods and supplies to designated locations.

#### 1. Collect information

Information to be collected as part of logistical planning includes voter registration figures, road and highway conditions, flight times and airstrip conditions, river transport experience, and the sources and costs of conveyances. Because this information will be current, it may also have applicability in the post-election period in other areas of social concern outside of election administration. Such infrastructure data could have implication for health care, commerce, agriculture, or other fields where transport and demographics are important factors.

#### 2. Map polling stations

The IFES representative can assist in the development of criteria for the establishment of polling locations based upon topographical, statutory, procedural, and voter registration factors. The size of a polling station is measured by the number of voters which it services. That number must take into account the impact of voter identification procedures, voting procedures, the level of voter education, the size of the voting facility, the training and number of poll workers, and the time that it takes for the voter to complete the balloting process. As a rule of thumb, 500 voters per polling place can be used as a point of departure and amended upward or downward as circumstances require. Obviously, in remote geographical areas, polls may service fewer than 100 voters and in urban areas more than 500. The

human and financial resources available to staff and supply polling stations also has an impact on the number of polls which can be set up.

Polling stations can be located in neighborhood gathering facilities such as schools, businesses, and churches. In some areas, where the only facilities available are private dwellings, polls may be located in homes. Frequently, contracts are executed for the use of a facility as a poll which obligate the owners to make the space available on election day. In some cases, polling stations can be located outside, if there are no buildings in the area and the climate permits it. Regardless of the physical setting, there must be sufficient room for the number of voters assigned to the polling place to move through the voting process smoothly.

Ideally, the facility where a poll is located should be in a location which is politically neutral, known to the people in the community, and as convenient as possible in terms of access. Special needs such as handicapped access should be discussed with the electoral authorities before final polling-place selection.

Staff from the election authority should visit each potential polling facility and make an on-site assessment of its suitability whenever possible. If not, reliable local authorities should be called on for recommendations of potential polling places.

Polls can be identified by both name and by an identification number which is selected for the purposes of the election. All commodities destined for a particular poll should bear the identification nomenclature devised.

Depending upon the statutory provision of the electoral code, political parties, interest groups, and the voting public may have input into polling site selection. If this is the case, the election authority must establish formal hearing procedures for suggestions to be submitted, reviewed, and adjudicated during an announced timeframe for such activities.

### 3. Plan supply distribution

An election calendar which lists critical deadlines and activities and assigns a date to them must accompany any logistics plan. Since scheduling must sometimes occur before the election date is known,

the calendar can be constituted in a format which shows election day and events which must happen in relation to that day, e.g., 1 day before, 2 weeks before, 3 months before, and so on.

An election-day supply distribution plan should be developed showing the resources required to transport personnel and supplies to the polls for balloting and to return these items for inventory and official closure after the voting. This distribution effort can be centralized, with all supplies staged and shipped nationally from one location, or decentralized, with supplies taken to regional locations where they are stored, organized, and distributed by regional election officials.

In either case, polling station supplies must be packed in a way which makes them both secure and convenient to ship. Control numbers for sensitive items, especially ballots, ballot boxes, padlocks, and keys should be recorded prior to distribution. Lead time for transporting supplies to remote areas must be determined so that the commodities arrive on schedule for balloting. A detailed logistics plan also shows the leg-by-leg journey which the poll supplies take in their route to the poll, so that at any point in time the election authority knows where the supplies should be located.

Adequate security for each shipment must be provided both to and from the polling station. However, local sensitivities towards the police, local constabularies, or the military may make it necessary for United Nations peacekeeping forces or other multinational groups to provide election security.

#### 4. Book transportation

Since election day may attract observers, press, and other visitors, it is important to obtain early commitments on sources of transport. Such sources include cargo trucks and vans, rail cars, river transport, aircraft, pack animals, and human labor. Establishing contracts with each purveyor is essential to assure a timebound commitment for election day. Sometimes observers may ask to accompany the shipment of commodities, in which case accommodations can be made for additional human cargo.

#### 5. Evaluate

Supply distribution should be evaluated following the election to facilitate the development of recommendations for future supply efforts.

## F. PROCEDURAL PLANNING MODULE

The objectives of procedural assistance are:

- to ensure that voting procedures include proper controls against fraud;
- to ensure that the procedures are not awkward or cumbersome, unnecessarily slowing the voting process; and
- to ensure that procedures conform to applicable statutes, administrative rules, and the electoral code so that an election cannot be invalidated on the basis of a technical impropriety.

### I. Collect information

To begin this process, the IFES representative must obtain copies of any procedure manuals, forms, and signage used in the electoral process. These should be organized in a workflow diagram and then reviewed against the legal framework of the elections. Where available, historical information on voter turnout and ballot spoilage is also useful in this planning process.

The next step is to perform a "critical procedure" evaluation. Such an assessment should focus on seven administrative/statutory procedures which are critical controls at sensitive points in the electoral process. Such an assessment should provide a description of the procedure, a sample of forms used, and a workflow diagram. Those critical procedure areas are:

- Voter identification procedures for registration
- Voter identification for voting
- Candidate/party filing procedures and costs
- Vote tabulation procedures
- Vote appeal and recount process
- Ballot transport and retention policies
- Election certification process

The two most time-sensitive areas in procedure planning are voter registration and voting procedures. The IFES representative should describe the process of registering to vote and examine the system of filing and retrieving voter registration information. The process of making changes or corrections to the voter list should be reviewed.

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## 2. Develop workflow diagram

In assessing the impact of procedures on voting, a workflow diagram of the polling station should be created showing the location of voter processing officers, polling booths, ballot boxes, and other key individuals and equipment.

Special attention should be focused on the time that it takes to vote. Ideally a time and motion study should be conducted to determine the time that it takes to process a voter and thus how many voters can be processed during the course of Election Day.

The IFES representative should become familiar with the process of determining the ballot position for candidates and parties and the procedures for printing ballots. A list should be made of the different types of alternative voting procedures available such as absentee voting or proxy voting. Specimens of each ballot type and the forms pertaining to them should be included with any assessment written of the process.

## 3. Develop recommendations

The on-site team should provide the electoral authorities with detailed recommendations, including sample materials (from the IFES Resource Center if appropriate), on how to improve procedures and render whatever assistance might be necessary to implement those procedures accepted by the authorities.

All new forms and procedures approved must be documented and a separate package put together for election worker training purposes.

## 4. Evaluate

Election procedures should be evaluated following the election to facilitate the development of recommendations for future elections.

## G. ELECTORAL STATUTE REVIEW MODULE

### 1. Collect information

Since elections are constituted on the basis of law, statutory issues will be a constant concern during the course of a project. The IFES representative should obtain a current copy of the electoral legislation, which should cover the following topics:

- Composition of the election authority
- Government funding obligations
- Voter qualification and registration requirements
- Voting district configuration and representation
- Candidate filing requirements
- Campaign finance regulation
- Campaign ethics rules
- Election observation provisions
- Media access provisions
- Polling station requirements
- Voting by the military
- Vote tabulation procedures
- Election results dissemination
- Vote certification process
- Vote fraud penalties
- Adjudication of grievances

### 2. Evaluate statutory framework

In lay language, the IFES representative should forward to the Program Officer a confidential analysis of the "critical statutes" governing the following aspects of electoral activity:

- Voter qualification, identification, and registration
- Voting district configuration and representation
- Public office filing requirements
- Polling station requirements

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- Vote tabulation procedures
- Vote certification process
- Election observation

### 3. Develop recommendations

If there are recommendations concerning legislative changes, alternative language must be drafted for the critical statutes which support access to voter enfranchisement and elected representation, new technologies for electoral administration, procedures for improved efficiency and control of balloting, polling station requirements, and vote tabulation.

Additionally, the IFES representative should provide a narrative description of the structure of the government, its administrative decision-making process and the law-making process. Recent court cases which have an impact on the election process should be reviewed and summarized.

## H. POLL WORKER TRAINING

Poll worker training is discussed in detail in IFES' *How to Organize a Poll Worker Training Project* manual. However, the IFES on-site team may be asked for assistance in planning and preparing for a poll worker training program. Such a program might be administered by the electoral authorities themselves, by a domestic training organization, by IFES, or by another international agency. An on-site technical assistance team's focus in this area is most likely to be on procuring or preparing materials for use in poll worker training programs, whether or not they are administered by IFES. The team should therefore develop a solid understanding of the poll worker training process by obtaining and reviewing the job description for each poll worker position and copies of all training manuals, video tapes, posters, handbills, cartoons, audio tapes, booklets, slides, and other training media used in previous training exercises or proposed for use in upcoming elections.

### 1. Collect materials

One of the most critical tasks that the IFES team should undertake is comparing the training literature to applicable statutes to assure that instructions are being given in accordance with the law.



If IFES is assisting the electoral authorities design their own training program, the team should review the following elements of training processes from prior elections:

- the type of curriculum
- successful teaching techniques such as workshops, oral presentations, role playing exercises, case studies, and video or audio tapes that were employed
- organizational structure
- recruitment and hiring
- logistics
- payment mechanism.

It is also important to note how many people are going to require training, broken down by the following categories of worker:

- Election authority staff
- Poll workers (presidents and team members)
- Other support personnel, i.e., security and logistics

This review will enable the IFES representative to recommend any additional training needed for poll workers and election authority staff.

## 2. Develop recommendations

In developing recommendations for a training program, the IFES representative should include a section on trainee testing, evaluating, and monitoring activities, as well as a calendar for the recruitment and training of election workers and a budget for training.

## 3. Evaluate

Poll worker training efforts should be evaluated before, during, and after the election to facilitate the development of recommendations for improvement in the delivery of training for future elections.

## I. VOTER EDUCATION MODULE

Voter education is discussed in detail in IFES' *How to Organize a Civic Education Program* manual. However, the IFES on-site team may be asked for assistance in planning and preparing for a voter education campaign. The most useful assistance is often the development of a voter education plan for execution by the electoral authorities. Such a plan should include a budget and recommendations on the messages and media which are to be developed and disseminated. On other occasions, the IFES team may be asked to prepare actual materials for use in such campaigns.

### 1. Collect information

Before developing recommendations or materials for the consideration of the electoral authorities, the on-site assistance team should become familiar with the current levels of voter education, broken down by demographic categories including location, gender, and other available analytical measures.

One way to gather hard data is to develop and conduct a survey or focus group to measure voter knowledge of the electoral and political systems. The survey or focus group should cover the following points in addition to others identified:

- Voter knowledge of the current government
- Voter familiarity with political leaders
- Level of voter registration
- Location of registration sites
- Voter awareness of how to mark a ballot
- Voter knowledge of location of polling stations
- Voter knowledge of how election results are released

### 2. Develop recommendations

Based on current levels of knowledge regarding the electoral process, demographic variables such as population density, gender, literacy, and access to broadcast media, and infrastructure considerations such as the condition of roads, the IFES team can develop recommendations or materials which are appropriate to the host country.

There will often be groups other than IFES involved with voter education, although each group may be disseminating distinct messages. The IFES representative should collect samples of all available media for the IFES Resource Center.

The on-site assistance team may also be requested to assist the electoral authorities in disseminating information regarding the electoral process to the media. The team should assist their counterparts develop election press policies which address the following points:

- Press credentials and certifications
- Media access to polling stations
- Election results reporting
- News release format
- Press conference protocol

It is also useful for the IFES representative to develop a list of potential contractors for the production of education media which include printers, graphic artists, copy writers, typesetters, and video and audio production studios.

### 3. Evaluate

If there is sufficient time in the election calendar, the education survey could be repeated to determine the extent of success.

## J. ELECTION OBSERVATION MODULE

Election observation is discussed in detail in IFES' *How to Organize an Election Observation Mission* manual. On-site assistance in the area of election observation relates more to helping the electoral authorities plan and prepare for the number of observers who will be present for the elections. It is thus important to have a clear understanding of the observer role as stipulated in the election statutes which authorize the presence of observers. IFES on-site project staff will usually be present on election day in their technical capacity and should both render any necessary assistance in resolving last-minute

problems and observe events on election day in order to prepare an analysis of the technical aspects of electoral administration.

The most important task in preparing for an influx of observers is setting up a speedy and secure credentialing process. Individuals working on credentialing will require training in verifying the identity of individuals presenting themselves as observers and in preparing the credentials themselves.

In preparing for observer missions, the electoral authorities should develop a briefing book and observer orientation sessions which provide critical details on the election process including:

- Maps
- Political history of the country
- Names and affiliations of party leaders
- Names and contact information for national and local electoral authorities
- Highlights of critical statutes and the full text of any statute relating specifically to election observation
- Highlights of critical procedures, especially vote counting, reporting, tabulation, and dissemination
- Polling-place locations

Since some observer groups may request background information well in advance of the arrival of their teams, this information should be gathered and placed into packets as early as possible once election dates are established.

Observer groups may also request assistance in identifying suitable locations, transportation, and lodging for their observers. This information should also be prepared early in the process.

#### K. DONOR COORDINATION/SOLICITATION

As a rule, there are no formal relationships among international or local contributor groups outside of what may be defined in grant documents. However, each group should have a defined role in the election process. These roles can often be broken down along modules of project involvement. In the end, it is usually left up to the individuals involved with the project to establish working relationships among themselves.

Both the Program Officer and team leader should make personal and/or telephone contact with representatives of other donor organizations as a first step. From the initial interview, the IFES project team should understand how they see their role and what tasks they specifically see themselves doing. Such contributor groups could be US based and USAID funded; regional election or government organizations; the local US Embassy or other nations' embassies; election authorities from other developed democracies; international observer groups; ad hoc local observers; and human rights organizations, among others.

On the basis of an analysis of contributor groups, the IFES project team should create an organization chart of the process which details the relationships among the groups and the needs of the election process. As stated in the commodities module, other donors should be approached to fill in gaps between materiel needed for the elections and those available through the election authority's and IFES' budgets.

The IFES on-site team should maintain an informal network of communications with the representatives of different donor/support groups throughout the electoral process, including telephone contact, facsimile transmissions, and personal contacts, but should always work to maintain an independent, non-partisan position.

#### L. MISCELLANEOUS CONSULTING

The electoral authorities will often require specialized assistance in administering the electoral process. Depending upon the complexity and scope of the task, the Program Officer can assign the task to the team leader or other IFES field representative or engage a dedicated consultant. Some of these specialized tasks include:

- Video/audio production for voter education, poll worker training, or observer orientation
- Statutory language development
- Cartography
- Telecommunications
- Computer programming
- Radio communications
- Opinion/attitude polls and surveys
- Graphic arts

- Time and motion studies
- Security
- Land, water, and air cargo handling
- Press relations
- Language translation
- Bookkeeping
- Electrical work
- Photography
- Carpentry
- Airplane piloting
- Document/workflow analysis

In addition to specialized consultants, some of the work may be accomplished by contracting with vendors. A list of vendors for those supplies and services which IFES has used is available in the Resource Center. Product and service information for vendors will be provided on-line to IFES staff in the IFES Resource Center Database.

#### M. Progress reporting

##### 1. Progress reports to electoral authorities

The team leader should report in writing to the electoral authorities on progress on a regular basis, such as monthly or at the end of each site visit. These written reports are useful in avoiding any misunderstanding regarding the status of critical elements in the electoral process. Frequently, the IFES project team members will be working directly with staff of the election authority on a daily basis. In such cases, the team leader should endeavor to meet with the senior election official at least on a weekly basis.

##### 2. Progress reports to IFES/Washington

The team leader or designated team member should report on progress to the Program Officer at IFES/Washington at least twice weekly via telephone or fax. Reports should indicate progress made on

items already included in the project workplan, new items identified that require attention, and any delays or other problems encountered. These reports will allow the Program Officer to initiate needed modifications to the project workplan or budget in a timely manner.

### 3. Progress reports to funder

It is the responsibility of the Program Officer to provide written or verbal progress updates to the appropriate representatives of the funding organization on a regular basis as specified in the funding agreement or otherwise. As in the case of reports from the project team to IFES/Washington, progress reports to the funder should indicate progress made on items already included in the project workplan, new items identified that require attention, and any delays or other problems encountered.

~~Team members should also brief appropriate local U.S. Embassy/USAID mission personnel on a regular basis throughout the course of the project, especially at the beginning and end of each site visit.~~

~~Project Wrap-Up~~~~Debrief local U.S. Embassy/USAID mission~~~~Debrief funder~~~~Debrief State/AID, IFES, Congress, public~~

If the funder of the project is U.S. AID, the team will be expected to orally debrief USAID and embassy officials prior to their final departure from the country. The team should be prepared to outline their accomplishments, findings, and recommendations, particularly those regarding possible future assistance to the electoral process. In some cases, the funder will expect to receive a written report from the team prior to its departure. In such cases, this expectation will be clearly expressed in the team's scope of work and in team members' contracts.

When possible, IFES schedules a debriefing for the team at the IFES Washington office. It is also advisable to schedule public and Congressional briefings and, particularly if the project is AID funded, a briefing for officials of the Department of State and U.S. AID. These too are usually oral briefings on the team's accomplishments, findings, and recommendations.

~~D. Final report writing~~

Work on the final report should usually be an ongoing task. The team members should gather materials and keep a separate set of notes of items that should be covered in the final report, especially on lessons learned during the course of the project. Actual drafting of the sections on project background, election-process overview, and project description should begin as early in the life of the project as possible. If a team member's involvement with the project ends prior to the end of the project, the Program Officer should request that team member's contributions toward the final report before final payment for services is made.

Once the project is complete, the team leader or other team member assigned by the Program Officer should coordinate with any other members of the project team and begin drafting the remaining sections of the final project report. The report should clearly outline the team's accomplishments, observations,





and recommendations, particularly those regarding possible future assistance to the electoral process. In general, the report should conform to the following outline:

1. Lists
  - a. abbreviations
  - b. key personnel
2. Executive Summary
3. Project Timetable
4. Background of IFES Involvement
  - a. Pre-Election Assessment Mission and Report/Recommendations
  - b. Elections Assistance Project Grant Description
  - c. Grant Amendments
5. Overview of the Election Process
  - a. Key Elements of Electoral Law and Practice
  - b. Administrative Structure
  - c. Political Parties
  - d. Involvement of International Groups
6. IFES Project Description
  - a. Project Personnel Job Descriptions
  - b. Commodity Assistance
  - c. Communications Assistance
  - d. Data Processing Assistance
  - e. Logistical Planning Assistance
  - f. Procedural Planning Assistance
  - g. Election Statute Review Assistance
  - h. Election Worker Training Assistance
  - i. Voter Education Assistance
  - j. Election Observation Assistance
  - k. Donor Coordination/Solicitation
  - l. Miscellaneous Consultation
7. Responses to Pre-Election Assessment Recommendations
8. Responses to Additional Problems Identified During Project
9. Project Administration

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10. Description of Election-Day Activities, Problems Encountered, and Assistance Rendered
11. Election Results
12. Post-Election Recommendations to Electoral Authorities for Changes to the Electoral Process
13. Post-Election Recommendations to the Funder for Additional Assistance
14. Post-Election Recommendations to IFES for Changes in Project Administration Methods
15. Conclusions
16. Attachments
  - a. Maps
  - b. Press Clippings on IFES Project
  - c. Election Results

The Program Officer should review the draft final project report for content and style problems and return it to the author if necessary. Ideally, the report should be reviewed by at least two IFES staff members in addition to the Program Officer responsible before it is accepted as final. Usually, the secondary reviewers/editors will be the senior Program Officer, the program director, or the deputy director. The final report should be sent first to the funder and the IFES Board, then to other organizations involved in the elections, the IFES Resource Center, and other individuals and organizations who might be interested in the project.

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## VII. Monitoring and evaluation strategy

On-site technical assistance projects can and should be monitored and evaluated on several levels, using a variety of evaluative tools, with several different audiences and purposes in mind. Monitoring should continue throughout the project so that any corrective action needed can be taken in a timely manner.

### A. Team members

The performance of each individual project team member should be evaluated, for two primary purposes:

- to assess whether the scope of work and other formal expectations have been fulfilled; and
- to leave an evaluative record of the consultant's work in their IFES file. This will provide an audit trail to the Consultant's SOW and performance review by funder (if required) and allow other IFES staff to better judge their suitability for future IFES assignments.

The IFES Program Officer who managed the project should solicit feedback from the USAID mission, the U.S. embassy, or other funder with whom the consultant interacted in the field, regarding the consultant's performance according to the pre-established criteria:

- a strong command of English and the official language;
- positive interaction with host country officials and USG officials in-country; and
- substantive contribution to the tasks outlined in the scope of work.

The Program Officer should add their evaluative comments on those performance criteria, based on reporting during the project, Washington briefings and debriefings, and on the final project report. The Program Officer's evaluation of the project team members should be written and placed in the consultant's confidential file at IFES.

### B. Institutional development

Since IFES' primary objective of strengthening the electoral process is best achieved in the long term by assisting in institutional development, the final report should include descriptions or impressions of any

progress made in developing credible electoral institutions, including the names of any election workers who demonstrated superior ability during the process.

### G. Project design and support

IFES' project design and support to the project team should be evaluated by the team members with the primary evaluative criterion being: Did IFES enable the consultants to do as good a job as possible in carrying out the project? The purpose of this evaluation is to give feedback to IFES on its general administrative procedures in designing and supporting an on-site technical assistance project, so that the design and support can improve with future projects.

~~The Program Officer asks the project team members to give feedback for this evaluation after the completion of the project, requesting that they give a written response evaluating project elements such as the following:~~

- make-up of the project team: size; complement of skills, of personalities; appropriateness of choice of project manager
- preparations for the project: briefing book; accuracy of verbal description of project task; quality and helpfulness of Washington briefings
- IFES support to team while in-country
- overall project design: feasibility and appropriateness of scope of work

The team members' written evaluation should be collected by the Program Officer, who will share the comments with other program staff and use the consultants' suggestions to make improvements in project management.

### D. Project's responsiveness to funder's and host country's needs

The project as a whole should be evaluated in terms of how well it responded to the needs of the host country and the funder. Evaluation of this question can be profitably carried out both immediately after the completion and delivery of the project report, and several months later.

## **Immediate project evaluation**

The evaluative questions that the IFES Program Officer should discuss with the project funder, and to the extent possible host government officials, include the following:

- Was the project scope of work sufficiently comprehensive and sufficiently focussed to meet the needs of the funder and the host country?
- Were the individual objectives of the scope of work fulfilled through the team's work?
- Was the IFES response to the need and the request for assistance generally satisfactory?
- What, if any, are the near-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in their efforts to strengthen the electoral process?
- What, if any, are the long-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in their efforts to strengthen the electoral process?

The means for gathering answers to these questions, from the funder and from host country officials, may vary. Informal means, such as telephone calls, often can solicit a more frank and comprehensive response. It is important, however, to also solicit written responses to these questions, if possible.

The funder and host country evaluation of the project should be collected, written down (if given verbally), and commented on by the IFES Program Officer, and included in the permanent project file. Evaluations should also be placed in the evaluation file in the director's office so that evaluations can easily be shared with other IFES staff members, funders, and board members, as appropriate. The funder and host country evaluations should also be presented at the project evaluation meeting convened by the regional program director. (See below.)

## **2. Longer term project evaluation**

To evaluate the effectiveness of the project and the final report in furthering progress toward democratic elections in the host country, it is useful to solicit feedback from the USAID mission, U.S. embassy, or other funder two to four months after the final project report has been delivered.

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**Project's fulfillment of IFES' objectives**

IFES implicitly or explicitly sets institutional objectives for each project that it undertakes, including on-site assistance projects. At the completion of the project, the relevant IFES staff should gather to review those objectives and to evaluate whether they have been accomplished. Institutional objectives for carrying out an on-site assistance project might include the following:

- to satisfy a request from a funder or country with whom it is important to maintain or build a good relationship;
- to lay the groundwork for further short-or long-term assistance in the country;
- to fulfill in part the IFES annual workplan;
- to generate the revenue that comes from the overhead category in the project budget;
- to provide technical assistance experience to an IFES staff member or consultant.

An evaluative discussion regarding each project should be convened by the regional program director, to include representatives from program staff, financial and administrative staff, and executive staff, to examine how well the project has fulfilled the institutional objectives of IFES. Such discussion should determine whether a project has been profitable, in every sense of the word, to IFES and whether similar projects should continue to be undertaken.



## Project Recordkeeping Supplement

~~Field files~~

Each set of project field files should contain a standard group of documents in addition to any which may be unique to a particular project. Copies of these materials should be forwarded to IFES/Washington as appropriate; any items remaining after the election should be forwarded along with the final project report.

- All correspondence, memoranda, or reports from the election authority.
- A list of key players in the process including names, titles, addresses, and other contact information including copies of business cards.
- Samples of all public documents published by the election authority.
- Copies of all reports, memoranda, forms, and maps created by the IFES field team in support or in analysis of the election process.
- A list of all bidders, vendors, and potential suppliers of goods and services to the process, including names, addresses, and other contact information including copies of business cards.
- A set of maps showing the country, its political subdivisions, and voting districts.
- A copy of the electoral codes and statutes.
- Reports, memoranda, and training literature from observer organizations on the electoral process.
- Samples of literature, statements, and manifestos from political parties.
- Copies of all audio and video tapes produced by IFES for training or education purposes.
- Copies of all print media produced by IFES for training or education purposes.
- Copies of the training manuals or training literature used by the election authorities.
- Copies of local and international newspapers, journals, and any other print media showing articles and display advertisements concerning the election.
- Samples of all statutory and administrative forms and signage used by the election authority in voter registration or the balloting process.
- Specimen samples of the ballots used in the election.
- A list of polling station locations.
- A copy on disk of the list of registered voters.

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- A copy of the final election results.
- Prints or slides of all photographs taken by IFES representatives during the project.
- A local telephone directory.
- If a video camera or VCR is employed during the project, copies of all tapes shot directly or television news programs, speeches, and political advertising recorded from local television.
- All audio tapes from HF or VHF radio transmissions.
- All audio tapes recorded from standard radio broadcasts, including news programs, speeches, and political advertising. All audio tapes of news conferences recorded directly by IFES field representatives.
- A media list showing names, contacts, telephone/fax/telex numbers and addresses for all major news media outlets in the country.
- A video, audio, and print record of the election process, including a television and radio reports, commercials, speeches, debates, and other broadcasts.

#### **IFES/Washington project files**

IFES/Washington project files will necessarily be focused more on administrative matters than on the day-to-day operations of the project team. It is critical that original documents be available when and where needed for audit purposes, so most originals are kept either in the field files or in IFES/Washington financial files. Project officers will need to refer to many of these documents, however, and should make and retain copies for their project files.

#### a. ADMINISTRATIVE

- i. Proposal / Grant / Amendments
- ii. Contracts
- iii. Budget Information

#### b. REPORTS

- i. Pre-Election Assessment
- ii. Reports from project consultants/staff
- iii. Interim/progress reports to A.I.D.
- iv. Final project report



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- v. Reports from other sources
- c. CORRESPONDENCE
  - i. A.I.D.
  - ii. Election Commission
  - iii. Embassy of host country
  - iv. U.S. Embassy in country
  - v. other U.S. groups
  - vi. other local groups
- d. PROCUREMENT
  - i. U.S. Procurements
  - ii. Local Procurements
  - iii. Other donors
  - iv. Asset Control
  - v. Vendors
  - vi. Shipping
- e. OTHER
  - i. Background information
  - ii. Contacts
  - iii. Sample Materials
  - iv. Travel
  - v. IFES press coverage

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RADIO ASSIGNMENT LOG

Name (Printed)     Signature     - Date Out/Initials     Unit     Model #     Serial #     Date In/Initials


21



RADIO THEFT REPORT

NAME OF RESPONSIBLE \_\_\_\_\_

TITLE OF RESPONSIBLE \_\_\_\_\_

OFFICE LOCATION \_\_\_\_\_

TYPE OF RADIO UNIT \_\_\_\_\_

MODEL/SERIAL #s \_\_\_\_\_

DATE ISSUED \_\_\_\_\_

DESCRIPTION OF PROBLEM AND CIRCUMSTANCES

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To the best of my knowledge, the above statement is true and complete. I understand that a police investigation and report must be required in the event of theft or vandalism.

\_\_\_\_\_  
Signature and Date



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# HOW TO ORGANIZE A PROGRAM IN CIVIC EDUCATION

## I. Project identification, design, management

### A. Project Identification

#### 1. Criteria for Selection

- Invitation from host government
- A democratizing country
- Available funding

Civic education is an essential element in building a lasting democracy, and in particular, the electoral process. Supporting the evolution of democracy and the electoral process is a basic element in the charter of the International Foundation for Electoral Systems (IFES). Without civic education, voters are unaware of their rights and responsibilities as citizens. More specifically, they need to understand the mechanism and significance of the voting process itself.

Civic education assistance must be tailored to the specific needs of each country, taking into consideration the long-term goal of building a sustainable institutional base for a democratic electoral system. It may be provided at the request of the host government or other indigenous organizations. The assistance of indigenous organizations is usually quite important.

The funding available for civic education training programs may involve only small-scale projects. Specifically, funding may be available for voter awareness programs focused on a particular election. Additional funding would enable these programs to be expanded, depending on need and interest. Due to the potentially high cost, funding long-term civic education training programs may present a constraint to the process. This may be resolved only through bringing together a number of funders who collectively may provide sufficient funds to accomplish the objectives.

#### 2. Needs Assessment

The level of available information, voter education and awareness, and the status of civic education programs in the host country, are often determined through pre-election assessments. If such an assessment exists, preferably conducted by IFES, it provides an excellent base from which to develop

adequate civic education programs. If sufficient information is not available to develop a credible program, then IFES must conduct a needs assessment before proceeding.

### 3. Timing of civic education programs in relation to electoral calendar.

A civic education program can be carried out usefully at various times during the pre- and post-election periods. In general, it should not come before a country has started the process of becoming a democratic society. Where that commitment has moved the host country toward holding a national referendum or multi-party elections, the timing of the election will influence the structure of civic education programs.

It is also essential that the objectives for any program have their evaluation criteria properly stated before work is started. If one purpose of the civic education program is to enhance voter awareness for an upcoming election, the timing of the election is critical to the structure of a voter awareness program. This should be done to ensure that it is possible to achieve the objectives given the conditions and constraints within the host country.

Successful short-term civic education, or voter awareness, programs must be timed to ensure that the "awareness" training reaches those individuals who make up each of the target audiences prior to election day. It is important to begin early. Early training means that a greater percentage of the target audience will be reached.

Civic education, however, should not have a time limit placed on it by an election date. Effective civic education should become an integral part of the country's social texture and efforts toward democratization.

### 4. IFES' Objectives

- a. Fulfills IFES annual operating plan
- b. Lays groundwork for future work in host country

IFES may undertake the civic education program because it has been requested by a funder with whom it is important to maintain or build a good relationship. IFES may also hope to lay the groundwork for



further short- or long-term assistance in the country; for an up-coming observation mission; or for fulfillment of the IFES annual workplan. IFES should be clear and explicit about what its objectives are in carrying out each training program prior to the design and implementation phase. Clarity on this question helps to determine the scope of work, when resolving any potential conflict with the program funder, and especially when evaluating the program to determine if all objectives have been fulfilled.

**B. Scope of Work**

**1. Goals, objectives, activities:**

- a. Are they mutually satisfactory to IFES and to funder?
- b. Are they feasible, given constraints?
- c. Criteria for evaluation

The elaboration of a project's goals and objectives comes as a result of terms agreed to by IFES and its funding source. Certain elements of the project are essential to IFES' information gathering (Resource Center) process; others may be incorporated at the suggestion of the funder or by the funder on behalf of the host government. It is imperative that all parties concerned achieve consensus regarding mutual expectations and constraints before the project begins.

The objectives of the project, as reflected in the scope of work or terms of reference for the civic education training team, must be written in a form that indicates clearly what the funder expects from IFES and what IFES expects from the team who will be facilitating the training. They also should be written so that their accomplishment is measurable, both by IFES and by the funder. In the evaluation phase of the project, both institutions should be able to identify clearly and quantify the degree to which objectives were accomplished.

**2. Budget**

- a. What to budget for?
- b. Arriving at budget agreement with funder

As the terms of reference and the objectives of the training program are defined, IFES must begin to develop a program budget. The budget should include all elements of direct and indirect costs based on



IFES' previous experience plus additional country-specific information provided by the funder, the host government, or other sources. Supporting documentation for the estimation of line item amounts is necessary. The proposed budget should reflect the realities of the project environment and take into account the potential for unanticipated costs. The first draft of the budget will serve as the basis of negotiation with the funder(s) in determining the final project budget.

The input of the IFES Director of Finance and knowledgeable colleagues should be solicited. The budget is included as part of the project proposal and is subject to review and approval by IFES executive staff as well as the funder.

**C. Negotiating other project parameters**

**1. Arrangements with host country**

- a. What are the host government's expectations?
- b. Who is the primary point of contact in the government for the team?

As IFES discusses the scope of work of a civic education project with a USAID mission, a U.S. embassy, or other funder, it may be useful, particularly in the case of short-term civic education project, to bring the host government into the discussion, either with IFES directly or through the funder as intermediary. The funder should be asked to provide a written summary of its discussions with the host government, and a list of government officials, with names and titles, who can assist the civic education training team, assuming that this is applicable. This written documentation should also spell out the kind of assistance, if any, that the assessment team should expect from the government, for example, local transportation, office space, or the facilitation of discussions with officials inside and outside of the government. Such arrangements with the host government are especially important in the case of short-term civic education.

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**2. Arrangements with U.S. Embassy or USAID mission**

- a. Lodging, transportation**
- b. Setting up initial meetings**

Discussions with the funder and/or the U.S. embassy should also clarify the degree and kind of support that they intend to provide for the team (if any), such as car and driver, office space, access to communication facilities, and the facilitation of contacts with information sources in-country. Sometimes, the USAID mission and/or the embassy may be requested to make reservations for the team at a suitable hotel in the capital and to meet the team upon their arrival at the airport.

Setting up initial meetings may be facilitated by either the U.S. embassy or USAID. It is, however, an important responsibility of the IFES Program Officer.

As soon as both IFES and the funder are in general agreement with the arrangements spelled out in the proposal, a Project Authorization should be filled out, covering the proposal, and sent to the appropriate AID/Washington representative. This will meet AID's requirements for its Core support. Authorizing documents will be prepared for each funder/donor (UN, Host Country government, etc.) in accordance with their requirements.



## II. Selection of civic education project team

### A. Specification of target audience

1. Civic interest groups
2. Media personnel
3. Political party leaders
4. Voter groups
5. Minority groups, women
6. Students

One element in the selection of the civic education project team is understanding the makeup of the target audience. In many cases a core group of "super trainers" is formed. These trainers first train a small group at the national and regional level. Training is then organized for local level trainers. These are the individuals who will be vested with the responsibility of training the general public. (Specifically, the responsibility for training poll workers may be funded under a different project. Refer to the IFES "How to Organize a Poll Worker Training Project" Manual for additional information.)

For short-term civic education or voter awareness programs the core trainers' work is not confined to training at the local level. During the training of the local level officials and leaders, and in the subsequent training of their staffs, the core trainers will circulate to observe the training in progress and correct any misinformation.

In many cases, the voter awareness programs are not "training" per say, but, rather targeted media campaigns. This form of training may involve significantly different groups of "trainers" and employ media consultants, writers, graphic artists, etc. to effectively deliver the message.

In the case of long-term civic education programs, the in-country trainers are determined according to the specific issues covered by the programs. These trainers in turn reach others, eventually conveying the necessary information to the largest possible segments of the population.

**B. Identification of international consultant(s)**

The specific civic education project team will be defined by the scope of work, including the civic education materials to be produced, the scope of the training, the period of performance and the available funding. Key positions for the project team are likely to be as follow:

Project Manager--Based on the scope of the program, this position could possibly be combined with one of the trainer's positions. Determining factors are the size of the training effort and the size and scope of the overall technical assistance project.

Stand-up trainer--This position requires excellent communications and organization skills, as well as enthusiasm and a disregard for the time clock. It is essential that the stand-up trainer be able to converse in the official language.

Mass Media Specialist--This position is useful if the initiative includes a component calling for graphics, cassettes, and videos for use in the program. These materials can also be utilized in a greater voters' awareness or civic education program. Previous experience with a variety of programs and media is a must.

Advance/Logistics Coordinator--When undertaking a far-reaching cascade-type training or series of regional seminars on a tight schedule, this is a worthwhile addition to the project staff. Otherwise, the responsibilities of advance, set-up, and transport fall into the domain of the project manager (or lead trainer if project manager is unnecessary). Candidates for this position should have a proven track record.

Political philosophy specialist--This position is useful, if not indispensable, for a long-term civic education program that involves discussions of principles underlying a democratic society.

Other civic education specialists--These specialties may include: economic principles and specific issues; comparative electoral systems; legal principles and specific issues.

**C. Consultant selection**

1. Data base
2. Additional services

As the goals and objectives of the project are being determined, the Program Officer should begin to identify those consultants who may be best suited to accomplish the mission. The size of the team is largely dependent upon the scope of work and available budget. The team should have sufficient background and experience to ensure that all aspects of the project will be completed satisfactorily.

The initial step in the selection process should be a search of the IFES Resource Center Database. Information on consultants who have been a part of prior IFES projects or have provided detailed information on the Consultant's Individual Data Sheets will be available on-line to the Program Officer. Consultant information may also be gathered through referrals by other Program Officers and Program Officer's previous experience. Secondary sources include universities, private consulting firms, or referrals from consultants. Each potential consultant should be interviewed, perhaps more than once, with a foreign language component if the Program Officer is unsure of the consultant's skills in that area. A Consultant's Individual Data Sheet must be completed and if possible, a writing sample should be obtained.

**D. Selection and performance criteria**

1. Specific skills
  - a) Language
  - b) Country knowledge and/or experience
  - c) Knowledge of civic education
  - d) Issues in democratization
  - e) Election Law
  - f) Training
2. Interaction with host country officials and NGO as well as USG officials in country
3. Successful completion of scope of work.



There are a number of criteria that must be considered as the team is composed. Certain skills are highly desirable, such as background in civic education training; knowledge of the country's culture, including if possible in-country experience; experience as an election administrator; more general experience in the democratic process; and familiarity with election law and related issues. More specialized skills will be required for a particular civic education program, such as experience in leadership training. It is important that consultants be selected according to how they can best perform as a team and how their collective skills may be applied to complete the scope of work. The Program Officer should consider as many combinations of consultants as possible and always be prepared with alternate selections.

Whatever the team member's special skills, a good command of English is required. Ability to express oneself in the language(s) of the host country is important, if not mandatory. Effective communication with host country officials and NGOs as well as USG officials in-country is required. Team members will also be expected to contribute substantially to the team's completion of the scope of work and the project objectives as set forth in the project proposal. It should be made clear to all concerned that these expectations will be foremost among the criteria on which the consultant's performance will be evaluated.

In making decisions regarding the composition of the team, the Program Officer must consider additional factors. In some cases, it may be useful to designate one member as the team leader. The team leader will act as the primary spokesperson while in-country, and will be responsible for bringing the team to consensus on its procedures, priorities, and activities. The team leader serves as the contact for the Program Officer in-country and should be able to provide administrative direction while in-country.

A team member should also be designated as the final report coordinator. The report coordinator is responsible for reviewing the report as drafted by the team, noting any weak areas, before presenting it to IFES for editing. While the report coordinator does not make specific report writing assignments, he or she is responsible for ensuring that all issues raised in the scope of work are addressed by the report. This person will be the initial contact for the Program Officer should questions arise during the report editing process. It is recommended that those consultants with previous experience and familiarity with IFES procedures be chosen as team leaders and report coordinators.



**E. Interviews**

1. Determining level of language skills
2. Writing sample
3. Professional recommendations

Language skills must be determined not only through examining a consultant's biographical data but also through personal interview. A writing sample would also help determine the consultant's communication skills. Professional recommendations may be obtained both in writing but also -- and preferably -- verbally; the Program Officer must make every effort to obtain the fullest possible assessment of the consultant's skills.

Logistics questions must be included in the interview. How does the consultant respond to the time commitment requested? How rigid is the consultant's schedule immediately following the close of the project? What kind of advance preparations should he or she make? Following the initial selection, the consultant should be contacted by the Contracting Officer to negotiate the consultant's daily rate. The Program Officer needs to be assured that each consultant will be able to complete his scope of work.



### III. Project and team management

#### A. Travel, shots, visas, advances

1. Travel regulations
2. Advances to include transportation funds

Many tasks must be completed before the team arrives at the IFES offices and before departure for the destination. Once team members are identified, they should be contacted by the IFES Administrative Assistant to make arrangements for air travel, visas, inoculations, medical insurance coverage and lodging arrangements in Washington, if necessary. Travel advances are determined by the Administrative Assistant, who is also responsible for ensuring IFES' compliance with applicable regulations regarding travel and per diem (including U.S. government, funder or donor). For this reason, it is preferable that the Administrative Assistant, rather than the consultant or program staff, make these arrangements.

#### B. Team planning meetings

1. Scope of work agreement (team and funder)
2. Performance criteria and IFES expectations
  - a. Performance in-country
  - b. Quality and timeliness of project outputs
3. Resources (materials, people, examples)
  - a. Briefing books
  - b. Civic Education samples
  - c. Other training materials or programs
  - d. Sample laws or other documents
4. Individual work assignments
  - a. Role and responsibility of team leader (in country)
  - b. Role and responsibility of project coordinator
5. Procedures for communications
6. Time sheets and travel expense reports



To the extent practicable, the two days prior to the team's departure are reserved for briefings and planning meetings in Washington, D.C.. This time allows the team members to meet each other, IFES staff to brief the team, and any last-minute information, instructions and concerns to be shared.

Briefing books should be prepared for each team member, with an additional copy for the Resource Center and include, in the following order:

- Project Proposal and Consultant's Scope of Work
- Relevant Correspondence between IFES Washington office, funder and host government
- Team members' resumes
- Background information on the country
- News articles on the democratization and election process
- Documents such as the country's constitution and electoral law
- A copy of a model IFES report

Each team member should receive their briefing book with enough time to review it before arrival at the IFES office.

During the briefing day(s), the team will meet with several members of IFES Staff. Team members are briefed on IFES philosophy and guidelines for conduct in-country. The quality and timeliness of project outputs are discussed. The final report writing responsibilities are also outlined in this meeting. The use of PC hardware and software (such as WordPerfect or Lotus) should be specified in advance to ensure full compliance. If the project report is to be drafted in a language other than English, the Program Officer should ensure compatibility of software and availability of the appropriate translation services.

In addition to the briefing books, team members are provided at this time with resource materials selected to provide a basis for completion of the various elements of the scope of work, such as examples of poll worker training manuals, voter awareness materials and other civic education materials, electoral laws or constitutions from other countries, sample registration material, ballots, or other forms. Books, articles, and other civic education materials are provided as well -- both in English and, if available, in translation.

Project team members should be briefed as to the climate, the type of clothes to pack and the type of conditions that can be expected in-country regarding travel and accommodation. Intense training projects when significant numbers of people are to be trained are always taxing and sometimes extremely arduous and even potentially dangerous.

The IFES Program Officer and team members should review the outline of the final report. This time should be used to confirm the connection between the project proposal, individual scopes of work, and final report. The Program Officer should indicate which team member shall serve as the report coordinator and/or team leader, with an explanation of the role and responsibility of each. The Program Officer should also be able to demonstrate the rationale for individual work assignments by describing the skill set of the team and how the team members complement each other. By the end of the meeting, each participant should have a clear understanding of how the team will function, with detailed responsibilities assigned among team members.

The Program Officer should have adequate in-country hotel and telephone information for team members and their families prior to or at least by the day of the team's departure. Team members should be directed to communicate their safe arrival in-country directly to IFES or through the U.S. embassy or USAID mission.

The Administrative Assistant and Contracts Officer will brief team members on their travel advances, with instructions regarding completion of time sheets and expense reports. Insurance coverage and emergency information should also be part of this meeting. Team members, after reviewing contracts with the Contracts Officer, should sign them and receive copies signed by an executive staff member.

C. Country-specific briefings

1. AID and State Department
2. Host country embassy

Current political information and confirmation of expectations are part of the AID/Washington and State Department briefings. These meetings are an opportunity for Washington State and AID officials to become familiar with the team, provide up-to-date country information and review the host country's

expectations of the team including expectations for the verbal and written reporting of the team's findings. ~~It is a time for the team members to ask any questions they might have about their scope of work or~~ about the country's current political climate.

The final set of briefings consists of visits to the host country's Washington embassy and any other persons the Program Officer believes may provide substantive country information. These persons include professors, consultants or anyone else who has significant country experience.

**D. Team management and monitoring**

1. Project reporting to funder
2. Communication
3. Support

Following the departure of the team, the Program Officer is responsible for team management and activity monitoring. Decisions regarding team procedure or unexpected situations should be referred to and decided by the Program Officer. The Program Officer also functions as the team's Washington-based support staff, obtaining additional information or making alternate arrangements as requested by the team. The Program Officer should communicate with the team as needed to be aware of current activities. Specific instructions as to methods and frequency of communications between the in-country team and Washington should be included in the briefing book and reviewed with project staff.

#### IV. Developing and implementing civic education programs

##### A. Rationale behind either short-term or long-term civic education

In many countries, particularly those suffering from a high rate of illiteracy or emerging from some form of civil conflict, a civic education program may simply fill the basic need for voter education. Rather than instructing the electorate on the underlying principles of a democratic representative government, this aspect of civic education seeks to inform the electorate about the simple mechanism of voting and expressing their wishes through the electoral process. Without an adequate understanding of the process of voting, the population may express frustration with the democratic process itself either by refusing to participate at all or turning to non-democratic, even violent alternatives.

Long-term voter education may be appropriate after an election has already taken place but the country still has a way to go before it becomes a full-fledged democracy. Although it may be a while before either local or national elections are held again, and political parties are still in the process of realignment and even formation, the population may be in need of assistance to understand the principles of a free society as well as both the rights and responsibilities before them.

##### B. Identifying the need -- preparatory work.

One of the most significant tasks in preparing an effective civic education program is an accurate and realistic assessment of the deficiencies in the society related to the level of education, the psychological and social realities, and the available infrastructure. A major challenge is lack of information and possible resistance to gathering information, whether politically motivated or not.

Deficiencies in the level of civic understanding present in a society, however, are often palpably evident, even if not fully quantifiable according to rigid standards. A variety of means may be used to establish their nature, extent, and seriousness:

### 1. Interviews

There is no substitute for personal interviews with as many people as may be realistic given the budget, size of country, etc. Interviews may include leaders of civic groups, including trade unions; leaders of political parties; government officials who deal with the private sector; teachers and professors; journalists; people engaged in business. A realistic variety of interviews is recommended. There is some danger of becoming too dependent on people's informal impressions.

### 2. Polls

Polls are useful but often flawed, particularly in areas where people may be reluctant to be forthcoming. Also polling techniques may be rudimentary. But any sort of polling is useful, if understood in context. If used, polling must include a representative cross section of the population. One way to gather hard data is to develop and conduct a survey or focus group to measure voter knowledge of the electoral and political systems. The survey or focus group should cover the following points in addition to others identified:

- Voter knowledge of the current government
- Voter familiarity with political leaders
- Level of voter registration
- Location of registration sites
- Voter awareness of how to mark a ballot
- Voter knowledge of location of polling stations
- Voter knowledge of how election results are released

There will often be groups other than IFES involved with voter education, although each group may be disseminating distinct messages. The IFES representative should collect samples of all available media for the IFES Resource Center.

### 3. Research

Use of local newspapers, scholarly material, international news media, and any other research tools are indispensable for an adequate needs analysis.



### C. Choosing the message

When designing a civic education program, informational objectives must be clearly defined. In the case of short-term voter education, informing the electorate of the location of polling stations and the time and date of their operation is sometimes the only work possible for a civic education team. This is particularly the case in large countries with minimal communications infrastructure. When civil conflict is involved, concerns about security and the secrecy of the vote become paramount. In all such cases, the step-by-step procedure of how one registers and actually votes, from waiting in line to depositing one's ballot in the box, is one of the central messages to be delivered to the voters. Under these circumstances, a civic information program may wish to highlight the role and the number of international observers in-country. The overt presence of foreign journalists and international organizations such as the United Nations may serve to ease the electorate's tensions. A simple demonstration of the voting process -- highlighting the fact that the vote is secret and that the vote will remain secret -- is also essential.

In countries that have experienced frequent but inconclusive elections, the basic message must include a clear explanation of why citizens are being asked to vote again. Voter apathy may be an important issue to address.

### D. Choosing a medium for the message

#### 1. Medium for short-term civic education

When initiating a short-term civic information campaign that closely precedes the election, the Project Manager must select the medium that will best deliver the message to the maximum number of voters in the minimum amount of time cost effectively. Posters may be a good choice for both literate and illiterate population groups. For countries with low levels of literacy, use of graphics are essential and can be very effective. Rapid and effective distribution of printed material in under-developed countries is rarely reliable. Television is, in general, the most effective medium for mass communication, although it is usually controlled by the state apparatus and may not be trusted by the opposition parties or the general population. In addition, air time may be expensive, and a large percentage of a poor, geographically dispersed population may have no access to television sets. In the developing world, radio

tends to be a more accessible channel of mass communication. But it too has drawbacks: citizens may not trust state-controlled radio broadcasts, or may not have batteries to operate their radios. With enough advance time, the purchase and distribution of radio batteries can greatly facilitate the work of civic education teams.

The most meaningful medium of communication in the developing world is direct person-to-person involvement. An IFES Project Manager can utilize this form of mass communication by organizing civic education theater groups, story-telling festivals, or travelling teams of national civic education trainers. While this option involves substantial logistical coordination and careful fiscal control, it has the advantage of flexibility: 50,000 civic education posters sitting in a warehouse require outside intervention to reach an audience, while a small theater group flown into a regional airfield can usually figure out some way to get itself to a village and begin spreading its message. The IFES Project Manager must take care in choosing host country nationals to participate in such a program, and should make all efforts to balance partisan participation, gender and, where appropriate, ethnic groups within such teams.

Finally, voter education may be enhanced by simple printed materials that explain the mechanics of voting. Efficient dissemination of this material is crucial if it is to have sufficient impact.

## 2. Medium for long-term civic education

### a. Seminars

A standard IFES civic education seminar is designed to train trainers. Thus IFES trainers ordinarily can be expected to address about 30 individuals who in turn will be able to train 30 other individuals. Seminars are well suited for the dissemination of this sort of information.

### b. Using media outlets

Television coverage of civic education programs can be an effective way of disseminating the information. The electronic media can be used directly through various educational programs focusing on the upcoming elections, through talk shows, special programs, films explaining the history of voting to explain civic education concepts.





### c. Workshops

Workshops where the audience is expected to be very actively involved in leadership training are perhaps the most effective way of conveying information while also creating a new "product". For example, in the case of leadership training, a more effective leader.

### d. Lecture format

The large lecture format with minimal audience participation can be an effective medium for reaching large numbers of people short of using electronic media outlets. This lecture format ordinarily should be combined with other methodological options for maximum impact.

### e. Informal discussions

Information is conveyed at all times, in all ways. Often the informal discussion is the most effective way of reaching some people who may be either reluctant to participate in groups or who for some reason are unable to participate in workshops or other organized events.

Other ideas include: organizing essay or slogan contests; making house-to-house visits; providing bumper stickers and buttons, as well as T-shirts and other clothing, promoting the idea of voting; and using local talent to encourage voting in all appropriate contexts.

### f. Other

Each country and each situation presents the civic education trainer with interesting and sometimes unexpected challenges and opportunities. Whether through interviews or being invited to address a classroom, a trade union meeting, or any other gathering, a civic education trainer may find important ways to convey information. He may take advantage of opportunities as they arise.

## **E. Logistics**

When time is short, the Project Manager must take advantage of all centralized logistical activities. If the central electoral commission holds nation-wide meetings once a month, these meetings can be utilized for their transport potential. Boxes of posters can be delivered directly into the hands of provincial or regional electoral directors. While these important individuals do not in general appreciate being used as freight middle-men, their trips to the capital may constitute the only delivery a small and distant province will receive. Similarly, if an IFES-sponsored training group or theatre group can be "attached" to a provincial director's travel itinerary the overall civic education program will be greatly boosted.

IFES Project Managers in developing countries must learn to utilize any sort of transport infrastructure to activate civic education. One personal chat with a Transportation Minister may obtain free rail transport for education trainers or storytellers. Establishing friendly relations with the director of the national airline may facilitate civic education tremendously. Under the constraints normally found in the developing world, time and energy spent on logistics are not extras, they are essential elements for success.

## **F. Calendar**

In some cases, elections take place primarily if not exclusively as a result of international pressure. Frequently in these cases the ruling party will manipulate the electoral calendar in an effort to destabilize opposition parties. While the seriousness of these acts goes beyond the work of a civic education program, a Project Manager may find that the electoral calendar itself is the primary topic of his or her short-term campaign. Under these circumstances, radio, television, and vehicles with loudspeakers are probably the most effective tools for keeping the electorate informed.

## **G. Working with host country officials and non-governmental organizations to implement the short-term civic education program**

Host country non-governmental organizations can be very useful partners in a short-term civic education program. Not only do they have the knowledge required to disseminate the information to a population



whose language they speak and whose problems they share, but often NGOs may have the trust of the people as well.

In addition to non-governmental organizations, officials, teachers, electoral administrators, and others may be enlisted to implement voter education programs.

#### **H. Implementation methodologies**

The methodology to be used in short-term civic education project will depend on the specific circumstances. Often the methodology chosen involves selecting a small group of educated and easily trainable host-country men and women who in turn can educate fellow citizens.

The teaching techniques utilized in civic education programs are selected with regard to time and financial constraints. Traditional methods of information dissemination deserve consideration. Theater, puppet shows, popular radio and television programs, songs, and local graphic artists, have played a role in voter education in different countries.

Multi-media training employing slides, filmstrips, overhead projections, and video can be effective, but is often impossible in light of limitations on the budget. Experience with some or all of these techniques in a number of different nations revealed that people initially exhibited a greater interest in the equipment and the technology than in the message. If time and money permit, mobile video units can be extremely effective in giving people a visual explanation of the voting process.

#### **I. Report writing -- team management and evaluation**

##### **1. -Weekly reporting**

Weekly reports are highly desirable from the field to program staff at IFES. These reports should provide information regarding activities relevant to the ongoing program: people contacted, information gathered, activities related to program whether or not anticipated and planned.

## 2. Final reporting

Final report summarizing the program, complete with evaluation, should be done expeditiously, in a time-frame to be determined with team members. Writing of the final report should be assigned. Accompanying materials (appendices, etc.) should be discussed as well.

### FINAL REPORT OUTLINE

#### A. Executive Summary

#### B. Introduction

##### 1. Scope of work

This section should describe what the team has been assigned to do.

##### 2. IFES capabilities

This section should summarize IFES general capabilities, then focus particularly on civic education.

##### 3. Team members

List, complete with qualifications for the task at hand.

#### C. Context of democratization

This information should be provided from a number of different sources: IFES pre-election assessments; research; secondary materials; as well information gathered during the process of the civic education program. There may or may not be relevant "Recommendations" to be made along the way in this area, depending on the nature of the mission.

#### D. Status of civic society: Background material

##### 1. Ethnic diversity and language barriers

##### 2. Special needs

###### a. Women

###### b. Literacy level

##### 3. Public Information

##### 4. Administrative Responsibilities

##### 5. Communication and media resources



- 6. Creative options and alternatives
- E. Description of civic education program
  - 1. Summary of program
  - 2. Agenda of topics
  - 3. List of in-country participants
  - 4. Training material used
- F. Evaluations
- G. Recommendations
  - 1. Lessons learned
  - 2. Suggested follow-up
- H. Conclusion



## V. Outline of possible topics for civic education.

### Overview:

Civic education is not simply a pleasant pastime. It is an actual element to weave the tapestry of a free society. It must be approached in a dynamic fashion: the trainees should be offered tools for change. All societies need ongoing civic education to ensure that citizens understand the rights and responsibilities involved with being in a democracy. This is especially true for societies at a point of transition from a closed to an open system of government. Above all, emerging democratic societies need to know why civic education is important.

The components of civic education could each take a long time to convey, and the means of disseminating the information are varied. It is possible to design a civic education project that deals with only one small aspect of the larger picture or a more broad-based approach that seeks to spell out the place of the individual in society, the importance of political action, and the meaning of freedom.

A discussion of the methodological options available to the civic education trainer was presented in the prior section. Each issue discussed in this section may be adaptable to a variety of those methodological options.

#### A. Short-term civic education

General topics for discussion in a short-term civic education project, which focuses primarily on voter education, follow:

- The Constitution and the Electoral Law
- Secrecy of the vote
- One-person-one-vote (individuality of the vote)
- Your vote is your voice

- The role of the loyal opposition
  - The votes of men and women are equal
  - Electoral systems such as proportional or majoritarian
  - What is majority rule?
  - Voter registration
  - Mechanisms to discourage electoral fraud, as indicated in the electoral code
    - indelible ink
    - registration card
    - numbered ballot stubs
    - ballot box seals
    - party representatives at polling places
    - national observers
    - international observers
  - The right to vote and the responsibility to vote
  - Parallel vote counts
- B. Long-term civic education**

Topics for long-term civic education are extensive. These topics run the gamut of political theory; however, they are limited to those directly related to democracy and the electoral process.

**1. The individual in society: theoretical concepts**

This topic involves an exploration of the concept of the individual: what is his place in the world, how does he see his mission and his relationship with his surroundings -- whether it is nature, his immediate



group (family, peers, ethnic and religious community), society, the state, and spirituality. The literature on the topic is enormous; a trainer should be sensitive to the needs of the particular country:

Suggested texts: Henry David Thoreau's Walden and On Civil Disobedience; Karl Weintraub's The Value of the Individual (University of Chicago Press); Mircea Eliade's Cosmos and History (University of Chicago Press); Confucius; and many others. The indigenous literature, preferably fiction and folk tales, should be used to illustrate points.

## 2. Basic concepts of civic education

### a. Human rights

A comparative analysis of the various traditions in the rich literature of human rights would be appropriate as a starting point no matter what aspect of civic education is used. Simplicity and clarity may be achieved without sacrificing theoretical accuracy, although admittedly this requires considerable sophistication.

Suggested texts. A Human Rights Reader, an excellent anthology; The Challenge of Democracy, by Janda, Berry, and Goldman; and many others. Original classical texts by John Locke, Karl Marx, Immanuel Kant, as well more modern technical works on moral philosophy -- such as Robert Nozick, John Rawls, and Michael Oakeshott, as well as Soviet ethical theory -- are highly relevant by way of background reading for the trainer, even if probably too abstruse for the trainees.

A few good (if somewhat general) texts include: Karl Dietrich Bracher, The Age of Ideologies (London: Weidenfeld and Nicolson, 1984); F.D. Sullivan, The Utopian Vision (San Diego University Press, 1983); Graeme Duncan, ed. Democratic Theory and Practice (Cambridge University Press, 1983).

### b. Power and authority





The idea of legitimate, lawful, and desirable authority is highly desirable, indeed necessary for a democratic system to work. A comparison between harmful uses of power and authority on the one hand and the legitimate uses on the other should be very useful.

Suggested texts. One of the best sets of materials on the concept of authority has been produced by the Center for Civic Education in California. While addressed to elementary and high school students (there are four levels of materials), this is an excellent teaching tool. A trainer may decide either to use the materials outright (they come in sets of 30, complete with film and instructor's manual), or adapt them.

c. Social values

The concept of a civic culture is complex yet fundamental. Social values are often difficult to identify but must be developed if it is to be a dynamic democracy. The relationship, and sometimes tension, between freedom and equality must be understood and appreciated, and choices made. The concept of order and progress should be examined from different perspectives, with sensitivity to cultural divergence in treating these somewhat amorphous concepts. Above all, tolerance has to be incorporated as a prime social value including respect for minorities, women, all individuals as morally equal.

Suggested texts. William E. Connolly's The Terms of Political Discourse (Princeton University Press, 1983); Harold J. Laski, A Grammar of Politics (London: George Allen and Unwin, 1925); Harold Lasswell and Abraham Kaplan, Power and Society: A Framework for Political Inquiry (Yale University Press, 1950); Gabriel A. Almond and Sidney Verba, The Civic Culture: Political Attitudes and Democracy in Five Nations (Little, Brown, 1963); Exista la Vocacion Polita de la Mujer? (Santiago, Chile: Participa, 1990); Monica Jimenes de Barrios, "Education para la participacion Ciudadane" in Conferencia Interamericana Sobre Sistemas Electorales, May 1990 (IFES publication). It is crucial, moreover, to look at the issue comparatively and cross-culturally.



### 3. The state: a conceptual understanding

#### a. Departing the state of nature

The idea of the origin of the state is essential to any appreciation of what political society is about. Why should any person subject himself (or herself) to the will of a group? This is the central question of political philosophy. The eighteenth century answer, which is that "the state of nature" implies anarchy and ultimately the absence of all liberty, is one approach, but there are others. A comparative approach is required, exploring the utilitarian reasons for the state, as well as the totalitarian conception which would have the individual totally subordinate to the authority in power.

Suggested texts. A plethora of classic authors are relevant -- Plato, Aristotle, Hobbes, Locke, Hegel, Marx, Lenin, Stalin, etc. More comprehensive texts include: Reo M. Christenson et al., Ideologies and Modern Politics (Harper & Row, 1981); David Ingersoll, Communism, Fascism and Democracy (Charles E. Merrill, 1971); and Robert Nozick, Anarchy, State, and Utopia.

#### b. The nation-state: international context

Particularly the newly-emerging post-communist states, but also other nations throughout the globe, must come to terms with their individual identity, with their cultural traditions and separate existence in the international arena. Different theories of nationalism are worth exploring if only to emphasize that the problem is hardly unique -- each country has to settle it for itself somehow. There are also various aspects to nationalism, some quite virulent, that need to be addressed. Finally, the state certainly provides a survival mechanism within a dangerous world whose self-government (through such organizations as the United Nations) is tenuous at best.

Suggested texts. Among the plethora of works on nationalism, some stand out as particularly timely: Hans Kohn, The Idea of Nationalism: A Study in Its Origins and Background (Macmillan, 1944); Louis L. Snyder, The Dynamics of Nationalism: Readings in Its Meaning and Development (D. Van Nostrand Co., 1964); Karl W. Deutsch, Nationalism and Social Communication: An Inquiry into the Foundations of Nationality (Technology Press of Massachusetts, 1953); Juliana Geran Pilon, The Bloody Flag: Post-Communist Nationalism in Eastern Europe (Transaction Press, 1992).

#### 4. Understanding government

##### a. Federalism

There are many ways to govern oneself, many systems and methods, depending on a variety of factors. The concept of federalism has its pros and cons; the particular make-up of a nation will determine what is best suited at a particular time.

Suggested texts. Ursula K. Hicks, Federalism: Failure and Success (Macmillan, 1978); Mark O. Rousseau and Raphael Zariski, Regionalism and Regional Devolution in Comparative Perspective (Praeger, 1987); Herman Bakvis and William M. Chandler, Federalism and the Role of the State (University of Toronto Press, 1987).

##### b. Comparative electoral systems

Most newly emerging democracies require a serious comparative analysis of possible electoral systems prior to choosing the one that appears to be best suited for them at this critical stage in history.

Suggested texts. Andrew McLaren Carstairs, A Short History of Electoral Systems in Western Europe (Allen and Unwin, 1980); Russell J. Dalton, Citizen Politics in Western Democracies (Chatham House, 1988). Seymour M. Lipset and Rokkan Stein, Party Systems and Voter Alignments: Cross-National Perspectives (Free Press, 1967).

##### c. Role of political parties

There are many analyses that explain what role political parties play in the life of a state. This concept is particularly important where opposition parties either existed underground for many years or did not exist at all. The idea that differences of opinion not only can be tolerated in a stable society but are a necessary aspect of pluralism requires explanation and defense. The unifying effect of parties must be elaborated, including an explanation of what platforms are -- that is, what role they have in creating cohesive philosophical and pragmatic units capable of organizing political action.

Suggested texts. Maurice Duverger, Political Parties, Their Organization and Activity in the Modern State (John Wiley and Sons, 1954); Henry W. Ehrmann, ed., Interest Groups on Four

Continents (University of Pittsburgh, 1958); Richard Hofstadter, The Idea of a Party System: The Rise of Legitimate Opposition in the United States (University of California Press, 1972); Kay Lawson, The Comparative Study of Political Parties (St. Martin's Press, 1976); Richard L. McCormick, Political Parties and the Modern State (Rutgers University Press, 1984); Peter Gundelach and Karen Suine, eds., From Voters to Paraticipants (Aarhus, Denmark: Politica, 1992).

d. Role of local government

The significance of local government cannot be overestimated, especially considering that these are usually the first units resembling self-government within the newly emerging civic society. In addition to analyzing different aspects of electoral processes and electoral law involving local government, civic education must consider the relationship between the local authorities and their constituents and also the interaction among different local governors.

Suggested texts. Malcolm E. Jewell, Representation in State Legislatures (University of Kentucky Press, 1982); Mark O. Rousseau and Raphael Zariski, Regionalism and Regional Devolution in Comparative Perspective (Praeger, 1987); Sidney Tarrow, Between Center and Periphery: Grassroots Politicians in Italy and France (Yale University Press, 1977).

e. Arguments for separation of powers

The notion of "balance of powers," of "checks and balances," is novel in many cultures where power had been centralized. Besides explaining the philosophical aspects of these ideas -- that is, the notion that concentrating power is corrupting, and multiple centers allow for greater accountability -- trainers should examine different ways of accomplishing such separation of powers.

Suggested texts. John L. FitzGerald, Congress and the Separation of Powers (Praeger, 1986); The Federalist Papers.

### 1) Function of the legislature

The legislative function of government may be divided in various ways -- parliaments could be unicameral or multi- (usually bi-) cameral. Pros and cons should be discussed.

Suggested texts. Hannah Fenichel, The Concept of Representation (University of California Press, 1972); Gordon Jones, ed., The Imperial Congress (Heritage Foundation); Michael Palmer, The European Parliament (Pergamon Press, 1981); Randall B. Ripley, Congress: Process and Policy (Norton, 1983).

### 2) Function of the executive

Whether the executive power should be strong or weak in relation to the legislature should be discussed. In many cases, after emerging from a period of centralization there is a tendency to avoid endowing the executive with too much strength, by way of reaction. On the other hand, a society that feels too weak and is used to authoritarianism may desire a strong executive "father figure." There are reasons for either approach, but ideally the executive function should be analyzed as objectively as possible.

Suggested texts. Richard Rose and Ezra N. Suleiman, eds, Presidents and Prime Ministers (American Enterprise Institute, 1980).

### 3) Function of the judiciary

The independence of the judiciary is a basic prerequisite if one is to take seriously the rule of law. The way judges are chosen, their function relative both to the legislative and the executive, are indispensable subjects of discussion under this heading.

Suggested texts. Edward McWhinney, Supreme Courts and Judicial Lawmaking: Constitutional Tribunals and Constitutional Review (Martinus Nijhoff, 1986).

## 5. Economic basis of politics

### a. The right to private property vs. "positive rights"

The concept of the right to property was elucidated by John Locke and Adam Smith, in the classical liberal tradition. Radically different perspectives on the subject have been presented by other traditions. The literature is rich, but of varying degrees of lucidity.

Suggested texts. John Locke's Second Treatise on Government; Adam Smith, The Wealth of Nations (sections); Ellen Frankel Paul et al., eds. Marxism and Liberalism (Basil Blackwell, 1986).

### b. Privatization

Suggested texts. The Adam Smith Institute in London has produced a number of comparative studies on privatization. The Atlas Foundation also has some good materials on the subject.

### c. Some basic economic concepts

Among the basic economic concepts necessary for even the most elementary understanding of a democracy are: prices, ownership, profit, stocks, bonds, inflation, recession, among others.

Suggested texts. The Center for International Private Enterprise has produced a number of modules that are very useful for teaching basic economic concepts. A basic text from a free market perspective are Milton Friedman's Free to Choose, which also comes in video cassettes, and his older but still very readable Capitalism and Freedom. A comparison with Marxist economic theory is usually very useful. Henry Hazlitt's Economics in One Lesson is a standard elementary text.



d. **Business and management**

A civic education program cannot usually go into any great detail to provide business and management training. Some basic concepts however may well be required for the purpose of explaining the place of business in a democracy.

Suggested texts. Ricky W. Griffin, Management (Houghton Mifflin Company); W.M. Pride et al., Business (Houghton Mifflin Company).

6. **Organizing for political action**

a. **Lobbying**

The right of citizens to form interest groups to promote their point of view is well accepted (the right to free association) in a dynamic society, but may be limited in certain respects. Different legislative constraints might be placed on campaign contributions, etc.

Suggested texts. Jeffrey Berry, The Interest Group Society (Little, Brown, 1984); Henry W. Ehrmann, Interest Groups on Four Continents (University of Pittsburgh, 1958).

b. **Political influence groups**

Influence groups may have a specific political and ideological coloration. Their activities are protected by the right to free speech.

Suggested texts. Andrew S. McFarland, Common Cause: Lobbying in the Public Interest (Chatham House Publishers, 1984).

c. **Think tanks**

The concept of a research institution devoted to public policy is relatively new in emerging democracies but by no means uncommon in older, established democracies. There are examples that are being



initiated on a global basis. Such initiatives are very important in developing alternatives for policy-making.

The annual reports of several think tanks -- such as Brookings, The American Enterprise Institute, Heritage Foundation, Carnegie Endowment, The Hoover Institution, and many others -- could be used as samples.

#### d. Voter participation groups

Encouraging citizens to vote is an important function for the civic society. Among the related activities, moreover, are organizing debates -- such as the Presidential debates held under the auspices of the League of Women Voters in the U.S.

Suggested texts. Benjamin Ginsberg, The Consequences of Consent: Elections, Citizen Control and Popular Acquiescence (Addison-Wesley, 1982); Lester W. Milbrath and M.L. Goel, Political Participation (Rand McNally, 1977); Raymond Wolfinger and Steve Rosenstone, Who Votes? (Yale University Press, 1980); Joseph F. Zimmerman, Participatory Democracy: Populism Revived (Praeger, 1986). Peter Gundelach and Karen Suine, eds., From Voters to Participants (Aarhus, Denmark: Politica, 1992). Humberto Noguiera, coordinator, Manual de Educacion Civica (Santiago, Chile: Participa, 1992). Jose E. Moline, La Participacion Electoral en Venezuela (San Jose, Costa Rica: Centro de Asesoría y Promoción Electoral, 1991).

### 7. The philanthropic sector

#### a. Charitable organizations

While people's philanthropic impulses are universal, the concept of philanthropy is new to many emerging democracies. The need to help one's fellow man is particularly important; however, in societies of great scarcity where funds are in short supply, the needs are enormous.

Suggested texts. Legal Structures for Voluntary and Community Organizations: A Guide to the Available Literature (Legal Structures Group, c/o BMCVS, 19-25 Sunbridge Road, Bradford BD1 2AY, England)



b. Cultural and religious groups

Cultural and religious groups mushroom in an atmosphere of freedom and tolerance. Their role is essential to preserving and fostering a strong sense of tradition, ethnic pluralism, and creativity.

Suggested texts. Ernest Gellner, Culture, Identity, and Politics (Cambridge University Press, 1987); Lucian W. Pye and Sidney Verba, eds., Political Culture and Political Development (Princeton University Press, 1965); A. James Reichley, Religion in American Public Life (The Brookings Institution, 1985).

8. Political socialization

The process of acquiring a particular view of the political world is complex, having been influenced from an early age by many factors: the family, schools, peer, news media -- both local and international, and political reality. What has been learned may have to be "unlearned," or new concepts may be acquired.

Suggested texts. Margaret G. Hermann, ed., Political Psychology (Jossey-Bass Publishers, 1986); Robert E. Dowse and John A. Hughes, Political Sociology (John Wiley, 1986); Carol Barner-Barry and Robert Rosenwein, Psychological Perspectives on Politics (Prentice-Hall, 1985).

9. Mobilizing energy of the civic society

a. Addressing sources of apathy

Low voter turnout and voter apathy have many causes. Generally, an inactive civic society is symptomatic of deeper problems. A comparative analysis exposes some of the issues, with possible solutions.

Suggested texts. Gabriel Almond and Sidney Verba, eds., The Civic Culture (Little, Brown, 1963); Thomas Humphrey Marshall, Class, Citizenship and Social Development: Essays (Doubleday, 1964); Monica Jimenes de Barrios, "Educacion para la Participacion Ciudadana" in Conference Interamericana Sobre Sistemas Electorales, May 1990 (IFES publication); Humberto Noguiera, coordinator, Manual de Educacion Civica (Santiago, Chile: Participa, 1992).



b. Enhancing mutual respect

A civic society requires tolerance and mutual respect. Many newly emerging democracies, particularly in the former Soviet Union, have been struggling with the idea of national identity and ethnophobia. Without respect for each person's rights a democracy cannot function.

Suggested texts. Kenneth P. Langton, Political Socialization (Oxford University Press, 1969); Roberta S. Sigel, ed., Learning About Politics: A Reader in Political Socialization (Random House, 197); Richard Dawson and Kenneth Prewitt, Political Socialization (Little, Brown, 1969).

c. Leadership enhancement

Leadership -- in particular, democratic leadership -- must be taught and fostered in a democracy. Some are born leaders, but many can learn the skills, with painstaking discipline.

Suggested texts. Bernard M. Bass, Handbook of Leadership (Free Press, 1981); Barbara Kellerman, Political Leadership (University of Pittsburgh Press, 1986); IFES Leadership Manual.

d. Voter education

The most widely known aspect of civic education, in fact, is voter education. The most significant aspect of political action is voting. Yet voting is impossible if the process is either not understood or not appreciated. The first step in any civic education program that focuses on elections involves voter education.

Suggested texts. Richard Niemi and Herbert Weisberg, eds., Controversies in Voting Behavior (Congressional Quarterly Press, 1984); Russell B. Dalton, Citizen Politics in Western Democracies (Chatham House Publishers, 1988); David Butler et al., Democracy at the Polls (American Enterprise Institute, 1981); Humberto Noguiera, coordinator, Manual de Educacion civica (Santiago, Chile: Participa, 1992)

## 10. Politics and the media

### a. History relevant to country at issue

Each country has a different media history. A civic education trainer will do well to understand the spectrum of publications and media outlets available. The information relevant to this issue is obtained strictly through interviews and research in country. For Eastern Europe, the International Media Fund has produced some very good material regarding the current media situation.

### b. Media control

The issue of who controls the media is crucial. A free press is a prerequisite for a free society. But a free press is not necessarily a responsible or an objective press; some kinds of control are sometimes appropriate -- if only through the legal system in the form of libel laws.

Selected texts. Ranney Austin, Channels of Power: The Impact of Television on American Politics (Basic Books, 1983); David L. Paletz and Robert M. Entman, Media Power Politics (Free Press, 1981); Dan Nimmo and Michael Mansfield, eds., Government and the News Media: Comparative Dimensions (Baylor University Press, 1982).

### c. Patterns of media coverage

The issue of bias in the media is perennial, and probably unavoidable. A plurality of sources is ultimately the best defense against underinformation and misinformation. But there are important techniques to detect patterns of coverage, which are specific and accurate.

Selected texts. David L. Paletz, Political Communication Research (Ablex Publishing, 1987); David H. Weaver et al., Media Agenda-Setting in a Presidential Election (Praeger, 1981); Lewis H. Wolfson, The Untapped Power of the Press (Praeger, 1985); Michael Parenti, Inventing Reality: The Politics of the Mass Media (St. Martin's, 1986).



d. Citizen access and input

Watchdog organizations such as Accuracy in Media, People for the American Way and others -- some monitoring ideological bias, others concerned about violence and sexual content in television, etc. -- are an important part of the tapestry of civic society. Citizens have many ways to affect the media. Boycotts of companies that sponsor programs whose content displeases are one fairly common example of citizen action. Editorials and letters are another. The idea that citizens' voices matter is important, and should be explained.

Selected texts. Materials by such groups as Accuracy in Media could be used by way of example, as well as examples of radio spots and editorials and letters. This is a good opportunity for a "show and tell" approach.

## VI. Monitoring and evaluation strategy

Civic education training can and should be evaluated on several levels, using a variety of evaluative tools, with several different audiences and purposes in mind. Each type of evaluation listed below is described in terms of the questions:

- What is being evaluated?
- Why is it being evaluated?
- How is it to be evaluated? and
- Who is the audience for the evaluation and how is the evaluation passed on to the relevant audience?

### A. Evaluating team members' performance

The performance of each individual trainer should be evaluated, for two primary purposes:

1. To assess whether the scope of work and other formal expectations have been fulfilled sufficiently to justify payment of consultant's fee; and
2. To leave an evaluative record of the consultant's work in his/her IFES file, in order to better judge his/her suitability for future assignments.

The IFES Program Officer who managed the civic education training project should solicit feedback from the USAID mission, the U.S. embassy or other funder with whom the consultant interacted in the field, regarding the consultant's performance according to the pre-established criteria: ability to express him/herself in English and the official language; positive interaction with host country officials and USG officials in-country; and substantive contribution to the tasks outlined in the scope of work. The Program Officer should add his/her evaluative comments on those performance criteria, based on Washington briefings and debriefings and on the training mission report.

The Program Officer's evaluation of the poll worker training team members should be written and placed in the consultant's confidential file at IFES.



## B. Evaluating Project design and support

IFES' project design and support for the technical assistance team should be evaluated by the team members with the primary evaluative criterion being: Did IFES enable the consultants to do as good a job as possible in facilitating the training? The purpose of this evaluation is to give feedback to IFES on its general administrative procedures in designing and supporting a poll worker training, so that the design and support can improve with future training missions.

The Program Officer asks the training team members to give feedback for this evaluation after the completion of the training project, requesting that they give a written response evaluating project elements such as the following:

1. Make-up of the training team: size; degree of meshing of skills, of personalities; appropriateness of choice of team leader and report coordinator
2. Preparations for the mission: briefing book; accuracy of verbal description of project task; quality and helpfulness of Washington briefings
3. IFES support to team while in-country; and, if applicable, USG/AID support team in-country
4. Length of stay in-country
5. Length of time given for consultant's report writing
6. Overall project design: feasibility and appropriateness of scope of work

The team members' written evaluation should be sent to the Program Officer, who will share the comments with other program staff and use the consultants' suggestions to make improvements in poll worker training project management.

### C. Evaluating project's responsiveness to funder's and host country's needs

The project as a whole should be evaluated according to how well it responded to the needs of the host country and the funder. Evaluation of this question can be profitably carried out both immediately after the completion of the immediate round of elections and again after any subsequent elections.

#### 1. Immediate project evaluation

The evaluative questions that the IFES Program Officer should discuss with the project funder, and to the extent possible host government officials, include the following:

- Was the project scope of work sufficiently comprehensive and sufficiently focussed to meet the needs of the funder and the host country?
- Were the individual objectives of the scope of work fulfilled, through the assessment team's work in-country?
- Was the IFES response to the need and the request for civic education training generally satisfactory?
- What, if any, are the near-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in continuing to enhance the society's understanding of civic education principles?

The means for gathering answers to these questions, from the funder and from host country officials, may vary. Informal means, such as telephone calls, often can solicit a more frank and comprehensive response. It is important, however, to also solicit written responses to these questions, if possible.

The funder and host country evaluation of the project should be collected, written down (if given verbally), and commented on by the IFES Program Officer, and included in the permanent project file. The funder and host country evaluation should also be presented at the project evaluation meeting convened by the regional Program Director. (See item D, below.)



## 2. Additional project evaluation

To further evaluate the effectiveness of the training in assisting in the facilitation of democratic elections in the host country, both in terms of election preparations and election assistance, it is useful to solicit feedback from the USAID mission, U.S. Embassy, or other funder after the elections. One tool for gathering that feedback might be a questionnaire such as the following, to be sent to the U.S. ambassador, DCM, political officer, USAID director, appropriate non-governmental organizations, or other appropriate representative of the funding institution. If possible, a questionnaire might be sent to an appropriate host country official(s) as well.

- On a 1-10 scale, how would you evaluate the effectiveness of the civic education team's visit in carrying out the objectives set by the U.S. Embassy/USAID mission/other funder? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the civic education team's visit in carrying out the objectives set by the host country government? (If applicable; if not, the objectives set by IFES in cooperation with funder.) Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES civic education materials in addressing the needs of the elections administration? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES training in developing a group of core trainers capable of training other civic education trainers? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES civic education trainers and the civic education materials in addressing the needs and the concerns of the host country trainees? Explain.
- On a 1-10 scale, how would you rate the expertise and the professionalism of the civic education training team, as reflected in their work in-country and in their written report?
- What were the most notable weaknesses of the IFES team?



- What were the most notable strengths of the IFES team?
- Do you have any other comments on the IFES civic education training program in the host country? (regarding, e.g., the length of stay, the timeliness of the visit, etc.)
- How would you evaluate your dealings with IFES Program Staff in Washington? What recommendations would you make for improvement in the manner in which IFES responds to civic education training requests from U.S. Embassies (or USAID missions, or other sources)?

#### D. Evaluating project fulfillment of IFES' objectives

IFES implicitly or explicitly sets institutional objectives for each project that it undertakes, including poll worker training. At the completion of the project, the relevant IFES staff should gather to review those objectives and to evaluate whether they have been accomplished. Institutional objectives for carrying out a poll worker training might include the following:

- to satisfy a request from a funder with whom it is important to maintain or build a good relationship;
- to lay the groundwork for further short-or long-term civic education assistance in the country or for an up-coming observation mission;
- to fulfill in part the IFES annual workplan;
- to generate the revenue that comes from the overhead category in the project budget;
- to provide training facilitation and/or design experience to an IFES staff member or consultant.

An evaluative discussion regarding each project should be convened by the regional Program Director, to include representatives from program staff, financial and administrative staff, and executive staff, to examine how well the project has fulfilled the institutional objectives of IFES. Such discussion should



determine whether a project has been successful to IFES and whether similar projects should continue to be undertaken.



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# HOW TO ORGANIZE A POLL WORKER TRAINING PROJECT

## I. Project Identification and Negotiation

### A. Project Identification

#### 1. Satisfaction of IFES prerequisites for a poll worker training project

- Invitation from the host government
- A democratizing country
- Available funding

Offering appropriate technical assistance to requesting countries is a basic tenet of the International Foundation for Electoral Systems (IFES) philosophy. Assistance can be considered appropriate when it is tailored to the specific needs of each country, when it takes into consideration the long-term goal of building a sustainable institutional base for a democratic electoral system, and when it is provided at the request of the host government. A request from an indigenous organization should be ratified by the host government.

Poll worker training is a critical element of any electoral process. Polling station members play a direct role in guaranteeing the individuality, secrecy and availability of the vote for all potential voters. Training of poll workers should take place with two distinct goals in mind:

1. Facilitating a smooth, well-administered electoral process; and
2. Developing an effective electoral administration with participants from all segments of society.

Irrespective of whether the goals of the project are established on paper and/or the ideal consultants have been identified to guide to project's progress, a key issue remains. It is not the policy of IFES to conduct assistance missions in a country whose government has not extended an invitation. This invitation might come to IFES through either the U.S. Embassy or the USAID mission, another organization which will be co-sponsoring or funding the mission, or to IFES itself. IFES must also be assured of the host government's demonstrated and continued commitment to the implementation of a democratic transition process before beginning work. IFES must be assured that the government is abiding by internationally recognized standards in its preparation for multi-party elections. At the very least, IFES must be assured that the government will welcome an independent, objective technical assistance project such as poll

worker training, that the trainers will be given access to all relevant information and people and that the team's presence will not be used in bad faith for propaganda purposes.

A third criterion to be considered in the development of a project is the identification of a funding source, such as U.S. AID, the National Endowment for Democracy, the United Nations, or private foundations or corporations.

**2. Timing of poll worker training project in relation to electoral calendar.**

A poll worker training project can be carried out usefully at various times during the pre-election period. In general, it should not come before a country has clearly embarked on a path toward a national referendum or multi-party elections. Prior to the training team's commencement of work, election dates should be set; and it is helpful for a general election calendar to have been formulated. Sufficient time should be available before the elections to permit training to be completed. In this manner, the training team focus can be on the electoral process.

**3. IFES' objectives in undertaking this project**

- a. Why did IFES initiate this poll worker training, or respond positively to the request to undertake this mission?
- b. What are IFES' institutional objectives for this project?
  - Fulfills IFES annual operating plan
  - Gather information on different electoral models to share with other countries
  - Make contacts who could provide assistance in other countries

IFES undertakes poll worker training missions in order to accomplish one of several possible objectives. Primarily, IFES would undertake a training mission at the request of a donor with whom IFES has maintained a long and valued relationship or a donor with whom IFES sought to develop such a relationship. Most importantly, IFES has been mandated to advance the electoral process in evolving free and democratic societies; therefore, such a mission would fulfill an important aspect of IFES' annual operating plan.



The IFES Poll Worker Team should collect information relative to the electoral model used in the host country and document the effectiveness of the poll worker training with respect to the electoral process. This information will provide a basis for information dissemination to other countries.

Each of these projects should recover all direct and out-of-pocket costs and also generate support for IFES' Resource Center, information dissemination and administration, thereby achieving another objective of the IFES annual operating plan. Additionally, during the course of a poll worker training project, the IFES team will undoubtedly make contact with individuals who will have both an interest and the experience to participate in IFES projects in other countries. Individual Data Sheets should be provided to these individuals so they may be completed and returned to IFES/Washington for entry into the IFES Resource Center Database.

**B. Scope of Work from funder**

**1. Goals, objectives, activities:**

- Are they mutually satisfactory to IFES and to funder?
- Are they feasible, given constraints?
- Are there agreed to criteria for evaluation?

The project's goals and objectives are reflected in the terms of reference as agreed to by IFES and its funding source(s). Certain elements of the project are essential to meeting IFES' objectives, such as expanding the information base in the IFES Resource Center; others may be incorporated at the suggestion of the funder or by the funder on behalf of the host government. It is imperative that all concerned achieve consensus regarding mutual expectations and constraints before the project begins.

As part of developing a proposal for the training of poll workers, it is instructive to think of the magnitude of such a training program. Normally, polling stations are staffed with three to six people. A nation with 8.5 million registered voters serviced by one station for every 1000 voters will be required to staff 8,500 polling stations. Therefore, 8,500 polling station presidents will receive training and, in turn, will be responsible to train two to five additional staff, for a potential total of 17,000 to 42,500 individuals. Therefore, poll worker training is not an initiative to be taken lightly.



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Additional members of the polling center staff who must be familiar with its operations are delegates representing individual parties and/or candidates, domestic and international observers, and if permitted by law, electoral police. More importantly, poll worker training requires careful coordination with all aspects of the electoral process. Poll workers cannot function adequately without knowledge of the materials that will be found in each polling station. Observers cannot observe if they are not familiar with the workings of the polling station and the functions of the respective personnel. Party delegates must also understand the polling station functions to monitor the neutrality of the proceedings. Police assigned to keep order on election day will not be able to maintain a calm and orderly environment at the polling station unless they are adequately trained in the electoral process. To balance the process, poll workers must also be familiar with the roles and responsibilities of each of these groups involved in the electoral process. Coordination is necessary between the host country government, the donor organizations and the local and international groups responsible for the training of poll workers, observers, and political parties.

The training program requires a three-way commitment linking the host government, the donor and the technical assistance organization. As IFES discusses the scope of work of poll worker training project with a USAID mission, a U.S. embassy, or other funder, it is essential bring the host government into the discussion, either with IFES directly or through the funder as intermediary. Acknowledgement by the host government of the need for a training program and the extension of an invitation to an organization to facilitate the program is required.

The host country government's commitment does not end with the invitation. If possible, it should support the training through publicity and by granting leave to regional and local administrators to participate as trainees and/or trainers. In addition, the government should make available facilities for the training sessions around the country, and cooperate with the international and domestic trainers to ensure that they are provided with the most accurate and up-to-date information for the training manual and the training program.

The desire for both depth and comprehensiveness in the training program must be balanced against the limitations and constraints that are inherent in the project format. IFES and the funder should thus negotiate a scope of work that is feasible given the limitations of time and team size, as well as the need to make the poll worker training practical, politically acceptable and economically cost effective.

The logo for IFES (International Foundation for Electoral Systems) is located in the bottom right corner. It consists of the letters "IFES" in a bold, sans-serif font, with a stylized graphic element below it that resembles a globe or a network of lines.

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The objectives of the project, as reflected in the scope of work or terms of reference for the training program, must be written in a form that indicates clearly what the funder expects from IFES and what IFES expects from the team, including consultants, who will be carrying out the training program. They also should be written so that their accomplishment is measurable, both by IFES and by the funder. In the evaluation phase of the project, both institutions should be able to clearly assess the degree to which objectives were fulfilled.

## 2. Budget

- a. What to budget for?
- b. Arriving at budget agreement with funder

As the terms of reference and objectives of the project are defined, IFES must begin to develop a project budget. This budget should include all elements of direct and indirect costs based on previous IFES experience and additional information provided by the funder or the host government. Backup documentation and the basis of estimation for individual line items should accompany the budget. A primary objective of the budget process is to make the proposed budget as complete and realistic as possible. The proposed budget should reflect the realities of the project environment and make provision for unanticipated expenses. Supply costs, consultant and staff salaries, training manual development and reproduction, transport costs for trainers and trainees, and per diem add up rapidly. The first draft of the budget will serve as the basis of negotiation with the funder(s) in determining the final project scope and budget.

The IFES Poll Worker Training budget should be drafted in cooperation with the IFES Director of Finance and Administration. The budget is included as part of the project proposal and is subject to review and approval by IFES executive staff before being forwarded to the funder.

### C. Negotiating other project parameters

1. Arrangements with host country
  - a. What are the host government's expectations?



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- b. Who is the primary point of contact in the government for the assessment team?

IFES should request copies of correspondence between the funder and the host government regarding discussions of the training project and the host country government's understanding of the program's objectives and priorities. In the case where the funder initiates the project activity, it should provide a written summary of discussions with the host government, and a list of the names and titles of the government officials who will be the project team's primary or initial points of contact. Written documentation should also spell out the parameters of the partnership between the project team and the government or non-government organizations. For example, the government might provide the project with administrative help, local transportation, office space, provisional trainees or core trainers, or by facilitating discussions with officials inside and outside of the government.

In the event additional assistance (donor) organizations are involved in the electoral process, lines of communication are needed between those groups and the IFES training consultants. Information should flow easily among groups involved with different phases of the elections. Should a spirit of competition develop between international and non-governmental organizations in the field, it may serve to jeopardize the success of the project. The project manager(s) and project administrators should encourage immediate dialogue to prevent duplication of effort, misunderstandings and tense situations.

## 2. Arrangements with U.S. Embassy or USAID mission

- a. Lodging, transportation
- b. Setting up initial meetings

The funder(s) also must understand what is involved with this kind of training program. Discussions with the funder should clarify the degree and kind of support that they intend to provide for the team, such as car and driver, office space, access to communication facilities, and the facilitation of contacts with information sources in-country. If the project is USAID funded or if judged to be appropriate, the USAID mission and/or the embassy may be requested to make reservations for the team at a suitable hotel in the capital and to facilitate the team's entry and exit from the country.



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As soon as both IFES and the funder are in general agreement with the arrangements spelled out in the proposal, a Project Authorization should be filled out, covering the proposal, and sent to the appropriate AID/Washington representative. This will meet AID's requirements for its Core support. Authorizing documents for each funder/donor (UN, Host Country government, etc) will be prepared as required.



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## II. Selection of Poll Worker Training Project Team

### A. Specification of people to be trained

1. Poll workers
2. Polling center presidents
3. Election administrators

A critical element in selection of the poll worker training team is understanding the makeup of the trainee pool. In many cases a core group of "super trainers" is formed. These trainers first train government officials or the transitional administrators at the regional level. Training is then organized for local level administrators. These are the individuals that will be vested with the responsibility of training the polling center presidents in their respective areas. The presidents in turn train the members of their polling stations.

Working backward from the estimated number of polling station staff, it is possible to calculate the total number of individuals that likely will receive training. The size of the core trainer group is determined by the number of regional and local administrators with whom the trainers will have direct contact. An additional factor to examine is the geographic location of the regional groups. Sparsely populated areas may require a larger group of trainers due to logistical constraints and distances between target audiences.

Based on the analysis of the trainee pool and the design of the poll worker training program, the project team selection criteria can be specified.

### B. Identification of international consultant(s)

1. Project Manager
2. Stand-up trainer
3. Civic education/Mass media
4. Advance/logistics coordinator



The specific poll worker training project team will be defined by the size of the trainee pool, the period of performance and the available funding. Key positions for the project team are likely to be as follows:

Project Manager--Based on the scope of the program, the size of the training effort, and the qualifications for the Project Manager position, this position could possibly be combined with one of the trainer's positions.

Stand-up trainer--This position requires excellent communications and organization skills, as well as enthusiasm and a willingness to work hard. It is essential that the trainer be able to converse in the official language of the host country.

Civic Education/Mass Media Specialist--This position is useful if the training initiative includes a component calling for graphics, cassettes, and videos for use in the training program. These materials can also be utilized in a voters' awareness or civic education program. Previous experience with a variety of programs and media is a must.

Advance/Logistics Coordinator--When undertaking a far-reaching, cascade-type training or series of regional seminars on a tight schedule, this is a worthwhile addition to the project staff. Otherwise, the responsibilities of advance, set-up, and transport fall into the domain of the project manager (or lead trainer if a project manager is unnecessary). Individuals qualified for this position should have a proven track record in conference organization, training set-up, or project logistics.

### C. Team Formation

#### 1. Selection criteria

- Prior experience
- Language
- Training
- Country knowledge and/or experience
- Knowledge of polling station administration
- Election law
- Availability



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As the goals and objectives of the project are being determined, the Program Officer should begin to identify those consultants who may be best suited to accomplish the mission. The size of the team is largely dependent upon the scope of work, the available budget and the size of the country. Candidates for the trainer positions need previous experience in a related training task or program. In many cases, it is highly likely that the team will be involved with a group of trainers, trainees, and a nation that have never facilitated a multi-party election.

Knowledge of the designated official language(s) for the host country is necessary and may be essential under certain conditions. Extensive familiarity with the region is not an overriding concern; however, it is valuable to have a project manager and lead trainer(s) with first-hand knowledge of the project area. The less familiar that the individual team members are with the region, the more critical the task of preparing and disseminating written and verbal pre-departure briefings for the team members.

A team with previous experience working with various electoral systems is an advantage. In many cases, the development of training curriculum occurs before the government ministry or the election commission has an opportunity to study or field test the electoral operations. The consultants may encounter difficulties with the electoral law that they should bring to the attention of their counterparts. An experienced team may see possible problem areas and suggest alternative approaches to organizational difficulties and oversights.

One member of the team should be designated (and interviewed) as the project manager with additional team members identified as team leader(s) as needed for adequate supervision. The Project Manager will act as the team's primary spokesperson while in-country, and will be responsible for bringing the team to consensus on its procedures, priorities and activities. The Project Manager serves as the on-site contact for the Program Officer and should be able to provide administrative direction for the team while in-country.

When comparing skills of the applicants for various positions, it is important to assess their writing skills. One or two team members in addition to the project manager should possess adequate skill to qualify them for the role of report coordinator. The report coordinator is responsible for reviewing the report as drafted by the team, noting and correcting (or enhancing) any weak areas, before presenting it to IFES for editing. While the report coordinator may not be required to make specific report writing assignments, the coordinator is responsible for ensuring that all issues raised in the scope of work are



addressed by the report. This person will be the initial contact for the program officer should questions arise during the report editing process. It is suggested that consultants with previous experience and familiarity with IFES and funder's operating procedures be chosen as Project Manager and report coordinators.

The initial step in the selection process should be a search of the IFES Resource Center Database. Information on consultants who have been part of prior IFES projects or who have provided detailed information on the Individual Data Sheets will be available on-line to the Program Officer. Consultant information may also be gathered through referrals by other Program Officers and Program Officers' previous experience. Secondary sources include universities, private consulting firms, or referrals from consultants.

Each potential consultant should be interviewed, perhaps more than once, with a foreign language component if the Program Officer is unsure of the consultant's skills in that area. An Individual Data Sheet must be completed and, if possible, a writing sample should be obtained.

## 2. Interviews

## 3. Negotiations and Contracting

No matter what other special skills the team member may possess, each team member should have adequate command of English, both orally and in writing. The team leader(s) should, wherever possible, have excellent command of the host country's official language(s), at least orally. Each team member should be expected to interact with host government officials and U.S. government representatives effectively and with sensitivity to the country's culture.

Applicants should provide the names and contact information of personal references. Contacting these individuals and soliciting their evaluation is valuable, especially concerning foreign language and report writing aptitude.

Additional questions to be asked of the applicants focus on the timing of the project. How does the consultant respond to the time commitment requested? How rigid is the consultant's schedule immediately following the close of the project? What kind of advance preparations should be made? The



Program Officer needs to be assured that the consultants will be able to complete the scope of work in the time provided and for the amount specified in the budget.

Following the initial (non-binding) selection, the consultant should be contacted by the Contracting Officer to negotiate the consultant's daily rate. After the selection of team members is complete, a scope of work should be drafted for attachment to the Subcontract Authorization. The scope of work is also provided to the Contracts Officer to be included in the draft contract. In some cases, if the poll worker training project is AID funded, approval from the U.S. embassy and USAID mission as well as AID/Washington technical and grants officers is required. Field approval is usually based on the team members' qualifications as reflected in their resumes or other documentation.

Approval from the funder is based on qualifications as well as the proposed consulting fee. Request for approval is normally accompanied by documentation of the proposed consultant's salary history and (for AID funded projects) by two authorization forms, the Authorization to Subcontract and the Travel Authorization. Until approval for consultants is received from the field and/or the funder, it is important to remind potential consultants that IFES' intention to contract with them for the assessment is conditional. The request for approval from the field is usually considered a simultaneous request for country clearance.

All contracts should be reviewed and approved by the Program Officer before being given to the consultants for signing. To minimize potential conflicts, consultants should not begin travel or work until consulting agreements have final approvals. The contracting procedure must be completed before the consultant departs for the project site. Both the consultant and IFES should possess a copy of the signed contract outlining the basic agreement between IFES and the consultant; the consultant's scope of work; the length of the contract period; and the consultant's daily rate and additional compensation if applicable. The Contracting Officer and the consultant should discuss the method of salary payment. The consultant should provide IFES address and bank information in order to facilitate direct transfer of salary or the forwarding of the consultant's paychecks to the address-of-record.





**D. Performance criteria**

1. Ability to express oneself in primary language of host country
2. Interaction with host country officials and NGO as well as USG officials in-country
3. Successful completion of scope of work
4. Independence and impartiality

The team members are required to contribute substantially to the project team's completion of the scope of work and the project objectives as set forth in the project proposal. The quality of this contribution is effected by a consultant's language skills and ability to successfully interact with others. Team members must be clear that these expectations are primary criteria on which the consultant's performance will be evaluated. Ultimately, each team member must be non-partisan with respect to the electoral process and focus on rendering effective and balanced training programs for the trainees.



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### III. Project and team management

#### A. Travel, shots, visas, advances

1. Travel regulations
2. Advances to include transportation funds
3. Computer equipment check out from IFES

Many tasks must be completed before the team arrives at the IFES offices and before departure for the destination. Once team members are identified and contracts approved and signed, they should be contacted by the IFES Administrative Assistant to make arrangements for air travel, visas, inoculations, medical insurance coverage and lodging arrangements in Washington, if necessary.

Travel advances are determined by the Administrative Assistant, who is also responsible for ensuring IFES compliance with all applicable government regulations regarding travel and per diem. For this reason, it is preferable that the Administrative Assistant, rather than the consultant or program staff, make travel arrangements.

Project team members should be briefed as to the climate, the type of clothes to pack and the type of conditions that can be expected in-country regarding travel and accommodation. Large scale or comprehensive training projects where significant numbers of people are to be trained are always taxing and sometimes extremely arduous and even potentially dangerous.

#### B. Briefing book

##### 1. Suggested contents and format

- Project proposal, including SOW
- Correspondence with funder and/or host government
- Consultants' resumes
- Background information on country
- News articles on democratization and elections



- Documents: Constitution, electoral law, etc.
- Country map
- Copies of appropriate IFES reports
- Sample poll worker training manuals

## 2. Distribution

Briefing books should be prepared for each team member, with an additional copy for the Resource Center. Each team member should receive his or her briefing book with enough time to review it before arrival at the IFES office or in country.

### C. Team planning meetings

1. Scope of work agreement (team and funder)
2. Performance criteria and IFES expectations
  - Performance in-country
  - Quality and timeliness of project outputs
3. Resources (materials, people, examples)
  - Poll worker training materials
  - Other training materials or programs
  - Sample laws or other documents
4. Individual work assignments
  - Role and responsibility of project manager and team leader(s) (in country)
  - Role and responsibility of project coordinator
5. Procedures for communications
6. Time sheets and travel expense reports

As standard practice, the two days prior to the team's departure are reserved for briefings and planning meetings in Washington, D.C. This time allows the team members to meet each other, IFES staff to brief the team, and any last-minute information, instructions and concerns to be shared.



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During the briefing day(s), the team will meet with several members of IFES Staff. Team members are briefed on IFES philosophy and guidelines for conduct in-country. The report writing responsibilities are also outlined in this meeting. In addition to the briefing books, team members are provided at this time with resource materials selected to provide a basis for completion of the various elements of the scope of work, such as examples of poll worker training manuals, voter awareness materials and other civic education materials, electoral laws or constitutions from other countries, sample registration material, ballots, or other forms.

The IFES Program Officer and team members should review the outline of the proposed project report, focusing on the performance criteria and the IFES expectations for the team and for each individual. This time should be used to confirm the connection between the project proposal, each individual's scope of work, and the design of the project report.

The Program Officer should indicate which team member shall serve as the report coordinator and/or team leader, with an explanation of the role and responsibility of each. By the end of the meeting, participants should have a clear understanding of their responsibilities within the team.

The Project Manager will spend time individually with the finance and administration department to become familiar with accounting procedures and expectations.

The Administrative Assistant and the Program Officer should have adequate in-country hotel and telephone information for team members and their families prior to or at least by the day of the team's departure. Team members should be directed to communicate safe arrival in-country directly to IFES or through the U.S. embassy or USAID mission.

The Administrative Assistant and Contracts Officer will brief team members on their travel advances, with instructions regarding completion of time sheets and expense reports. Insurance coverage and emergency information should also be part of this meeting. Team members, after reviewing contracts with the Contracts Officer, should sign them and receive copies signed by an executive staff member.



**D. Country-specific briefings**

1. AID and State Department
2. Host country embassy

Current political information and confirmation of expectations are part of the AID/Washington and State Department briefings. These meetings are an opportunity for the Washington based Department of State and AID officials to become familiar with the team, provide up-to-date country information and review the host country's expectations of the team including expectations for the verbal and written reporting of the team's findings. It is a time for the team members to ask any questions they might have about their scope of work or about the country's current political climate.

The final set of briefings consists of visits to the host country's Washington embassy and any other persons that the Program Officer believes may provide substantive country information. These persons include professors, consultants or anyone else who has significant country experience.

**E. Team management and monitoring**

1. Project reporting to funder
2. Communication
3. Support
  - Pre-election
  - Post-election

Following the departure of the team, the Program Officer is responsible for team management and activity monitoring. Decisions regarding team procedure or unexpected situations should be referred to and decided by the Program Officer. The Program Officer also functions as the team's Washington-based support staff, obtaining additional information or making alternate arrangements as requested by the team. The Program Officer should communicate with the team as needed to be aware of current activities. Specific instructions as to methods and frequency of communications between the in-country team and Washington should be included in the briefing book and reviewed with project staff. The use of PC hardware and software (such as WordPerfect or Lotus) should be specified in advance to ensure full



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compliance. If the project report is to be drafted in a language other than English, the Program Officer should ensure compatibility of software and that the appropriate translation services are available.

Team members with experience with a variety of other systems may find themselves in the position of offering extemporaneous technical advice to the elections council regarding official amendments to the established electoral law. It is essential that the training offered in the field corresponds to the electoral code under which the election is to be administered. Amendments made to the electoral code shortly before an election but not communicated effectively can create confusion, especially in isolated or rural areas, and provide grounds for the non-acceptance of the election results by the political parties.

If the trainers are in the country through election day, it is desirable that they be at various polling stations across the country to observe the opening of the polls and to assess the effectiveness of the training. During the day a variety of polling stations in both urban and rural areas should be covered with special emphasis on those stations where indications of likely problems have been given by local political parties and domestic monitors. Trainers should not, under any circumstances, interfere in the election day procedures, unless advice is specifically requested by election officials. Any problems should be conveyed to the project managers and team leaders and noted for inclusion in the final report.



#### IV. Project Implementation

##### A. In-Country Briefings, Introductions and Protocol Meetings

1. Embassy/USAID briefing
2. Initial meetings with government, electoral commission counterparts

If U.S. AID funds the training program, it is likely that the training team's first activity will be a briefing with officials of the USAID mission and/or the U.S. Embassy. This is an opportunity for the team to formally introduce itself to U.S. officials in-country, and to introduce the training mission's terms of reference. The team should make sure that there is a mutual understanding of the goals of the IFES poll worker training program, and an understanding of the role that the Embassy and the USAID mission will play in facilitating the team's work during its time in-country. It is helpful to discuss the team's scope of work in terms of what the embassy and USAID mission see as the most important issues to be aware of in setting up the program. This is also an opportunity for the team to be briefed by embassy and USAID officials regarding the most recent political events of the host country and the prominent players in the democratic transition and election administration. When IFES technical assistance missions are AID funded, it has been the practice for USAID or the embassy to arrange initial protocol and contact meetings with the government ministries and electoral officials with whom the team will be working. If IFES has already established a presence in the country, these meetings can be arranged by the project manager.

Often the first protocol meetings will be with the minister of external affairs and with the minister of interior (or whichever ministry has oversight authority regarding elections). It is also common that the team will meet with the director of elections or with the election commission, if one exists. The non-governmental nature of IFES and the non-partisan, non-political stance of the training mission should be stressed.

It is important that the purpose, goals and terms of reference of the training mission be clearly expressed at these early meetings with the host government. It is also important that these messages be expressed with consistency. Therefore, the initial introductory statement for the team should be made by the team



leader or one individual who has been designated by the team. It is also advisable for the team to have a prepared written statement ready before they begin their host-government meetings. Such a standard statement, regarding IFES and the goals of the poll worker training, can help all members of the team in keeping their description of the terms of reference consistent. It can also be used to explain the team's purpose to the press, if appropriate.

**B. Identification of local staff**

1. Expediter
2. Clerical
3. Drivers

Generally, local staff will be responsible for the day-to-day administration of the project office or the daily transport of trainers, trainees, and materials. If the program calls for international or national materials procurement, an expediter is helpful for dealing with airport, seaport, and land transport customs. Hiring an expediter part-time generally proves to provide both a time-savings and a cost savings in situations where the core trainers rely on air transport to reach regional training seminars or to evaluate local-level training. Office staff needs are determined by the amount of document drafting and reproduction that will be necessary. On occasion, the program office becomes a de-facto "elections administration hotline," and the phones need to be answered and assistance offered or messages taken. A knowledgeable, experienced driver is indispensable. Depending on the situation, the driver serves as a roving administrative assistant, expediter, and advisor on the local customs. Relief and development organizations and the diplomatic community maintain active files of capable host country nationals searching for short-term project employment.

**C. Identification of core trainers**

1. Retired administrators
2. Educators
  - Formal
  - Informal
3. Academics and students





Core trainers must possess the ability to gain the attention and respect of their trainees. The selection of core trainers is not easy. Many will be interested in the job only because of the financial compensation. Trainers cannot be prima donnas. Teachers and retired administrators frequently provide the best pool from which to draw. Local literacy trainers are frequently overlooked by the administration. They are a valuable resource given their experience in the transfer of new concepts and ideas to citizens lacking formal education. Students enrolled currently in the formal education system are also an option as they come from a dynamic sector of changing society and often possess the energy and the optimism to undertake the task.

Societies have varying perceptions of age, gender, and ethnicity, and sociocultural climate and "rules" which should not be ignored in the selection of trainers. The trainer's political affiliation is an added issue. Ideally, neutral individuals are preferred. The perception of the quality and effectiveness of the training depends a great deal on the quality and the commitment of the core trainers.

#### **D. Identification of training method**

Poll worker training involves a combination of techniques. The overall training tends to follow a cascade format. Direct contact with all administrators and polling center members is impossible except in small states where the number of registered voters and corresponding number of polling centers is low. The training of the regional and local administrators is accomplished through a series of seminars. The location of these seminars depends on communications and transport between the capital city and the regions. The training of the actual polling presidents is best presented as a seminar, with the various presidents travelling to the local administrative center for the training. In all cases, it is important to conduct training sessions in a venue free from distractions, where participants have access to a seat and a writing surface. Schools or hotels are popular choices. An educational facility or a hotel's added benefit may be that these often include adequate kitchens for the preparation and provision of meals as well as sleeping quarters and bathing facilities.



**E. Variations in teaching techniques**

1. Workshops
2. Simulations
3. Group discussions
4. Electronic media

The teaching techniques utilized in the training are selected with regard to time and financial constraints. Traditional methods of information dissemination deserve consideration. Theater, puppet shows, popular radio and t.v. programs, songs, and local graphic artists have played a role in poll worker training in different countries.

Multi-media training employing slides, filmstrips, overhead projections, and video can be effective, but is often impossible in light of limitations on the training budget. Depending on the location of the training, trainees may initially exhibit a greater interest in the equipment and the technology than in the message. If time and financing permit multiple viewings by the target audiences, mobile video units provide an effective visual explanation of the administration of a polling station. All graphic and participatory information dissemination techniques also help the trainers in areas where the team is less than proficient in the local dialect.

An individual in a new or emerging democracy is exposed to a flood of new ideas and new approaches to old problems. Transition can be confusing and the comprehension and retention rates for new material are quickly reached. Poll worker training covers a wealth of material in a short time. The timing of the training often requires that the trainee absorb past their normal capacity and still be expected to perform election day duties in flawless accordance with the electoral codes. Therefore, training must be interactive, and it must be supported with a guide book containing the basic information that will allow the poll worker to perform his or her task with minimum difficulty.

The core trainers' work is not complete upon the training of the local-level administration. During the training of the presidents and the subsequent training of their staffs, the core trainers will circulate to observe the training in progress and correct for any misinformation being passed on. This follow-up is important to the overall success of the training.



F. Variations in scope of training

1. Training of the core trainers

The training of the core trainers must be well designed, thorough, and understandable. The quality of the core trainers is significantly related to the quality of the overall training initiative and to the success of the electoral process. Coverage of the material is best divided between three days of presentation. Depending on the organization of the training program, the documentation for the training can be a draft of the poll workers' training manual and additional documentation necessary for the core-trainers files, but not slated for reproduction as a portion of the manual. By the end of the training of the core trainer group, the consultants should have all of the necessary suggestions and information to finalize the draft of the poll workers' training manual.

A separate trainers' manual can be produced for the core and local-level trainers. However, rather than spending time and resources on the production of a bound manual for the trainers, a good alternative is the provision of a loose-leaf notebook for each trainer. Additions or adjustments to the training program are easily handled with this format. Typically, nations undergoing their first series of multi-party elections issue addenda to the electoral codes and other government guidelines throughout the period leading up to the elections. These documents should be provided to the core trainers even if the changes are announced after the commencement of the cascade training program. During subsequent follow-up visits by the core trainers, they can alert the local-level trainers to the revisions. The local-level trainers will rely on their copy of the poll workers' training manual, any additional documentation provided to them by the core trainers, and their notes from their respective training sessions to facilitate the training of the polling center presidents. In turn, the polling center presidents will use a similar set of documentation for the training of their polling center staffs.

The first day of training features an in-depth review of the electoral code. A functional understanding of the tenets of the code is essential for the core trainers, who will be required to answer technical questions posed to them by trainees at all levels. An electoral code can be a lengthy document and maintaining interest among all of the trainees, even among the core trainers, is a challenge. Many codes have been modeled after a similar document from another country and the language employed is legal in nature and difficult for even a reasonably literate individual to clearly understand. Having the trainers take turns reading each article aloud and ask questions related to each article allows the code to be



covered thoroughly and keeps the audience involved. In societies accustomed to rote learning, the group can warm up to asking questions without embarrassment. Following this format will give the trainees a feel for an exercise that they will have to facilitate with a variety of audiences. The success of this exercise is dependent on the skill of the consultant to keep the group moving and to assist where needed.

With the core trainers, debate concerning various articles should not be discouraged. Individuals involved in the initial drafting of the electoral law and the constitution are welcome resources to invite to participate in this portion of the training. In fact, if such an individual is available and willing, their utilization as a local consultant for the duration of the training should be given serious consideration.

The core trainers must have an accurate understanding of the electoral code--and associated laws and directives--as well as a general idea of the thought and the process behind the creation of these documents. The consultant facilitating the sessions needs to realize these needs and balance them with the ultimate reality that the trainees are present for training, not to draft a new electoral code.

The review should call special attention to articles concerning the administration of a polling station: set-up, opening, voting, closing, counting of votes, recording of results, delivery of results to the administrative center, tabulation at the administrative level, and delivery to the next level. The core trainers must also familiarize themselves with the rights and responsibilities of the voter, the party delegates, and if applicable, national and international observers. Sufficient time for a summary question and answer session should be provided.

The second day of the training should begin with a review of the previous day's discussions and an opportunity for the trainees to pose any questions that came up following the end of the session. The remainder of the day focuses on the discussion of various teaching techniques for the training of poll workers; the review of the numerous activity checklists to be followed before, during, and after the elections; the diagramming exercise; and the polling station simulation. Adequate time should be provided for questions and discussions at the end of the day. The trainees should be assigned the task of designing a training plan for each of the three target groups: the regional and local administrators, the polling center presidents, and the polling center staffs. These plans will be presented to the group the following day for discussion.

The third day of the training is a catch-all time to cover remaining material and review problem areas of the codes (vote tabulation and the allocation of seats according to the D'Hondt system, if applicable, usually warrants additional time). A repeat of the polling station simulation is good way to start off the day's activities. Any confusions will be immediately evident to the consultant as he or she observes the core trainers performing this exercise.

The afternoon of the third day should be devoted to the discussion of the training plans developed by the trainees. The consultant should select two or three individuals to present their plans and open the floor for discussion. All of the plans will be presented to the consultant, who will review them and meet individually (or in small groups) with the trainees to discuss each plan.

The trainees and any local consultants brought in for the training of the core training group should receive some sort of per-diem. This could be in the form of transport fees, lodging fees, food provision, or a daily stipend -- or any combination of these costs. The amount and type of per-diem will have to be decided upon by the team members with the concurrence of the Program Officer, and in some cases, the funder.

## 2. Regional and local administrators

The material to be covered by the core trainers with regional and local administrators, and by local administrators with the polling station presidents, is best divided between two days of presentation. The first day involves a review of the electoral code. A functional understanding of the tenets of the code is essential for administrators who on election day could be called on to arbitrate various disputes or clear up misunderstandings of the code. The second day of training concentrates on the physical operation of the polling station and the roles and the responsibilities of the polling station personnel.

As described above, an electoral code can be a lengthy document and maintaining interest among all of the trainees is a challenge. Many codes have been modeled after a similar document from another country and the language employed is legal in nature and difficult for even a reasonably literate individual to understand clearly. Having the trainees take turns reading each article aloud, and ask questions concerning that article, should thoroughly cover the code and keep the audience involved. With this technique, societies accustomed to rote learning, non-participatory learning by memorization, can warm up to asking questions without embarrassment.



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The success of this exercise is dependent on the trainer's ability to keep the group focused and to progressing through the agenda, assisting only where needed. It is important for the trainers to remember the goal of the training and discourage extensive debate of various articles. This is an easy trap to fall into. The trainees may require an occasional polite reminder that they are present for training, not to draft a new electoral code.

The review should call special attention to articles concerning the administration of a polling station: setting up, opening, voting, closing, counting of votes, recording of results, delivery of results to the administrative center, tabulating at the administrative level, and delivery to the next level. Trainees must also familiarize themselves with the rights and responsibilities of the voter, the party delegates, and if applicable, national and international observers. Sufficient time for a summary question and answer session should be provided. A high-quality discussion of the codes and the roles of the individuals involved in the electoral process makes the second day of training more worthwhile for all concerned. In following through with the practical exercises of diagramming and role playing, the trainees review all of the issues discussed in the first day of training.

### 3. Polling center presidents

The breadth of the code review can be reduced when training polling center presidents, if necessary, focusing on only the specifics dealing with the actual election days. In determining materials to be covered, the administrator facilitating the training must recognize that the president has a specific role as the manager of the polling station as outlined by the electoral code. Many electoral codes specify that the arbitrator of all disputes occurring in a polling station will be the polling station president.

A president's knowledge of operational procedures and confidence level in understanding the workings of the electoral process is reflected in the level of efficiency of polling station operation on election day. Again, the overview of the electoral code concentrates on articles concerning the administration of a polling station: setting up, opening, voting, closing, counting of votes, recording of results, and the delivery of results to the administrative center. The presidents must also familiarize themselves with the rights and responsibilities of the voter, the party delegates, and if applicable, national and international observers. The administrator should ask occasional questions to verify that the trainees are understanding the presentation and have a sound grasp of the material.



#### 4. Polling center staff

The training of each polling center staff by their respective president need not cover the code at all. The training can be completed in one day's time. The president will rely upon the section of the guide for polling center administrators covering the operational guidelines for election day as the fundamental training document. The structure of this guide is outlined in a later section.

Usually, this training takes place following the official deadline for the naming of the poll workers by the administration. This deadline can be set as close as 72-96 hours before the election. As a safeguard against information overload and election-day confusion among the staff of his polling center, the polling center president should strive to make this training task specific. To make this training program the most effective, the president must be able to delegate election-day tasks to the polling station worker who exhibits the best grasp of the specific task during training.

#### G. Diagramming

A considerable amount of material is presented in the discussion of the electoral code and the roles and responsibilities of the individuals staffing the polling center on election day. Two activities take place that serve to bring together this new and often confusing information. Polling station set-up and simulation are the highlight of the training. The three diagrams used in this portion of the manual are as follows:

- The first shows the layout of a polling station; the seating arrangement, the positioning of the tables and other furniture, the location of the ballots, the voting screens, the working documents, and the ballot box.
- The second diagram is a copy of the first with the addition of arrows indicating the circulation pattern of voter traffic in the station. The emphasis is on uni-directional circulation by the voter. At no time in the polling center should it be necessary for the voter to retrace steps. A planned circulation of voters in the station prevents confusion as to which voter has completed which step and aids the president in controlling activity in the poll.



- A simple outline of the polling station is the third diagram. On this page the trainee is asked to draw the layout of the polling station as he or she understands it. This can be an individual or a group activity. The trainer allows 20 minutes of design time and then, if materials permit, asks a representative of each group or a random sampling of individuals to replicate their design on a flip chart or chalk board. Then each presenter explains his or her design. Variations on the electoral code-based design found in the training manual can be interesting.
- Country-specific situations can be created. What if the only building suitable for the polling station is round? What if there is no building in which to locate the polling station? How might a polling station be established in swamp lands?

The diagramming exercise ensures that the trainees are clear on station set-up; that they will be able to operate under a variety of conditions; that they understand the value of uni-directional circulation and how to set up the polling station kit and furniture to encourage the desired circulation pattern. Finally, diagramming prepares the trainees for the final exercise -- the simulation.

#### H. The Simulation

The trainees divide themselves into two groups, poll workers and the electors. From the poll worker group, one individual is selected to be the president. Under the direction of the president, the polling station is set up, several of the "electors" are allowed to vote, the station is closed, the votes are counted, and the results are tabulated. Ideally, the entire simulation is conducted utilizing the actual polling station equipment and forms that will be employed on election day.

The trainer supervises the simulation. If mistakes are made and the other trainees do not acknowledge the oversight, the trainer can stop the exercise to bring the mistake to everyone's attention. Normally, if the trainees are reasonably clear on the electoral code and actively participated in the diagramming exercise, the trainer(s) only serves as a referee. Repeating the reminder that the trainees are not in a position to revise elections procedures helps to avoid protracted debate.

Once the trainer observes that the simulation is running smoothly, he or she should stage likely election day irregularities to the group and have them simulate a response. Electoral codes cover many anomalies





and the poll worker should respond in the manner stipulated by the code. Some situations are mentioned without offering a recommended course of action. In these cases, it is the responsibility of the president to solve the problem in a manner that does not hinder the smooth operation of the polling place.

One technique is for the trainers to plant some of these "worst cases" among the trainees posing as electors. Handling several of these less-than-ideal situations raises the confidence levels of the trainees and alerts them to the fact that there will be irregularities on election day. These situations demand sound decisions by the president with the consensus of all of the poll workers and party delegates.

Some of the more common situations are: voters without identification card or voters card; falsified voter registration cards; underage voters; voter whose name is not on the polling station registry; illiterate voters; handicapped voters; voters under the influence of alcohol; voters wearing party propaganda; voters bearing arms; deposit of ballot in wrong box; voter mismarking a first ballot and requesting a second one; and voters requiring excessive time. Problems can also arise among the poll workers, the party delegates, or the observers: influencing of voters by delegates; insubordination by workers, delegates, or observers; and the exercise of excessive and/or partisan authority by the president.

Role playing is a training technique that is new to many audiences. Its application is viable at all levels of training. The simulation facilitated by the presidents in the training of the polling center staffs should place less emphasis on the "worst cases" to reduce confusion among the trainees and to ensure that they fully understand their respective tasks. Instead, the president can cover the do's and don'ts section of the training manual with the staff.

## I. Manual Format

The poll worker training manual is a document designed to serve as an election day resource, a training manual, and a training workbook. The design of the manual must take into account the intended audience. Many electoral codes stipulate that poll workers be literate in the official language. However, the size or the location of the literate populations in some nations prevent polling station staffs from achieving 100% literacy in the official language. Unfortunately, even literate poll workers may not be capable of understanding all of the language found in the electoral code or the various forms utilized on election day.



Knowing the makeup of the manual's target audience is important. This knowledge guides the trainer in designing a full-text manual or perhaps a manual including a number of drawings or photographs exhibiting each step of the election process and the role of the individual poll workers. Regardless of the trainees' literacy level, the task checklists, the lists of roles and responsibilities and the do's and don'ts should be concise and easy to follow. Simple and clear lists aid in making certain that procedures followed in the polling station correspond with those outlined in the electoral codes.

The checklist format standardizes the administration of the polling stations. Some training documents produced for elections administrators present entire articles as they exist in the electoral code. The technical language utilized by the drafters of electoral law, often leads to misinterpretation by the polling station president and others during training and on election day. Individuals desiring more information than that provided in the checklists can turn to the electoral code included as the first major section of the manual.



## ELECTION WORKERS' GUIDE

- I. Introduction
- II. Electoral Code (with commentary)
- III. Observer Law
- IV. Special dispositions or circulars
- V. Task checklists
  - A. Week before the election
  - B. Day before the election
  - C. Opening the polling station
  - D. Closing the polling station
    - 1. Single-day process--Special dispositions
    - 2. Multiple-day process--Special dispositions
    - 3. Mobile polling station operation
  - E. Counting the votes
  - F. Reporting the vote totals for the station
  - G. Transmitting totals
  - H. Closing activities of polling bureau members
- VI. Polling station layout
  - A. Diagram I
    - 1. Seating arrangement
    - 2. Table and equipment positioning
  - B. Diagram II
    - 1. Same as Diagram I
    - 2. Arrows added to indicate uni-directional circulation
  - C. Diagram III--Blank, lay out your own.
- VII. List of roles and responsibilities
  - A. Role of the polling station administration
  - B. Role of the party delegates
  - C. Role of domestic observers
  - D. Role of international observers
  - E. Role of the national police and/or army
  - F. Directives for special populations

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- VIII. Handling disturbances and infractions
  - A. Physical
  - B. Non-physical (political propaganda)
- IX. Do's and Don'ts Rapid Summary Check List



## J. Session Supplies

Supply needs for the training are minimal. The poll worker training manual is the primary item. Trainers need access to a flip chart or a blackboard with markers or chalk. Trainees should be provided with paper and pen for notes. Tape, stapler, scissors, thumbtacks, erasers, and other general supplies are helpful to have on hand. Polling station kits should be obtained from the responsible government office or from the electoral commission. When the training need is identified, the trainer immediately requests the kits, or assembles a mock-kit in the event that the election day materials are unavailable. Occasionally, governments are reluctant to let the public see any of the election equipment and forms before the day of elections for fear of fraud. The training kits do not have to contain the actual ballots. However, the administrators and poll workers must be familiar with election day equipment and the polling station forms. Here the trainer will have to work first with the appropriate officials, educating them as to why access should be granted. This can be a time-consuming process.

If electronic equipment is to be used in the training, the trainer(s) must be certain that the venue has a power supply and that the power supply and the equipment operate on the same voltage and cycles. Transformers, surge protectors, extension cords, and plug adapters may be necessary. (Backup provisions should be made in case of power failure.) A sound system can be useful. However, trainers should work to limit the size of the training groups to encourage active participation by the trainees.

Serious consideration should be given to dividing large groups into two or more duplicate sessions. Before traveling to facilitate regional and local training, trainers need to be aware of trainee numbers in order to determine the necessary number of trainers and amounts of supplies.

The logo for IFES (International Foundation for Electoral Systems) is located in the bottom right corner. It consists of the letters "IFES" in a bold, sans-serif font, with a stylized graphic element below it that resembles a globe or a network of lines.

**V. In-Country Reporting and Debriefings**

**A. Reporting on findings to the host government**

In most cases, the training team will be expected to meet with election officials at the end of its stay to report orally on the team's activities, evaluation of the overall training, and recommendations.

**B. Debriefing with funder/U.S. Embassy/USAID mission**

- Funders' expectations
- IFES' expectations

If the funder of the poll worker training is U.S. AID, the team can be expected to orally debrief USAID and embassy officials prior to their departure from the country. The team should be prepared to outline its activities, evaluation of the overall training, and recommendations, particularly those regarding additional donor assistance to the electoral process. In some cases, the funder will expect to receive a written report from the team prior to its departure. In such cases, this expectation will be clearly expressed in the team's scope of work and in team members' contracts.

**C. Washington debriefings**

When possible, IFES schedules a debriefing for the team in Washington, at the IFES office and, particularly if the training is AID funded, with officials of the Department of State and U.S. AID. This too is usually an oral debriefing on the team's findings and recommendations.



## VI. Monitoring and evaluation strategy

Poll worker training can and should be evaluated on several levels, using a variety of evaluative tools, with several different audiences and purposes in mind. Each type of evaluation listed below is described in terms of the questions:

- 1) What is being evaluated?
- 2) Why is it being evaluated?
- 3) How is it to be evaluated? and
- 4) Who is the audience for the evaluation and how is the evaluation passed on to the relevant audience?

### A. Evaluating team members' performance

The performance of each individual trainer should be evaluated, for two primary purposes:

1. To assess whether the scope of work and other formal expectations have been fulfilled sufficiently to justify payment of consultant's fee; and
2. To leave an evaluative record of the consultant's work in this IFES file, to better judge this suitability for future assignments.

The IFES Program Officer who managed the training project should solicit feedback from the USAID mission, the U.S. embassy or other funder with whom the consultant interacted in the field, regarding the consultant's performance according to the pre-established criteria: ability to express oneself in English and the official language; positive interaction with host country officials and USG officials in-country; and substantive contribution to the tasks outlined in the scope of work. The Program Officer should provide evaluative comments on those performance criteria directed toward Washington briefings and debriefings and on the training mission report.



The Program Officer's evaluation of the poll worker training team members should be written and placed in the consultant's confidential file at IFES.

**B. Evaluating Project design and support**

IFES' project design and support to the technical assistance team should be evaluated by the team members with the primary evaluative criterion being: Did IFES enable the consultants to do as good a job as possible in facilitating the training? The purpose of this evaluation is to give feedback to IFES on its general administrative procedures in designing and supporting a poll worker training, so that the design and support can improve with future training missions.

The Program Officer asks the training team members to give feedback for this evaluation after the completion of the training project, requesting that they give a written response evaluating project elements such as the following:

1. Make-up of the training team: size; degree of meshing of skills, of personalities; appropriateness of choice of team leader and report coordinator
2. Preparations for the mission: briefing book; accuracy of verbal description of project task; quality and helpfulness of Washington briefings
3. IFES support to team while in-country
4. Length of stay in-country
5. Length of time given for consultant's report writing
6. Overall project design: feasibility and appropriateness of scope of work

The team members' written evaluation should be sent to the Program Officer, who will share the comments with other program staff and use the consultants' suggestions to make improvements in poll worker training project management.





### C. Evaluating project's responsiveness to funder's and host country's needs

The project as a whole should be evaluated in terms of how well it responded to the needs of the host country and the funder. Evaluation of this question can be profitably carried out after the completion of the elections and again after any subsequent elections.

#### 1. Immediate project evaluation

The evaluative questions that the IFES Program Officer should discuss with the project funder, and to the extent possible with host government officials, include the following:

- Was the project scope of work sufficiently comprehensive and sufficiently focussed to meet the needs of the funder and the host country?
- Were the individual objectives of the scope of work fulfilled, through the training team's work in-country?
- Was the IFES response to the need and the request for a technical assistance in the facilitation of poll worker training generally satisfactory?
- What, if any, are the near-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in their preparations for further elections?

The means for gathering answers to these questions, from the funder and from host country officials, may vary. Informal means, such as telephone calls, often can solicit a more frank and comprehensive response. It is important, however, to also solicit written responses to these questions, if possible.

The funder and host country evaluation of the project should be collected, written down (if given verbally), and commented on by the IFES Program Officer, and included in the permanent project file. It is suggested that a separate evaluation file be established, perhaps in the director's office, so that evaluations can easily be shared with other IFES staff members, funder, and board members, as appropriate. The funder and host country evaluation should also be presented at the project evaluation meeting convened by the regional Program Director. (See item D, below.)



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## 2. Additional project evaluation

To further evaluate the effectiveness of the training in the facilitation of democratic elections in the host country, both in terms of election preparations and election assistance, it is useful to solicit feedback from the USAID mission, U.S. Embassy, or other funder after the elections. One tool for gathering that feedback might be a questionnaire such as the following, to be sent to the U.S. ambassador, DCM, political officer, USAID director, or other appropriate representative of the funding institution. If possible, a questionnaire might be sent to an appropriate host country official(s) as well.

- On a 1-10 scale, how would you evaluate the effectiveness of the training team's visit in carrying out the objectives set by the U.S. Embassy/USAID mission/other funder? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the training team's visit in carrying out the objectives set by the host country government? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES Poll Worker's Training Manual in addressing the needs of the elections administration? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES training in developing a group of core trainers capable of training poll workers for future elections? Explain.
- On a 1-10 scale, how would you evaluate the effectiveness of the IFES Poll Worker's Training Manual in addressing the needs and the concerns of the host country trainees? Explain.
- On a 1-10 scale, how would you rate the expertise and the professionalism of the poll worker training team, as reflected in their work in-country and in their written report?
- What were the most notable weaknesses of the IFES team?
- What were the most notable strengths of the IFES team?



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- Do you have any other comments on the IFES Poll Worker Training in the host country? (regarding, e.g., the length of stay, the timeliness of the visit, etc.)
- How would you evaluate your dealings with IFES Program Staff in Washington? What recommendations would you make for improvement in the manner in which IFES responds to poll worker training requests from U.S. Embassies (or USAID missions)?

**D. Evaluating project fulfillment of IFES' objectives**

IFES implicitly or explicitly sets institutional objectives for each project that it undertakes, including poll worker training. At the completion of the project, the relevant IFES staff should gather to review those objectives and to evaluate whether they have been accomplished. Institutional objectives for carrying out a poll worker training might include the following:

- to satisfy a request from a funder with whom it is important to maintain or build a good relationship;
- to lay the groundwork for further short-or long-term assistance in the country or for an up-coming observation mission;
- to fulfill in part the IFES annual workplan;
- to generate the revenue that comes from the overhead category in the project budget.
- to provide training facilitation and/or design experience to an IFES staff member or consultant.

An evaluative discussion regarding each project should be convened by the regional Program Director, to include representatives from program staff, financial and administrative staff, and executive staff, to examine how well the project has fulfilled the institutional objectives of IFES. Such discussion should determine whether a project has been profitable, in every sense of the word, to IFES and whether similar projects should continue to be undertaken.



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## HOW TO ORGANIZE AND CONDUCT AN ELECTION OBSERVATION MISSION.

### I. Project identification, design, management

#### A. Project Identification

##### 1. Satisfaction of IFES pre-conditions for undertaking an election observation

- Invitation from the host government
- A democratizing country
- Available funding

Offering appropriate technical assistance to requesting countries is a fundamental purpose of the International Foundation for Electoral Systems (IFES) and is consistent with its philosophy of assisting democratic change. Assistance should be considered appropriate when it is tailored to the specific needs of each country, when it takes into consideration the country's long-term goal of building a sustainable institutional base for a democratic electoral system, and when it is provided at the request of the host government. A request from an indigenous organization should be ratified by the host government. To reach a decision as to whether or not to observe a particular election, IFES considers a number of factors. Some of these factors are pre-conditions for conducting an election observation mission, others are factors which should be noted but do not necessarily affect the decision-making process.

The two most important pre-conditions for IFES to conduct an election observation mission are an invitation from the host government and the availability of funding, either from U.S. AID, UN, or from private sources. If these two pre-conditions exist, IFES should then assess the constraints involved in the process. These include an assessment of whether or not the central electoral commission enjoys sufficient autonomy from the government necessary to allow it to administer the election in an independent and non-partisan manner. Another factor to be assessed is whether the security situation in the country will allow voters and international election observers to go to the polls on election day without threat to their personal safety. A negative assessment on either one of these issues may lead IFES to conclude that it would not undertake an election observation mission in the country concerned.

The context in which the election will take place is an important factor. The IFES mission is to support and strengthen democratic governance; therefore, the presence of IFES at a particular election should further this goal. Generally, IFES will give priority to observing elections in a host country where the country is in the process of making the transition from a one-party state, of whatever ideology, to a multi-party state. On occasion, IFES may also observe an election in a country where there is international concern regarding manipulation of the election process under an existing multi-party system.

IFES should not be regarded as an organization which represents the point of view of the U.S. Government. IFES is international and non-partisan in its approach and in observing elections should seek to establish equally effective lines of communication with both government, opposition and non-government groups in the host country.

It would be unusual for IFES to conduct an election observation mission in a country where it has done no pre-election work. However, should this situation arise, IFES project staff must ensure that they arrive in-country well in advance of the delegation to ensure in-depth briefing of delegation members. In a country where IFES has had an ongoing involvement with identifiable partners (on-site technical assistance project, poll worker training project or civic education project), IFES should consider its role in an international observer mission. Perhaps the IFES role should be limited to one of coordinator, logistics support, technical advice, etc., rather than that of "observer".

2. Timing of the request to conduct an election observation in relation to electoral calendar.

An election observation mission usually can be initiated successfully during the immediate pre-election campaign period; however, the timing of such a mission must include sufficient time to plan, assemble and brief the team. If pre-election work has been done by IFES, staff should arrive in-country a minimum of one week prior to the elections, with delegation members arriving a minimum of three days before polling day. However, in the absence of IFES pre-election work, staff should be in-country at least two weeks in advance.

In general, a decision to observe an election should not come before a country has clearly embarked on a path toward a national referendum or multi-party elections and has committed to an election date with a high degree of certainty that the elections will be held on that date.



3. IFES' objectives in undertaking this project
  - a. Why did IFES initiate this observation, or respond positively to the request to undertake this observation?
  - b. What are IFES' institutional objectives for this project?
    - 1) Fulfill IFES annual operating plan
    - 2) Gather information on different electoral models to share with other countries
    - 3) Make contacts who could provide assistance in other countries

IFES undertakes election observation missions in order to accomplish one of several possible objectives. Primarily, IFES would undertake an election observation mission at the request of a donor with whom IFES has maintained a long and valued relationship or a donor with whom IFES sought to develop such a relationship. Most importantly, IFES has been chartered to advance the electoral process in evolving free and democratic societies; therefore, such a mission would fulfill an important aspect of the IFES mandate. IFES election observers should collect information regarding the electoral model used in the host country as well as documenting the observations on the electoral process. This information will be critical to producing the election observation report as well as providing a basis for information dissemination to other countries.

It is essential that IFES be clear and explicit about what its objectives are in carrying out an election observation mission prior to the design and implementation phase. Clarity on this question is critical when determining the scope of the mission, when resolving any potential conflict with the funder or the host country, and especially when evaluating the mission to determine if all objectives have been fulfilled. Each of these projects should recover all direct and out-of-pocket costs and also generate support for IFES' Resource Center, information dissemination and administration, thereby achieving another objective of the IFES annual operating plan.

**B. Scope of Work from funder (or SOW in IFES Election Observation proposal)**

1. Goals, objectives, activities:
  - a. Are they mutually satisfactory to IFES and to funder?



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- b. Are they feasible, given constraints?
- c. Criteria for evaluation

In designing the scope of work for an election observation project IFES should ensure that the goals, objectives and activities are mutually understood and satisfactory to both IFES and the funder. It is imperative that all parties concerned achieve consensus regarding mutual expectations and constraints before the project begins.

The observer mission requires a three-way commitment linking the host government, the donor, and the international observer organization. Acknowledgement by the host government of the need for an independent observer mission and the extension of an invitation to an organization to facilitate the program is required.

The scope of work must be feasible, given the constraints identified when the initial decision to conduct the observation mission is taken, e.g., civil unrest, timing of the election, etc. Additionally, the scope of work should include measurable criteria for evaluation of the success of the project.

## 2. Budget

- a. What to budget for?
- b. Arriving at budget agreement with funder

As the terms of reference and objectives of the mission are defined, IFES must begin to develop a project budget. This budget should include all elements of direct and indirect costs based on previous IFES experience and additional information provided by the funder or the host government. Backup documentation and the basis of estimation for individual line items should accompany the budget. A primary objective of the budget process is to make the proposed budget as complete and realistic as possible. The proposal and budget for an election observation mission may serve as the basis for negotiation with the funder(s) in determining the final scope of work and contract budget.

The IFES Election Observation Mission budget should be drafted in cooperation with the IFES Director of Finance and Administration. The budget is included as part of the project proposal and is subject to review and approval by IFES executive staff as well as the funder.

**C. Negotiating other project parameters**

1. Arrangements with host country
  - a. What are the host government's expectations?
  - b. Who is the primary point of contact in the government for the observation team?

As IFES discusses the scope of work of an election observation mission with a USAID mission, a U.S. embassy or other funder, it is essential to ensure that the host government is brought into the discussion, either with IFES directly or through the funder as intermediary. IFES should request copies of correspondence between the funder and the host government regarding the initiation of the observation mission, and the understanding that the government has regarding the objectives and priorities of the election observation.

The funder should be asked to provide a written summary of its discussions with the host government and non-governmental organizations, and a list of government officials and interested parties, with names and titles, who will be the observation team's primary or initial points of contact. This written documentation should also spell out the kind of assistance, if any, that the observation team should expect from the government, for example, local transportation, office space, or the facilitation of discussions with officials inside and outside of the government.

2. Arrangements with U.S. Embassy or USAID mission
  - a. Lodging, transportation
  - b. Setting up initial meetings

Discussions with the funder and/or the U.S. embassy should also clarify the degree and kind of support that they intend to provide for the team, such as car and driver, office space, access to communication facilities, and the facilitation of contacts with information sources in-country. If the project is U.S. AID funded and, if judged to be appropriate, the USAID mission and/or the embassy may be requested to make reservations for the team at a suitable hotel in the capital and to meet the team upon their arrival

at the airport. In addition, they may be requested to set up some initial meetings with representatives of the government, political parties and the central electoral commission.

As soon as both IFES and the funder are in general agreement with the arrangements spelled out in the proposal, a Project Authorization should be filled out, covering the proposal, and sent to the appropriate AID/Washington representative. This will meet AID's requirements for its Core support. Authorizing documents will be prepared for each funder/donor (UN, Host Country government, etc) as appropriate.

## II. Selection of Election Observation Mission Team

### A. Selection criteria

1. Language
2. Country knowledge and/or experience
3. Knowledge of civic education
4. Issues in democratization
5. Election Law
6. Training

As the goals and objectives of the project are being determined, the Program Officer should begin to identify the IFES staff, volunteer observers and/or consultants who may be best suited to accomplish the mission. The size of the team is largely dependent upon the scope of work, the available budget and the size of the country.

A team may have a minimum of two members; however, it is highly unlikely for the team to have more than a maximum of twenty delegates. IFES usually does not pay consultants' fees to election observers, with the possible exception of the team leader/report writer. The team should have sufficient background and experience to ensure that all aspects of the observation mission will be completed satisfactorily.

The initial step in the selection process should be a search of the IFES Resource Center Database. Information on consultants who have been part of prior IFES projects or who have provided detailed information on Individual Data Sheets will be available on-line to the Project Officer. Consultant information may also be gathered through referrals by other Program Officers and Program Officers' previous experience. Secondary sources include universities, private consulting firms, or referrals from consultants.

Each potential team member should be interviewed, perhaps more than once, with a foreign language component if the Program Officer is unsure of the consultant's skills in that area. An Individual Data Sheet must be completed and, if possible, a writing sample should be obtained.

There are a number of criteria that must be considered as the team is selected. A combination of skills is required, such as language capability; knowledge of the country, including in-country or regional experience; experience as an election administrator; more general experience in the democratic process; and familiarity with different election laws and systems and related issues. It is rare that team members will individually possess all of these skills; however, it is important that as many as possible exist within the team as a whole.

Depending on the country, some skills may be difficult to incorporate into the team. It is important that observers be selected according to how they can best perform as a team and how their collective skills may be applied to complete the scope of work. The Program Officer should consider as many combinations of team members as possible and always be prepared with alternate selections. It is generally desirable to have consultants who volunteer time and only require reimbursement for out-of-pocket expenses, as this has become the norm for international election observer teams.

**B. Performance criteria**

1. Ability to express oneself in primary language of host country
2. Interaction with host country officials and NGO as well as USG officials in-country
3. Successful completion of scope of work
4. Independence and impartiality

Whatever the team member's special skills, adequate command of English, both orally and in writing, must be required. The team leader should, wherever possible, have excellent command of the host country's official language and each team member should be expected to interact with host government officials and U.S. government representatives effectively and with sensitivity to the country's culture. The team members will also be expected to contribute substantially to the observation team's completion of the scope of work and the project objectives as set forth in the project proposal. Each team member must display absolute independence with respect to the observations and impartiality in rendering findings and conclusions. It must be made clear to all concerned that these expectations will be foremost among the criteria on which the individual's performance will be evaluated.

### C. Interviews

1. Determining level of language skills
2. Writing sample
3. Professional recommendations

In making decisions regarding the composition of the team, the Program Officer must consider additional factors. One member of the team should be designated (and interviewed) as the team leader. The team leader will act as the team's primary spokesperson while in-country, and will be responsible for bringing the team to consensus on its procedures, priorities, activities and final statement. The team leader serves as the contact for the Program Officer in-country and should be able to provide administrative direction for the team while in-country.

One team member should also be designated the report coordinator. The report coordinator is responsible for reviewing the report as drafted by the team, noting any weak areas, before presenting it to IFES for editing. While the report coordinator may not be required to make specific report writing assignments, the coordinator is responsible for ensuring that all issues raised in the scope of work are addressed by the report. This person will be the initial contact for the Program Officer should questions arise during the report editing process. It is recommended that those consultants with previous experience and familiarity with IFES procedures be chosen as team leaders and report coordinators.

Logistics questions should be included in the interview. How does the consultant respond to the time commitment requested? How rigid is the consultant's schedule immediately following the close of the project? What kind of advance preparations should be made?

### D. Final selection of team members

Final selection of members of the observation team is usually subject to the approval of the funder and/or the U.S. representative in the field. After the selection of team members is complete, a scope of work should be drafted for attachment to the Subcontract Authorization. The scope of work is also passed to the Contracts Officer to be included in the draft contract. In some cases, if the observer mission is U.S. AID funded, approval from the U.S. embassy and USAID mission as well as AID/Washington technical

and grants officers is required. Field approval is usually based on the team members' qualifications as presented in their resumes or other documentation.

Approval from the funder generally is based on qualifications and availability as well as the proposed consulting fee (if required). Request for approval is normally accompanied by documentation of the proposed consultant's salary history and (for AID-funded projects) by two authorization forms, the Authorization to Subcontract and the Travel Authorization. The request for approval from the field is usually considered a simultaneous request for country clearance.

Until approval for consultants is received from the field and/or the funder, it is important to remind potential consultants that IFES' intention to contract with them for the observation mission is conditional. All contracts should be reviewed and approved by the Program Officer before being given to the consultants for signing. To minimize potential conflicts, consultants should not begin travel or work until consulting agreements have final approvals.

Observers should be briefed as to the climate, the type of clothes to pack and the type of conditions that can be expected in-country regarding travel and accommodation. Election observer missions are always taxing, sometimes extremely arduous and even potentially dangerous.



### **III. Project and team management**

#### **A. Travel, shots, visas, advances**

- 1. Travel regulations**
- 2. Advances to include transportation funds**
- 3. Check out of computer equipment from IFES**

Many tasks must be completed before the team arrives at the IFES offices and before departure for the destination. Once team members are identified, they should be contacted by the IFES Administrative Assistant to make arrangements for air travel, visas, inoculations, medical insurance coverage and lodging arrangements in Washington, if necessary. Travel advances are determined by the Administrative Assistant, (and must be approved by the IFES Program Officer,) who is also responsible for ensuring IFES compliance with all applicable government regulations regarding travel and per diem as well as those of the funder (when applicable). For this reason, it is preferable that the Administrative Assistant, rather than the consultant or program staff, make these arrangements.

#### **B. Briefing book**

- 1. Suggested contents and format**
  - a. Project proposal, including SOW**
  - b. Correspondence with funder and/or host government**
  - c. Consultants' resumes**
  - d. Background information on country**
  - e. News articles on democratization and elections**
  - f. Documents: Constitution, electoral law, etc.**
- 2. Distribution**

Briefing books should be prepared for each team member, with an additional copy for the Resource Center. The briefing book should include, in the following order:

- Project Proposal and Consultant's Scope of Work
- Relevant Correspondence between IFES Washington office, funder and host government
- Team members' resumes
- Background information on the country
- News articles on the democratization and election process
- Documents such as the country's constitution and electoral law
- A copy of a model IFES report

Each team member should receive his or her briefing book with enough time to review it before arrival at the IFES office.

**C. Team planning meetings**

1. Scope of work agreement (team and funder)
2. Performance criteria and IFES expectations
  - a. Performance in-country
  - b. Quality and timeliness of project outputs
3. Resources (materials, people, examples)
  - a. Observation/documentation samples
  - b. Other training materials or programs
  - c. Sample laws or other documents
4. Individual work assignments
  - a. Role and responsibility of team leader (in country)
  - b. Role and responsibility of project coordinator
5. Procedures for communications
6. Time sheets and travel expense reports

To the extent practicable, the two days prior to the team's departure are reserved for briefings and planning meetings in Washington, D.C. This time allows the team members to meet each other, IFES staff to brief the team, and any last-minute information, instructions and concerns to be shared.

During the briefing day(s), the team will meet with several members of IFES Staff. Team members are briefed on IFES philosophy and guidelines for conduct in-country. The report writing responsibilities

are also outlined in this meeting. In addition to the briefing books, team members may be provided at this time with resource materials selected to provide a basis for completion of the various elements of the scope of work.

The IFES Program Officer and team members should review the outline of the proposed project report. This time should be used to confirm the connection between the project proposal, each individual's scope of work, and the design of the project report. The proposed report outline should be used as a basic guide to document observations, findings and recommendations for each of the outline topics. The Program Officer should indicate which team member shall serve as the report coordinator and/or team leader, with an explanation of the role and responsibility of each team member.

The team should remain output oriented to ensure that all work assignments are completed and the findings are fully supported by observations. By the end of the meeting, each participant should have a clear understanding of how he or she functions within the team, with detailed responsibilities to be assigned among team members as in-country work draws to a close. The Program Officer should stress the importance of the independent and impartial conduct of the Election Observer Team.

The Program Officer should have adequate in-country hotel and telephone information for team members and their families prior to or at least by the day of the team's departure. Team members should be directed to communicate safe arrival in-country directly to IFES or through the U.S. embassy or USAID mission.

The Administrative Assistant and Contracts Officer will brief team members on their travel advances, with instructions regarding completion of time sheets and expense reports. Insurance coverage and emergency information should also be covered in this meeting. Team members, after reviewing contracts with the Contracts Officer, should sign them and receive copies signed by an executive staff member.

**D. Country-specific briefings**

1. AID and State Department
2. Host country embassy

Current political information and confirmation of expectations are part of the AID/Washington and State Department briefings. These meetings are an opportunity for Department of State and AID officials in Washington to become familiar with the team, provide up-to-date country information and review the host country's expectations of the team including expectations for the verbal and written reporting of the team's findings. It is a time for the team members to ask any questions they might have about their scope of work or about the country's current political climate.

The final set of briefings consists of calls on the host country's Washington embassy and any other persons that the Program Officer believes may provide substantive country information. These persons include professors, consultants or anyone else who has significant country experience.

**E. Team management and monitoring**

- 1. Project reporting to funder**
- 2. Communication**
- 3. Support**

Following the departure of the team, the Program Officer is responsible for team management, activity monitoring and providing the funder with regular reports concerning the progress of the project in meeting goals and objectives and complying with the budget. At the end of the project, the Program Officer is responsible for producing the final report in conjunction with the designated report coordinator (see Section V. Report Writing). Decisions regarding team procedure or unexpected situations should be referred to and decided by the Program Officer. The Program Officer will also coordinate the team's Washington-based support staff, obtaining additional information, making alternate arrangements as necessary and obtaining concurrence on in-country decisions considered to be unusual. The Program Officer should communicate with the team as needed to be aware of current activities. Specific instructions as to methods and frequency of communications between the in-country team and Washington should be included in the briefing book and reviewed with project staff. The use of PC hardware and software (such as WordPerfect or Lotus) should be specified in advance to ensure full compliance. If the project report is to be drafted in a language other than English, the Program Officer should ensure compatibility of software and the availability of appropriate translation services.

**F. Team management -- In-country**

- 1. Logistics**
- 2. Pre-election program**

IFES project staff should arrive well in advance of the team members in order to confirm all arrangements in-country and to meet with USAID staff and embassy representatives. Accreditation procedures should also be confirmed to ensure that international election observers are easily identifiable on election day and therefore granted ready access to all aspects of the polling process. Once all team members have arrived in the host country's capital, this information should be communicated by IFES project staff to IFES Washington.

When IFES election observation missions are U.S. AID funded, it has been the practice for USAID or the embassy to arrange initial protocol and contact meetings with the government ministries and electoral officials with whom the team will be working. Often the first protocol meetings will be with the minister of external affairs and with the minister of the interior (or whichever ministry has oversight authority regarding elections). It is also common that the team will meet with the director of elections or with the election commission, if one exists. It may be desirable for an official from the U.S. embassy to accompany the observer team on these first visits, but at the same time, the non-governmental nature of IFES and the non-partisan, non-political stance of the election observer team should be emphasized.

The purpose, goals, and terms of reference must be clearly expressed at these early meetings with the host government. It is also important that this information must be conveyed with consistency. Therefore, the initial introductory statement for the team should be made by the team leader or one individual who has been designated by the team. Observers should have a prepared written statement ready before they begin their host-government meetings. Such a standard statement regarding IFES and the objectives of the observer mission can assist all members of the team in keeping their description of the terms of reference consistent. A brief, factual press statement should be released in-country to announce the presence of the IFES team and the non-partisan nature of the mission. Members of the delegation should be provided with specific guidelines for dealing with inquiries from members of the press/media (see Appendix II for details).



Arrangements should be made for the IFES in-country headquarters to be staffed at all times and groups should be instructed to communicate with headquarters at least once a day to report on their findings. This regional data allows the leaders and staff to be fully informed at all times and to be in possession of the national picture for the purposes of drafting a post-election statement.

**G. Team Management -- Polling day and beyond**

1. Election day program
2. Post-election assessment

On election day, the designated leaders of the regional groups should ensure that observers follow a plan which allows them to cover a large number of regional polling stations to observe the opening of the polls and the sealing of the ballot boxes. A variety of polling stations in both urban and rural areas should be observed and in particular polling stations where indications of likely problems have been given by local political parties and domestic monitors. For details of election day tasks, refer to Section IV. J.

Observers should refer to the election day questionnaire issued by IFES; however, they should ensure that time is spent actually observing the process rather than strictly adhering to the questionnaire. The observations and instincts of the experienced people on the election observation team are as important as the answers to set questions. However, sufficient data should be collected to assist IFES in preparing the final report. One member of the team should be responsible for collecting such data.

Observers should not, under any circumstances, interfere in the election day procedures, unless advice is specifically requested by election officials. Any problems should be conveyed to the domestic and political party observers and noted for inclusion in the final report.

As polling stations close, observers should arrange to witness the counting procedures at a polling station previously visited, or at a station where reports have been received of problems during the day. Observers should exercise their own judgement, depending on the security situation, as to whether it is wise to travel far from their hotel to witness the counting process which will usually continue into early hours of the morning, if not all night.

On the following day, all observers return to the capital, unless special circumstances require their continued presence in a particular region. For example, following vote tabulation and ballot box transfer through to the end of the process. A preliminary statement should be issued to the press following an intensive debriefing session for team members only. Reports from other international observer groups should be taken into consideration. On no account should the issuing of a statement be subject to time pressure applied by the press or other groups.

As a preliminary statement is often issued prior to the final outcome of the count, it should be made clear that a comprehensive report will be made available following the final results. Wherever possible, at least one team member/IFES staff person should remain in-country for the final results and, if appropriate, run-off elections.

The statement should be immediately faxed back to IFES Washington and widely distributed both in-country and internationally.

#### **IV. Project Implementation**

##### **A. Pre-election briefings**

- 1. Context of democratization**
- 2. Timing of elections**

Election day observation is only one aspect of the task of an election observation team. Prior to election day the observers must acquaint themselves with all aspects of the election process, including the context of democratization in the country, the legal framework for the conduct of the elections and the pre-election environment as perceived by the different players in the election. IFES arranges for team members to acquire this background information through a series of briefings and materials.

The briefing process falls into three parts. The first part consists of the briefing book which is designed to supplement any face-to-face briefings received by team members prior to their departure. The briefing book should address and answer some of the following issues. Many of these issues will be explored in more detail at the second and third stages of the briefing process which consist of meetings with a wide variety of groups in-country. However, given the limited time available for team members to become experts on the country and its election process after arrival, the briefing book will ensure that questions raised in-country will be of a more informed nature.

Team members should be well versed in the country's history, geography and development. This background information serves to put the election into context. Briefings should cover the following questions:

- The geographical situation and regional security situation. Is the country alone in the region in conducting multi-party elections or surrounded by democratic neighbors? What effect has this setting had on the holding of elections? A map should be provided.

- The historical setting. Does the country have a history of independence/colonialism; of democracy/dictatorship; of peace/violence; of regional cooperation/isolationism? What has the impact of these factors been?





- **Societal, cultural and ethnic implications.** Is the society split into different classes of people by reason of wealth/heritage/education? Is the culture western-oriented? What are the dominant religions? What is the position of women? Is the country divided along ethnic/tribal lines? What provisions are made for guaranteeing of minority rights? What is the human rights record of the government/opposition? Are politics personality or issue oriented?
  
- **Political changes and current electoral processes.** How long has the current government been in power? What factors have brought about a multi-party election? Is there an organized opposition? When was the current electoral law adopted? Was the law adopted with the agreement of all political players?
  
- **Economic climate and infrastructure.** Does the government control the means of production? What efforts, if any, have been made in the direction of privatization? Is the country's trade dependent on one major export only? What is the average monthly wage and the rate of inflation? Has recent change, for better or worse, occurred in the economy? Is there a 'black market' economy? Is the currency convertible? Is the country receiving and implementing advice received from the IMF and the World Bank? Is the country a member of a regional trading bloc?
  
- **Recent and current events towards democratization.** Why has the government legalized opposition parties and called a multi-party election? Is the opposition free to organize? What laws have been passed to enable a multi-party election to take place? Does the public understand that they have a choice of political parties?
  
- **Democratizing institutions.** Has an independent central electoral commission been established? Have political parties been allowed to register freely? Is there an independent judiciary? Does the media operate freely?
  
- **Constraints.** Is there civil order in the country? Are political parties allowed to operate freely, both according to the law and in practice? Is there a real separation of powers?

Do communications allow the majority of the population to be informed about the electoral process?

The second stage consists of briefings in the country's capital prior to election day by representatives of the media, election officials, political parties, non-governmental organizations and government representatives. A briefing program of at least two days duration should be in place on arrival, organized by the primary points of contact established by IFES in advance (see Section I. C. Negotiating other project parameters). These briefings should allow the observers to gain a broad perspective of the immediate pre-election environment. In addition to answering many of the crucial questions, these briefings will indicate the kind of concerns and problems anticipated by the key players in the election process.

Following two days of intensive briefing and acclimatization, team members should be deployed at the latest on the day before election day to the regions where they will observe the voting process. Decisions on deployment should be made in coordination with other international observer groups and domestic monitoring organizations. A group leader for each regional observation group of not less than two people, plus an interpreter (if needed), should be appointed.

The third stage consists of similar briefings given by regional representatives to ensure that election observers have a first-hand knowledge of local issues on election day. These briefings in the respective regional capitals should be conducted by local representatives of the national organizations that briefed the full observer team in the nation's capital.

Briefings should also address the reasons for the timing of the election. During in-country briefings observers should raise questions and formulate their own recommendations for establishing the future timing of elections, reserving their final judgement until an assessment can be made of the impact that the timing had on the outcome of the elections. The following questions should be considered:

Was the timing of the election chosen to benefit the government? Is there a fixed term for elections? If not, why was the timing chosen and by whom? Did the government call an unexpected election to deny the opposition time to organize? Were parties and candidates able to campaign country-wide or did the weather render travel during the campaign difficult/impossible in some areas?

- Did the central electoral commission draw up a detailed election timetable to ensure that the timing was realistic and allowed for all the administrative planning to be implemented in time or was the timing politically decided by the government?

**B. Electoral laws and institutions**

The briefing book should contain all the laws and regulations pertaining to the election as well as information as to when they were adopted and against what background. An in-depth understanding of the laws governing the elections is crucial to the task of informed election observation. Whereas the observers are not in a position to propose amendments to the existing legislation prior to the current elections, recommendations for future elections are one of the most important elements of the final report.

The main laws governing the electoral process are the constitution and the election law. The issues to be addressed pertaining to the laws and regulations should include:

- **Constitution and legal framework.** Is there a real separation of powers? Does the judiciary operate independently of the government? How are judges appointed? Was the constitution adopted as part of the judicial framework for this multi-party election? If not, are there plans for a new constitution following the election? Was international assistance sought in drawing up the constitution? On what basis was the decision for a parliamentary or a presidential system made? What role did the opposition parties play in these decisions?
- **Election laws.** What body drafted and adopted the electoral law? Was it the result of compromise/consensus? Does the electoral law itself contain sections dealing with the media and campaign financing? If not, are there separate laws dealing with these two issues? Does the electoral law provide details of the duties of the different levels of electoral commission before, during and after the election? Are there clear instructions concerning party/voter registration? Is it clear how complaints are to be resolved? Is the electoral law unique to the country or based on existing models in other countries? Was international assistance provided in drafting the law?

- Structure of governing bodies and relationship to election administrators. Is the mechanism of government independent from the ruling party's infrastructure? Is the central electoral commission able to operate independently of the government? Does the central electoral commission have any decision-making power and have its own electoral budget?

- Impact of election system. How was the election system designed, by whom and when? What were the criteria for choice, i.e., to ensure wide representation of parties in parliament/to limit the number of political parties? Was the system chosen for technical reasons, to facilitate the task of the election officials and the voters, or for political reasons, as a compromise between the current parliamentary parties? Was the system chosen on the basis of informed study of the wide variety of electoral systems around the world or was it designed to fit specific national needs?

The team members need to gain a thorough understanding of the functions and responsibilities of the various electoral institutions. Issues to be addressed include:

- How many levels of electoral commissions exist?

- What is the division of responsibility between each different level and where is this defined?

- Is the central electoral commission a permanent body or is it appointed/elected before each new election?

- If no permanent body exists how long in advance is the commission named and by whom?

- How are the members selected - on the basis of past experience, legal background or party affiliation?

- Does the central electoral commission have its own election budget and a permanent staff?
- What type of infrastructure is available to the CEC?
- How effectively have past elections been administered? Is this election the first one to be administered under this election law? How effectively was this election administered?
- Can the electoral commissions at central and local level operate independently of, respectively, the central and local authorities?

**C. Political parties and conduct of electoral campaign**

Election observers need to have an overview of the political party spectrum and the public perception of the various parties.

The following issues should be addressed:

- History, platforms and leadership of the political parties. Current representation in Parliament, if any.
- Is there equal access to sources of finance and publicity? How is this regulated -- by media law, public financing law? Was the law applied in practice?
- What is the size of party membership? Are there branches all around the country or only in the major cities or particular region(s)? Does the party have the capacity to organize, campaign and present candidates nationwide?
- Visibility of campaign - posters, television or radio broadcasts and newspaper coverage. Is the leader of the party a well-known personality? Is the personality of the leader more important than the party platform?

- Are party representatives able to identify their main groups of supporters and carry out voter education for these groups?
- Is the party represented at all levels of the election commissions? If not, why not? Have they been prevented from nominating representatives? Did lack of organization or representation result in their missing the deadline for nomination? Are they excluded by virtue of not being represented in the current parliament?
- Do all the parties accept the legitimacy of the electoral process? Will they all participate in the elections? Will all parties accept the election results even if they lose?
- Has the party been able to register its candidates without difficulties? If difficulties were encountered, were these the result of disorganization on the part of the party, or perceived discrimination by the officials? What right of appeal exists against refusal of registration to a party or candidate?

The task of election observers is not confined to observations on election day. The free and fair nature of an election includes the campaign period and an assessment as to whether the governing party, or any other party, was unfairly advantaged/disadvantaged during this period.

- Do parties, candidates, election officials and voters agree that the campaign was free of intimidation and violence?
- What type of complaints were raised and who dealt with the complaints?
- Were the electoral laws applied in practice?
- Do voters believe in the secrecy of the ballot process?
- Have opinion polls been conducted during the campaign period and are they considered to be reliable?
- How has the media covered the campaign?

- Is a high voter turnout expected? If so, why -- because of intimidation, legal obligation to vote or enthusiasm for the process?
- Do voters appear to understand that they have a choice of political parties in what may be the first multiparty election for decades?

**D. Civic and voter education**

Observers need to assess whether sufficient civic and voter education has been carried out in order to ensure that the participants in the electoral process are fully informed of their rights and responsibilities with regard to the elections.

**Civic education:**

- Does the population have a broad understanding of the nature of civil society and free and fair elections?
- If so, where have they acquired such understanding? -- through the formal education system, the media, non-governmental organizations, political parties, the election commission, the government?
- Have provisions been made to ensure that ethnic minorities are able to fully participate in the electoral process? Are media on voter registration, voter procedures and the ballots available in their languages?
- Have special measures been taken to allow illiterate persons to participate in, and understand, the process? Do the parties use symbols on the ballots and on their advertising materials?
- Have special efforts been made to involve women and young people in the political process?

**Voter education:**

- Have voter awareness campaigns been conducted by political parties, election commission, non-governmental groups, the government, the media?

Observers should raise the following questions in discussions with voters and other participants in the electoral process both before and on election day:

- Are these voter awareness campaigns judged to have been impartial?
- What has been the content of the campaigns? Has the information been clearly presented and in what form -- training sessions, through the media, through the distribution of leaflets?
- Has the information reached all sections of the population and all areas of the country, including remote rural areas?
- How far in advance did the voter awareness campaigns get underway? What has been their apparent impact on the voter?

**E. Voter registration**

Voter registration is one of the most fundamental aspects of any election. Without well maintained and regularly updated voter registries, the administration on election day is put under severe strain. Observers should therefore be well informed on all aspects of the voter registration process, including:

- Is there a permanent voter registry at central or local levels? If so, how often is it updated and how? Is it perceived as being accurate?
- Is the list computerized? If not, do plans exist to computerize the lists?



- What access do the public and political parties have to these lists and when? Does the possibility exist for the voter to amend the list prior to the election and/or on election day itself?
- Does the voter receive a special voter's card prior to the election? What information does this voter card contain?
- Who distributes the voters' cards and how? Were there problems with distribution? How were they resolved?
- What kind of security exists to avoid duplication or counterfeiting of the voter's card? Were there indications of counterfeiting? How were they investigated and/or resolved?
- What safeguards are in place to avoid multiple registration? Were any reports of multiple registrations reported? How were they investigated and/or resolved?
- What are the provisions, if any, for registration of absentee voters?

**F. Poll workers**

The poll workers play a crucial part in the administration of elections. Their level or lack of training may have a direct impact on the effectiveness of the election process.

- How were the poll workers selected? How many poll workers are there at each polling site? Do they receive a stipend?
- What is the level of training of the poll workers?
- Have training seminars been conducted by the central electoral commission or other bodies?
- Have written guidelines for poll workers been issued to facilitate understanding the electoral law which is usually written in technical legal language?

- Are election day operations carried out manually or by computer? If computerization has just been introduced has the necessary training been carried out?
- Does the first counting of the ballots take place at the polling site and do the same poll workers carry out the count?
- What provisions have been made for training the election officials at regional and central level?

**G. Ballot design and security**

The complexity or simplicity of the ballot directly affects the efficiency of the voting process. Observers should familiarize themselves, if possible, with the format of the ballot. However, in some countries it may not be possible to obtain a sample ballot in advance of election day. In any case, observers should be aware of the following:

- Does the law provide for a single or multiple ballot?
- Are the multiple ballots the same size and color?
- Is it easy for the voter to fill in the ballot and to insert it into the ballot box?
- Do voters fold the ballot(s) or put them into an envelope to ensure the secrecy of their vote?
- Who printed the ballots and where?
- What are the measures to ensure that ballots cannot be counterfeited, e.g., watermarked paper, serial numbers?
- What storage facilities warehoused the ballots after printing and prior to distribution to the regions?

- How were ballots distributed from printing or storage to polling stations? What security measures were taken? How long before election day did this take place? Were there any problems? If so, how were they resolved?

**H. Election commodities, design and distribution**

The observers should be familiar with quantity and design of the standard commodities that they should expect to find at every polling station on election day. These typically will include:

- Sufficient quantities of the ballots?
- Ballot boxes of sufficient size to ensure that all ballots can be accommodated?
- Ballot box seals?
- Voting screens to ensure the privacy of the vote?
- Indelible ink or other security material envisaged in the electoral law?

Observers should be informed whether these commodities have been supplied from outside the country and who has provided them. The following questions should be addressed concerning the distribution process:

- When did distribution take place?
- Did distribution take place under military or police escort? Did party representatives accompany the commodities to the polling sites?
- How did distribution take place - by air, road, rail? Were there any problems? If so, how were they resolved?

## I. Role of election observers

It is crucial that international election observers understand their role in the process, especially with regard to their relationship to domestic observers. Domestic observers will almost always be in a better position to monitor the details of the election process than international teams. However, international teams bring an added sense of security to the process and an indication of international interest and involvement in a country that may have been isolated for many years. Their presence usually helps to deter fraud. The following issues should be clarified:

- What is the legal status of the observers? Is there a difference between the status of international and domestic observers?
- What international or domestic organizations are fielding observers?
- What is the estimated scope of the election day observation coverage? What percentage of polling stations will be visited?
- What are the different roles of international and domestic observers? Will domestic observers remain all day in one polling station while international observers concentrate on visiting the maximum number possible?
- What is the attitude of the government, the political parties and the election officials to observers? (welcome/tolerant/grudging acceptance)
- How much involvement did the government have in the organization of election day deployment of international observers? Did they provide security arrangements, travel arrangements, stipends and/or logistics in the regions? Did this assistance compromise the task of the election observers?
- Did the government decide which polling station to allocate to which domestic observer and why - to simplify accreditation, to interfere in the process?
- Did the political parties have party poll watchers at the majority of the polling sites?

- What kind of training have the domestic monitors and party poll watchers received and from whom?
  
- Did political parties or domestic monitoring organizations conduct a parallel vote count? Was such a count envisaged in the electoral law?

**J. Election day tasks**

1. Opening of the polls
2. Voting procedures
3. Counting of the ballots

On the basis of all the information collected by team members in the pre-election period, observers on election day are expected to note how the process works in practice, report on their observations and to formulate recommendations. These recommendations should focus on improvement of the electoral systems and their impact on future elections. Observations on election day should be annotated on the election observation questionnaire provided by IFES. (A sample questionnaire is attached).

Observers should leave their hotels or lodgings in time to arrive at a polling station prior to the opening hour. En route attention should be paid to the atmosphere in the streets -- empty/crowded, relaxed/tense.

Election observers should arrive at a polling station prior to the official opening hour to observe the pre-opening procedures. These may include demonstrating to the observers that the box is empty before sealing as directed by the electoral law. In some cases, members of the election commission and the first voter in line may be asked to sign a document witnessing that the box is empty. This document is then dropped into the box before sealing.

Observers should introduce themselves to the president of the polling site and check whether all commission members are present, which parties are represented by poll workers and whether all the election commodities are in place.

There may already be long lines of voters outside the polling station. Observers should note whether these are orderly and good natured and whether the police or military are present if so mandated or permitted by the law.

Once voters enter the polling place, observers should note whether any problems occur in finding the name of the voter on the registration list and whether poll workers and voters appear to understand the procedures. They should check whether the president of the polling site has received written guidelines for reference.

Observers should note how election officials deal with voters whose names do not appear on the list and whether they proceed according to the election law or act so that voters are unnecessarily disenfranchised.

Observers should check whether written instructions are posted up in the polling stations for the voters and how long it takes each voter to cast their vote from the moment of entering the polling station.

Observers should verify that voters enter the booths one at a time. Note should be taken of whether there are sufficient booths to ensure that voters can enter without delay, once the identification procedures have been completed and the ballot issued.

Voters should not linger in the polling booths. If they do so, observers should try to ascertain whether this appears to be the result of indecision concerning the candidates or confusion concerning procedures.

Voters should be able to place their ballot(s) in the ballot box without difficulty. This will be aided if the polling station is laid out in such a way as to facilitate the free movement of voters in one direction through the voting procedure.

Observers should talk to voters outside the polling stations. Observers should check whether those who have already voted felt the procedures had been clear and that they had been able to exercise a voluntary, secret and informed choice. They should also check how long voters waiting to vote have been in line and how long they are prepared to wait.

Observers should ask election officials as the day goes on how many of the eligible voters have already voted in order to obtain a feel for whether the length of polling hours is sufficient.

At the close of the polls, observers should be inside a polling station ready to observe the counting process, or to observe the transport of the ballots to the district counting center.

They should check the following points and note them on the election observation questionnaire provided by IFES:

- What time do the polls close?
- What was the turnout?
- Are all parties represented at the count?
- Are domestic observers present?
- Do the officials follow the procedures indicated in the election law?
- Are any problems encountered in applying these procedures? If so, how are these regulated?
- Does there appear to be the possibility of fraud during this counting process or do adequate safeguards exist and what are they?
- What provisions have been made for ensuring that the officials can continue counting well into the night? Is there a functioning electricity supply? If not, are lamps or candles provided? Do the officials receive anything to eat or drink? Are they too tired to conduct an efficient counting process?
- How long does the count take?
- Do all officials take part or only the president?
- How are decisions on invalid ballots reached -- by consensus, by the chairman?

- How are dissenting opinions recorded?
- Does the process appear to be orderly and transparent?
- Who signs the protocols once the count is completed?
- How are the ballots transported to the district counting centers? Do security forces and political party representatives accompany the ballots? Are the results conveyed in advance by telephone or radio to the district counting center?
- What happens to the ballots at the district counting center and how are the results from there communicated to the Central Electoral Commission?
- Who observes the count at the district level and does this appear to be conducted in a transparent manner? It is often at this level that problems occur.
- What arrangements are made for the counting of absentee ballots?
- Are the official returns closely mirrored by any parallel vote count being conducted?

**K. Post-election assessment**

1. Preliminary statement
2. Post-election meetings

Once all observers have returned to the capital to compare findings, a preliminary statement should be issued to the press. This factual statement will summarize the findings of the observer team and will not reflect unsubstantiated rumors or speculation from any source. Mention should be made of the campaign environment as well as of the conduct of election day.

Only after the preliminary statement has been issued should members of the team meet officially with representatives of political parties, government and non-governmental organizations to gauge their



reactions to the process and to assess the impact of the election. The following issues should be addressed:

- Are the results universally accepted?
- Is it likely that the atmosphere will remain calm or do certain groups threaten to break the peace?
- How does the current government intend to deal with any problems arising?
- Has this election laid the groundwork for a legitimate government to take power?
- How much time will elapse before the newly elected representatives can take office?

**V. Report writing and evaluation**

**A. Division of Tasks among the team members**

A preliminary division of report writing tasks should be made in discussion with the report coordinator and team leader prior to travel with the guidance of the IFES Program Officer. Because members of the observation team will be travelling in small groups to different areas of the country to observe the elections, each sub-group will be asked to report on their regional findings. These regional reports are then integrated with the report from the leadership team which normally remains in the capital city. Recommendations are formulated as a result of a full team discussion in elaborating the preliminary election statement.

One member of the team should be designated as report coordinator. Often this person is also the team leader. The role of the report coordinator will be specified in their contract and statement of work, and will generally call on the team leader to coordinate the assignment of sections of the report to team members; receive each member's draft section and make sure that it fulfills the expectations of the scope of work; and assemble the draft sections into a coherent report to be submitted as the team's draft to IFES. Usually, IFES requires that the team's draft report be received at IFES within approximately ten days after departure from the country where the observation took place. However, if the counting process is slow, final results may take a couple of weeks or more to be announced. It is usually preferable to await the final results or the beginning of the grievance process for inclusion in the report.

**B. Table of Contents (Example)**

The format of the report, to be agreed between IFES, the funder and the team and to be coordinated by the designated report writers, will be based on the scope of work for the project.

In writing the report, the expectations of IFES, those of the funder and the host country must all be addressed. IFES and the report writer must identify the primary and secondary audiences that the report is being written for, i.e., the funder, the host country. In addition to sections dealing with the description of all aspects of the election process, the main emphasis of the report should be on a detailed description

of the election process in practice and concrete recommendations for future elections pertaining to all aspects of the election process and follow-up work.

IFES suggests that the final report contain all of the following subjects. The recommended format has each of these subjects being a chapter in the report. In some cases, not all of these subjects will require a stand-alone chapter; however, IFES expects that all of these subjects will be covered in the report.

1. Executive Summary
2. Introduction
3. Context of democratization
4. Election day observation
5. Assessment and recommendations in following areas:
  - Relevant laws and regulations
  - Timing of elections
  - Electoral institutions and officials
  - Political parties
  - Conduct of the campaign
  - Status and evaluation of public confidence
  - Civic Education
  - Registration of voters
  - Poll workers
  - Computerization
  - Role of election observers
  - Budgetary demands of the election process
6. Assessment of post-election environment
7. Conclusion and recommendations for follow-up work
8. Appendices
  - Sample ballots
  - Laws and codes
  - Electoral documents
  - Organizations contacted
  - Persons interviewed
  - Press cuttings and articles

**Election day reports from team members**

Reactions and recommendations for the future should be contained in the final report. Based on the requirements of the funder, the pre-election budgetary estimates may need to be compared to actual expenses incurred. Additionally, a variance analysis may also be provided in the final report.

**C. Editing the Report: The role of IFES program staff**

- 1. If consultants' draft is not satisfactory**
- 2. Review process: from draft to final version**

The team's draft report should be received by the IFES Program Officer who has been acting as the project manager. The Program Officer acts as the report editor. The first task of the editor is to determine whether the observation team has fulfilled their scope of work as defined in their contracts by covering adequately all of the specified elements in the draft report. If there are gaps in the information provided in the draft report, the Program Officer should quickly inform the team members of the areas where more work is needed. Additionally, the Program Officer must ensure that all observations and findings are documented and support the recommendations specified in the observation report. For this reason, the Program Officer should not approve payment of consultants' fees until the draft report has been thoroughly reviewed.

Ideally, the observation report should be reviewed by at least two IFES staff members in addition to the Program Officer before it is finalized. Usually, the secondary reviewers/editors will be the Senior Program Officer, the Program Director or the Deputy Director. IFES usually delivers the completed report to the funder within three weeks of the observation team's departure from the country.

## VI. Monitoring and evaluation strategy

Election observation missions can and should be evaluated on several levels, using a variety of evaluative tools, with several different audiences and purposes in mind. Each type of evaluation listed below is described in terms of the questions: 1) What is being evaluated? 2) Why is it being evaluated? 3) How is it to be evaluated? and 4) Who is the audience for the evaluation and how is the evaluation passed on to the relevant audience?

### A. Evaluating team members' performance

The performance of each individual observation team member should be evaluated, for two primary purposes:

- to assess whether the scope of work and other formal expectations have been fulfilled sufficiently to justify payment of consultant's fee, if any; and
- to leave an evaluative record of the consultant's work in their IFES file. This will provide an audit trail to the Consultant's SOW and performance review by funder (if required) and enable IFES staff to better judge their suitability for future IFES assignments.

The IFES Program Officer who managed the election observation mission should solicit feedback from the USAID mission, the U.S. embassy or other funder with whom the consultant interacted in the field, regarding the team's performance and, if possible, individual members, in particular the team leader and the report coordinator, according to the pre-established criteria. The Program Officer should add evaluative comments on those performance criteria, based on Washington briefings and debriefings and on the form and substance of the observation report. The Program Officer's evaluation of the election observation mission team members should be written and placed in the consultant's confidential file at IFES.

**B. Evaluating project design and support**

IFES' project design and support to the observation mission should be evaluated by the team members with the primary evaluative criterion being: Did IFES enable the consultants to do as good a job as possible in carrying out the observation mission? The purpose of this evaluation is to give feedback to IFES on its general administrative procedures in designing and supporting election observation missions, so that the design and support can improve with future observation missions.

The Program Officer asks the election observation mission team members to give feedback for this evaluation after the completion of the observation mission. The Program Officer should request that the observation mission team members give a written response evaluating elements such as the following:

- make-up of the observation mission team: size; complement of skills, of personalities; appropriateness of choice of team leader and report coordinator
- preparations for the election observation mission: briefing book; accuracy of verbal description of project task; quality and helpfulness of Washington briefings
- IFES support to team while in-country
- length of stay in-country
- length of time given for report writing
- overall project design: feasibility and appropriateness of scope of work

The team members' written evaluation should be sent to the Program Officer, who will share the comments with other program staff and use the consultants' suggestions to make improvements in election observation project management.

C. Evaluating project's responsiveness to funder's and host country's needs

The project as a whole should be evaluated in terms of how well it responded to the needs of the host country and the funder. Evaluation of this question can be profitably carried out both immediately after the completion and delivery of the election observation report, and several months later.

1. Immediate project evaluation

The evaluative questions that the IFES Program Officer should discuss with the project funder, and, to the extent possible, host government officials, include the following:

- Was the project scope of work sufficiently comprehensive and sufficiently focussed to meet the needs of the funder and the host country?
- Were the individual objectives of the scope of work fulfilled, through the observation team's work in-country and through the election observation report?
- Was the IFES response to the need and the request for an election observation generally satisfactory?
- Did the presence of international observers contribute to a peaceful process; the confidence of the voter in the integrity of the process and to legitimizing the election?
- What, if any, are the near-term ways in which IFES can continue to be responsive to the needs of the funder and the host country in continuing their support for free and fair elections?

The means for gathering answers to these questions, from the funder and from host country officials, may vary. Informal means, such as telephone calls, often can solicit a more frank and comprehensive response. It is important, however, to also solicit written responses to these questions, if possible.

The funder and host country evaluation of the observation mission should be collected, written down (if given verbally), and commented on by the IFES Program Officer, and included in the permanent project

file. It is suggested that a separate evaluation file be established, perhaps in the director's office, so that evaluations can easily be shared with other IFES staff members, funder, and board members, as appropriate. The funder and host country evaluation should also be presented at the project evaluation meeting convened by the regional Program Director. (See item D, below.)

## 2. Longer term project evaluation

To evaluate the effectiveness of the observation mission and the election observation report in opening on the host country's progress toward democratic elections, in terms of the host country's response to the report and the recommendations, it is useful to solicit feedback from the USAID mission, U.S. embassy, or other funder within a period of two to four months after the election observation report has been delivered. One tool for gathering that feedback might be a questionnaire such as the following, to be sent to the U.S. ambassador, DCM, political officer, USAID director, or other appropriate representative of the funding institution.

If possible, a similar questionnaire might be sent to an appropriate host country official(s) as well.

1. Briefly, has any progress toward implementation of any of the election observation team's recommendations, been made since the time of the observation team's visit?
2. What further assistance (material, financial, technical) has been provided to the government's electoral process since the time of the IFES observation?
3. How was the IFES Election Observation Report used in guiding donors in providing follow-up assistance?
4. If an external donors' conference was held subsequent to the receipt of the IFES Election Observation Report in the host country, how, if at all, was the Report used as an aid to donors' discussions regarding assistance to future elections in the host country?
5. In general, how would you characterize the response of the host country government to the IFES Report?



6. To your knowledge, will the IFES Report be used as a planning tool or a catalyst for discussion and action by government officials responsible for future election administration? Did the Report produce any discernible effects on the Government's planning, policy, or procedures related to the election process?
7. How widely distributed was the IFES Report to individuals and groups outside the Government? In general, how would you characterize the response of non-governmental groups and individuals to the Report? What use, if any, did these groups or individuals make of the Report?
8. On a 1-10 scale, how would you evaluate the effectiveness of the observation team's visit in carrying out the objectives set by the U.S. Embassy/USAID mission/other funder? Explain.
9. On a 1-10 scale, how would you evaluate the effectiveness of the observation team's visit in carrying out the objectives set by the host country government? Explain.
10. On a 1-10 scale, how would you evaluate the effectiveness of the IFES Election Observation Report in addressing the needs and concerns of the funder? Explain.
11. On a 1-10 scale, how would you evaluate the effectiveness of the IFES Election Observation Report in addressing the needs and the concerns of the host country government? Explain.
12. On a 1-10 scale, how would you rate the expertise and the professionalism of the observer team, as reflected in their work in-country and in their written report?
13. What were the most notable weaknesses of the observer team and the IFES Election Observation Report?
14. What were the most notable strengths of the observer team and the IFES Election Observation Report?
15. Do you have any other comments on the IFES Election Observation Mission in the host country? (regarding, e.g., the length of stay, the timeliness of the visit, etc.)

16. How would you evaluate your dealings with IFES Program Staff in Washington? What recommendations would you make for improvement in the manner in which IFES responds to election observation requests?

**D. Evaluating project fulfillment of IFES' objectives**

IFES implicitly or explicitly sets *institutional objectives* for each project that it undertakes, including election observations. At the completion of the project, the relevant IFES staff should gather to review those objectives and to evaluate whether they have been accomplished. Institutional objectives for carrying out an election observation mission might include the following:

- to satisfy a request from a funder with whom it is important to maintain or build a good relationship;
- to further the groundwork for short-or long-term assistance in the country;
- to fulfill in part the IFES annual workplan;
- to generate the revenue that comes from the overhead category in the project budget;
- to provide election observation experience to an IFES staff member or consultant.

An evaluative discussion regarding each project should be convened by the regional Program Director, to include representatives from program staff, financial and administrative staff, and executive staff, to examine how well the project has fulfilled the institutional objectives of IFES. Such discussion should determine whether a project has been profitable, in every sense of the word, to IFES and whether similar projects should continue to be undertaken.

**E. Follow-up activities**

IFES should assess the value of, and investigate funding for follow-up activities, such as a post-election assessment, a "lessons learned" seminar for election officials and/or assistance in creating a permanent electoral body and defining the tasks of such a body.

**Sources of reference:**

**Guidelines for International Election Observing, the International Human Rights Law Group, 1984**

**Handbook for observers of elections, Council of Europe, 1992**

**Appendices:**

**Sample questionnaire for election day**

**Sample guidelines for dealing with the press**

**Sample budget**

APPENDIX I

## ELECTION DAY CHECKLIST

### I. OPENING OF THE POLLS

- A. What time did election officials arrive at the polling station?
- B. Were all election day materials delivered in time for the officials to set up the polling station and open at the time specified in the Election Law?
- C. How many election officials were present when the polls opened? If any were missing, what were the reasons?
- D. Did the polling station open promptly? If not, what caused the delay?
- E. Were voters already in line when the station opened?

### II. AT EACH PRECINCT

#### A. Personnel

Were all designated commission members present?

Were all parties represented on the commission/as poll watchers? Which ones were present/absent?

Were other accredited individuals present, i.e. international and domestic observers, members of the press.

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**B. Election commodities**

Were the following present in sufficient and correct quantities:

- ballots
- ballot boxes
- private voting booths
- voter registries
- voter information posters
- ballot stamps
- pens in the booths
- other commodities specific to this election

**III. PROBLEMS TO IDENTIFY**

- Chaotic organization of voter movement inside the voting station
- Inadequate voting privacy
- Multiple voting
- More than one person in voting booth
- Insufficient number of ballots/voting booths
- Inaccurate voter registries
- Insufficiently trained election officials
- Large numbers of voters requiring assistance with the process
- Security forces inside the precinct
- Party propaganda inside the precinct
- Presence of unauthorized persons at the precinct
- Disruption of voting by disorder/violence
- Any other violation of the election law procedures

**IV. COUNTING OF BALLOTS**

**A. What time did the polls close?**

**B. Who was authorized and present at the count?**

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- C. Were the prescribed procedures followed by election officials?
- D. Did the process get underway in an orderly manner?
- E. Did all election officials appear to understand the process?
- F. Were the persons counting the ballots sufficiently rested to carry out their task accurately? Was there sufficient light, space, heat to allow reasonable conduct of the counting process?
- G. Were the invalid ballots correctly identified and noted?
- H. Was the number of invalid ballots sufficiently high as to cast doubt on the voter's understanding of the process?
- I. How long did the counting process take?
- J. Were the official counting records correctly completed at the end of the count and signed by all authorized persons?
- K. Was it possible for domestic observers and party poll watchers to obtain copies of the official record of the count?

## APPENDIX II

**GUIDELINES FOR DEALING WITH THE PRESS****I. Pre-election**

Usually IFES will issue a brief, factual statement to the press following the arrival of the delegation in-country. This serves to explain the reasons for the presence and the non-partisan nature of the delegation. Delegation members who are approached by the press should limit their comments to the facts contained in the statement. These facts include the composition of the delegation, the pre-election briefing program and the organization of the delegation country-wide on election day.

**II. Election day**

Members of the delegation should avoid making any comments to the press concerning their observations on election day. Such comments can be taken out of context and observations may not be borne out in other regions where the delegation is deployed. Therefore, a comment as apparently harmless as "everything seems to be fine here" can be quoted to show that international observers have judged the process to be free and fair. Journalists should be informed that a press statement, endorsed by the whole delegation, will be issued after the return of the regional teams to the national capital. This statement will represent the summary of the teams' observations placed in the national perspective.

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**III. Post election**

Following the issuance of the delegation statement, members of the delegation are welcome to make comments to the press both in-country and in their respective home countries, expanding on the content of the delegation statement. Following their return home, delegation members should be encouraged to write articles about the election in their national/local newspapers.

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