

A STRATEGIC APPROACH TO ELECTION INTEGRITY ASSESSMENT AND MANAGEMENT

Prepared by Catherine Barnes, Consultant
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WHY AN ELECTION INTEGRITY ASSESSMENT?

Factors to consider:

- Tactical vs. strategic approach
 - Pro-active vs. reactive vs. crisis mode
 - Crisis management vs. crisis leadership
- What constitutes fraud? The importance of definitions.
- Vulnerabilities . . . and their impacts
- Appropriate mitigation strategies
- Stakeholder accountability
- Institutionalization and sustainability

ELECTORAL LEADERSHIP AND ELECTORAL INTEGRITY

Electoral leadership is critical to safeguarding electoral integrity.

TACTICAL CRISIS MANAGEMENT	STRATEGIC CRISIS LEADERSHIP
<ul style="list-style-type: none">▪ React▪ Short-Term▪ Process▪ Narrow Focus▪ Tactical (implementation)	<ul style="list-style-type: none">▪ Anticipate▪ Long Term▪ Principles▪ Wide Focus▪ Strategic (judgment)

ELECTORAL LEADERSHIP AND ELECTORAL INTEGRITY

- Electoral leadership requires high level and “high leverage” skills necessary not only to pulling through a crisis that may be brought about by a breach of electoral integrity but also **ensuring longer term recovery**, e.g.:
 - Of the EMB,
 - Electoral process, and
 - Democratic system.

ELECTORAL LEADERSHIP AND ELECTORAL INTEGRITY

- It requires the ability to define the crisis beyond what is obvious, anticipate intended and unintended consequences of decisions, and assess impacts on:
 - All electoral stakeholders along with,
 - EMB infrastructure, assets, and human resources...
 - While continuing to follow the institution's values and guiding principles.

IFES CONCEPTUAL FRAMEWORK

SYSTEMIC MANIPULATION DEFINITION

The use of domestic legal provisions and/or electoral rules and procedures that run counter to widely accepted democratic principles and international standards, and that purposefully distort the will of voters.

IFES CONCEPTUAL FRAMEWORK

FRAUD DEFINITION

Deliberate wrong-doing by election officials or other electoral stakeholders, which distorts the individual or collective will of the voters.

IFES CONCEPTUAL FRAMEWORK

MALPRACTICE DEFINITION

A breach by a professional of his or her relevant duty of care, resulting from carelessness or neglect.

NOTE: *Evolution of definition*

WHAT IS THE IFES ELECTION INTEGRITY ASSESSMENT?

- A systemic and comprehensive way to **anticipate** and assess risks with the potential to undermine election integrity using an innovative rating system, risk mapping, and qualitative analysis.
- A consolidator of EI information / data.
- A flexible tool to accommodate a broad range of country contexts.
- A unique method for identifying and distinguishing between systemic manipulation, fraud, and malpractice vulnerabilities.
- A useful metric for time series comparisons within a particular country.

WHAT THE IFES ELECTION INTEGRITY ASSESSMENT IS NOT?

- An Index with directly comparable ratings or rankings among countries...
 - Although countries can be grouped according to their primary risk profile.
- Not necessarily a fully or broadly publicized report...
 - Depending upon risk profile, sensitive / secure electoral information, and discretion of IFES and the EMB.
- An end in itself...
 - It is intended to help inform and integrate election integrity management into strategic and operational planning.

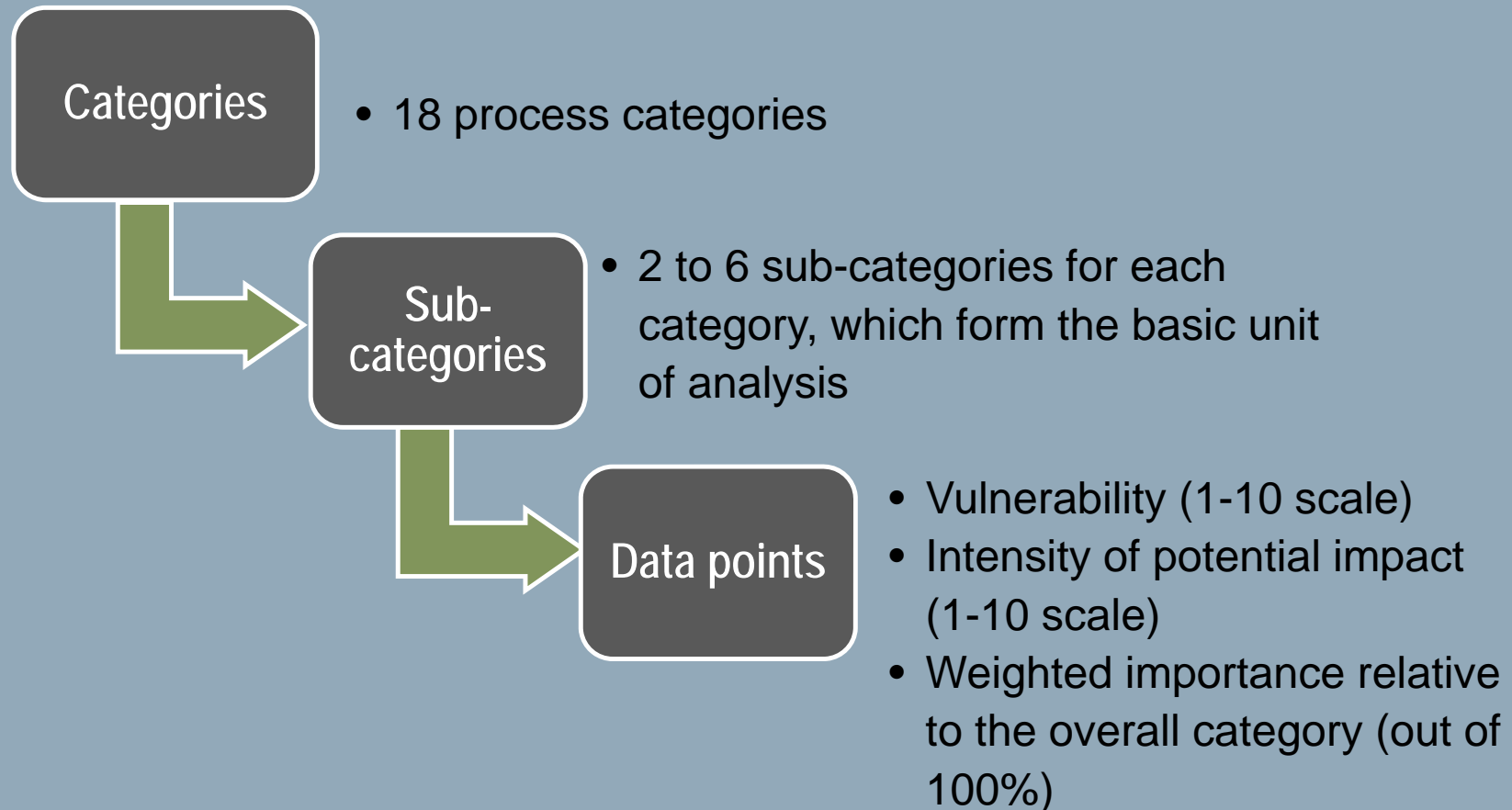
EMB / STAKEHOLDER BUY-IN

- EMB openness and commitment to the EIA and EIMP process is critical...
 - Access to information and key personnel has a direct impact on the accuracy and efficacy of the assessment, and
 - A pro-active and strategic approach to risk mitigation.
- As such, assessments are undertaken based on the agreement of the EMB.
- The engagement of other stakeholders is also important...
 - Both in terms of providing input (360 review), and
 - Acting upon the vulnerabilities for which they are responsible.

EIA AND EIMP PROCESS

0	1	2	3	4	5
STRATEGIC PLANNING PROCESS	ELECTORAL INTEGRITY ASSESSMENT	ACHIEVING BUY-IN	DE-BRIEFING / TRAINING	EIM PLAN DEVELOPMENT / OPERATIONAL PLANNING	IMPLEMENTATION AND EVALUATION
<ul style="list-style-type: none"> If writing a strategic plan, EMB includes fraud and malpractice detection, deterrence, and mitigation as key objectives. 	<ul style="list-style-type: none"> IFES team conducts an electoral integrity assessment and produces final report detailing recommendations for an election integrity management plan (EIMP). 	<ul style="list-style-type: none"> EMB expresses commitment to develop and implement an EIMP. Donor provides support for planning process. 	<ul style="list-style-type: none"> IFES provides training on the EIA and EIMP. IFES assessment team debriefs EMB leadership on EIA findings, risk profile / mapping, and recommendations. 	<ul style="list-style-type: none"> With IFES support, EMB develops an EIMP (priority areas, risk mitigation strategies / actions, critical assumptions, responsibility / accountability, timetable, and resources). EMB socializes the EIMP with internal and relevant external stakeholders. Depending upon risk profile and priority areas, supplemental EIMP planning with other responsible stakeholders is undertaken. 	<ul style="list-style-type: none"> With IFES support, EMB implements EIMP. IFES provides other technical assistance based on assessment findings. Periodic evaluations of progress in achieving identified reforms.

ASSESSMENT SCORING



ASSESSMENT CATEGORIES

PROCESS CATEGORIES

- Referendum Process
- Legal Framework
- Institutional Framework
- Election Funding / Budgeting
- Infrastructure and Planning
- Training and Capacity Building
- Electoral System and Constituency Delimitation
- Voter Registration
- Political Party / Candidate Eligibility and Planning
- Political Finance
- Media
- Public Information and Voter Education
- Voting Operations / Voter Services
- Election Security and Role of Security Forces
- Election Observation and Oversight
- Counting
- Aggregation and Certification of Final Results
- Adjudication of Electoral Grievances

ILLUSTRATIVE SUB-CATEGORY

Adjudication of Grievances

- Right of redress
- Clear standards
- Impartial and informed arbiter
- Expedited decisions
- Meaningful remedies
- Education and training

SCORING – DATA POINTS

SCORING SCALE	
VULNERABILITY	INTENSITY OF IMPACT
0 No vulnerability (0% vulnerable)	No impact, i.e. no effect on election results or credibility of the electoral process
3 Somewhat vulnerable	Limited impact
5 Moderately vulnerable	Moderate impact
7 Highly vulnerable	High impact
10 Extreme vulnerability (> 95%)	Extremely high impact (will change election results and trigger instability)

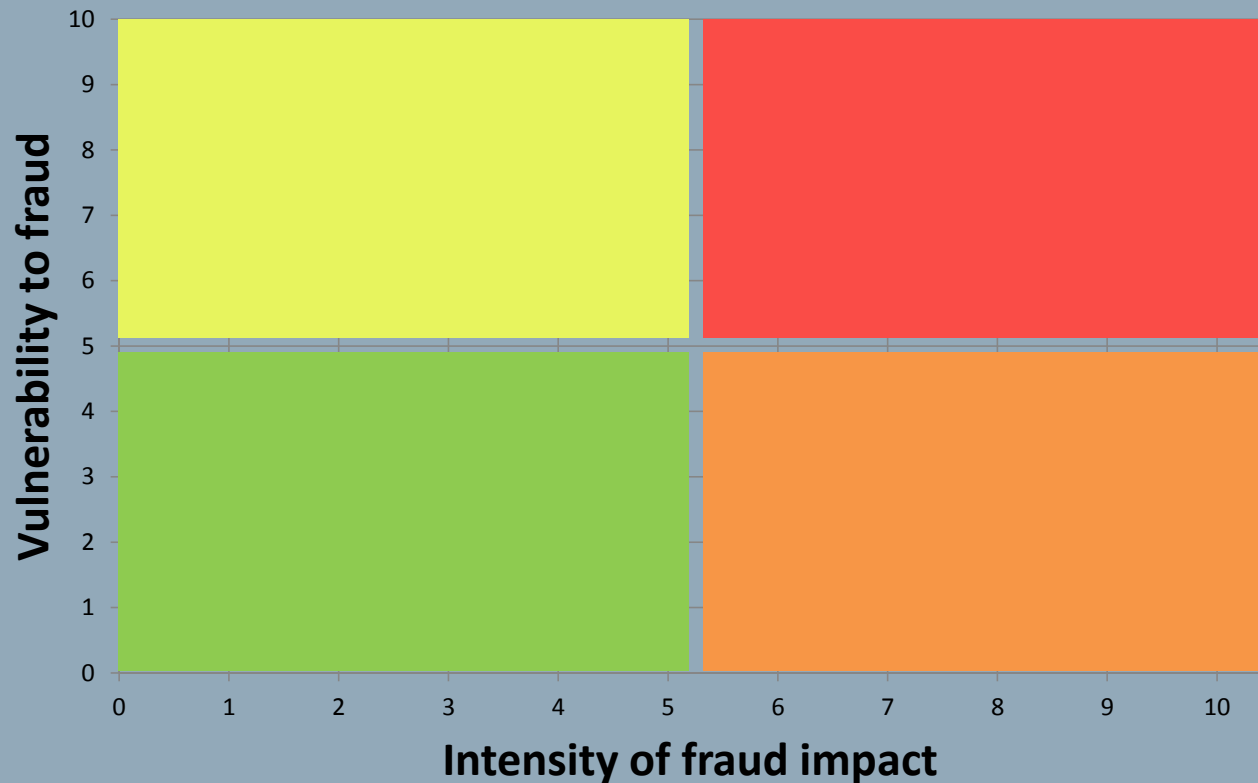
SCORING APPROACH

- **Malpractice** impact scores, which lack the element of intent, are assigned based on **probable** impact. That is, if the vulnerability (as scored in this assessment) is not addressed, what is the likely impact in the next election?

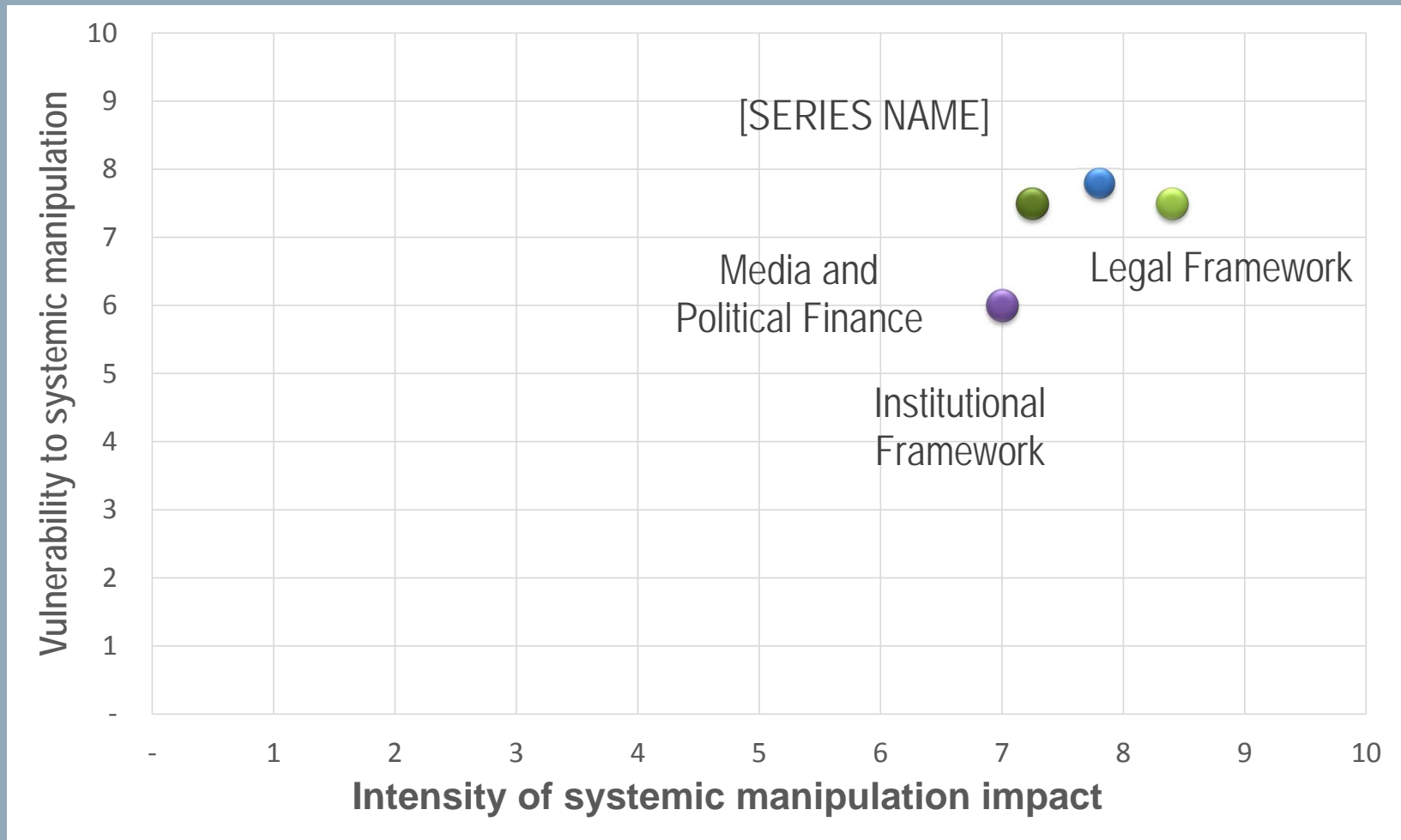
SCORING APPROACH

- **Fraud and systemic manipulation** impact scores, which (by definition) require some level of manipulation with intent to alter voting outcomes, are assigned based on **potential** impact. That is, if the vulnerability (however small) is exploited, what could the impact on the election be?
 - **The assessment does not attempt to prove intent, but rather asks IF intent were present, what would be the vulnerability and impact.**

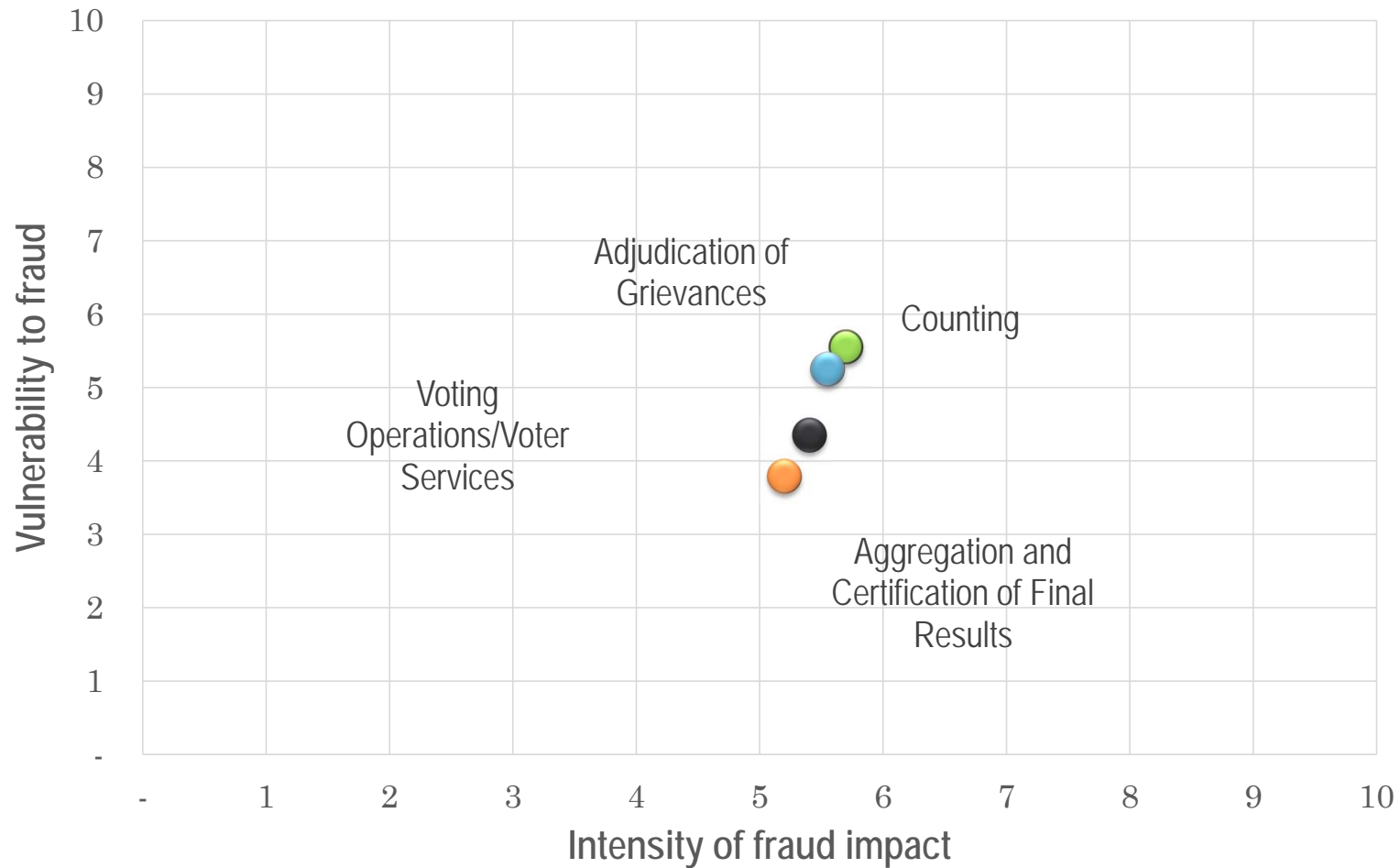
SCORING EACH EI PROFILE (Systemic Manipulation, Fraud, Malpractice)



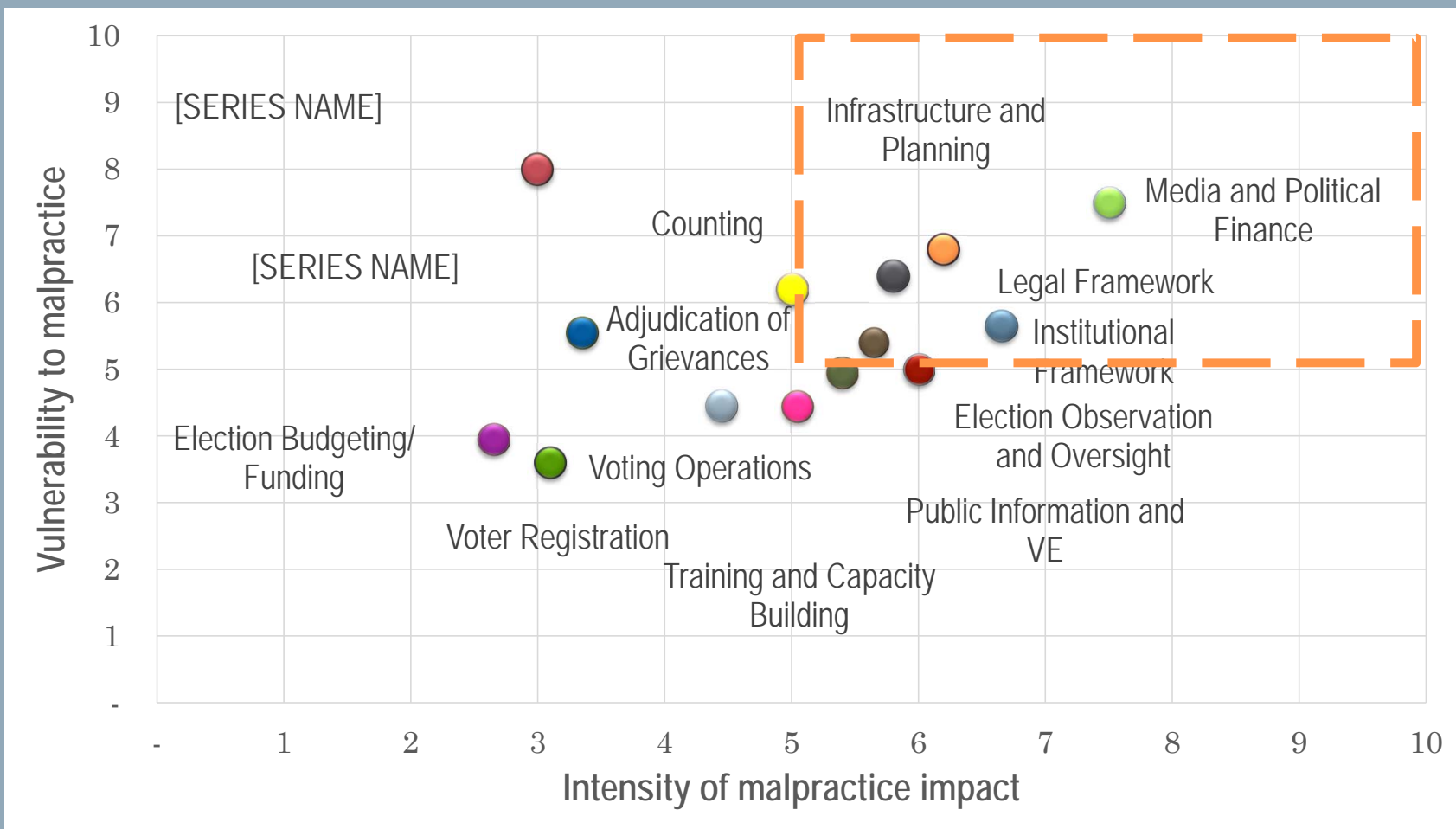
SAMPLE SYSTEMIC MANIPULATION PROFILE



SAMPLE FRAUD PROFILE



SAMPLE MALPRACTICE PROFILE



RESPONSIBLE STAKEHOLDERS

- Who directly commits systemic manipulation, malpractice, and / or fraud?
 - Policy makers / legislators
 - Election officials / staff at all levels
 - Other responsible state or municipal institutions
 - Political parties / blocs / candidates
 - The media
 - Election observers / party agents
 - Voters
 - International community / donors
- Who contributes to or enables systemic manipulation, malpractice, and / or fraud?
- Who has the mandate and ability to address the problem?

ELECTION INTEGRITY MANAGEMENT PLANNING

- EI Assessment findings and recommendations inform strategically-oriented, pro-active, and comprehensive election integrity management efforts. **CASE STUDY: Georgia**
- Election integrity is integrated into EMB's strategic and operational plans.
- Depending upon risk profile and priorities, supplemental and mutually-reinforcing EI management planning is undertaken with / by other responsible electoral stakeholders.
- Civil society contributes to monitoring implementation of EI processes.
- Subsequent EIA's measure progress.

QUESTIONS AND COMMENTS

