

# Electoral Support Program Phase 3

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## Monitoring and Evaluation Framework April 2011



**Australian Government**

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**AusAID**

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## Abbreviations and Acronyms

AusAID	Australian Agency for International Development
CSO	Civil Society Organisations
CST	Core Support Team
ESP	Electoral Support Program Phase 3
ESP2	Electoral Support Program Phase 2
GoPNG	Government of Papua New Guinea
IDEC	Interdepartmental Electoral Committee
M&E	Monitoring and Evaluation
MEF	Monitoring and Evaluation Framework
PESC	Provincial Election Steering Committee
PNGEC	Papua New Guinea Electoral Commission
SET	PNGEC Senior Executive Team

## 1. ESP Context

The Electoral Support Program Phase 3 (ESP) builds upon earlier work funded by AusAID to support the PNG electoral system. Assistance began in April 2000 which involved strengthening the capacity of the PNGEC to plan and conduct the 2002 national elections. Phase 2 of support (ESP2) spanned from 2005 to February 2011 and focused on improving broader electoral systems and environment, as well as supporting the 2007 national elections.

Phase 3 aims to build on the past phases of AusAID funded activities to assist the current efforts of the Government of Papua New Guinea (GoPNG) through the PNG Electoral Commission (PNGEC) to plan for, and administer, elections<sup>1</sup>.

This document sets out the ESP design features related to the Monitoring and Evaluation Framework (MEF), the logic of the framework and its elements. A key aim of this framework is to ensure high quality qualitative and quantitative evidence based information is provided to meet the performance and accountability requirements of the Program and that this information is used for learning to improve and adjust the Program and its activities as required.

The MEF should be considered a 'living' document that is reviewed at least every six months and updated as part of the Six Monthly Report.

## 2. ESP Principles

The Program has defined twelve principles that will frame its work<sup>2</sup> and are reflected in the strategic approach and focus areas of the Program. These principles will guide the design and appraisal of ESP activities and have informed the development of this MEF. Specifically they are:

- (i) *Whole-of-government coordination*: effective operation of the PNG Inter-Departmental Electoral Committee (IDEC) and support of GoPNG ownership of the reforms initiated by the Program.
- (ii) *Ownership*: support of initiatives by both government and civil society organisations (CSOs) to improve the PNG electoral systems. The PNGEC is responsible for all key decisions on electoral management with the Program supporting the use of PNG systems wherever possible.
- (iii) *Performance-based activities*: inputs that are clearly linked to specific, measurable objectives or reforms and tied to achievement of results or progress against objectives.
- (iv) *Flexibility*: flexible approach to implementation based on an agreed annual budget ceiling and regular reviews of Program priorities and activities funded under the Program.

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<sup>1</sup> PNG Electoral Support Program Phase 3, Scope of Services, AusAID, February 2010, pg 49

<sup>2</sup> Ibid pg 50

- (v) *Consultation*: implementation of consultative management arrangements through the Electoral Support Program Board (the 'Program Board').
- (vi) *Additional services*: support will add to the overall resources available to the governance sector in PNG and will not replace or fund core recurrent GoPNG costs associated with elections management.
- (vii) *Appropriateness*: activities will be tailored to the PNG context.
- (viii) *Affordability*: activities will support service delivery that is affordable and sustainable.
- (ix) *Training and support*: provision of appropriate training for the PNGEC.
- (x) *Systems development*: strengthen the development of systems for strategic management, election planning management and evaluation, and corporate planning and management.
- (xi) *Continuous improvement*: through an effective monitoring and evaluation system of Program outputs, outcomes and sharing examples of best practice and lessons learnt with AusAID, GoPNG and other stakeholders

### 3. ESP Design Elements

As defined in the Scope of Services, the **goal** for ESP is: 'To contribute to strengthened Papua New Guinea electoral systems.'

Four **program component objectives** define the contribution to be provided by the Program. These are to:

- (i) strengthen electoral governance;
- (ii) strengthen PNGEC capacity to manage elections;
- (iii) increase the PNG electoral system and civics awareness; and
- (iv) improve research, analysis, program management and coordination.

Given that the ESP design specifies only a goal and four component objectives, the development of key focus areas for each of the four component objectives was undertaken to define the basis of the Program's strategic approach for determining planned activities over the duration of the Program<sup>3</sup> (February 2011 – February 2013<sup>4</sup>).

This was essential to ensure the Program had a clearly articulated strategic focus that proposed activities could align with and contribute to achieving, thus increasing the quality results and value for money of the Program. This approach also provided the foundation of the Program's MEF as Program outcomes for each of these focus

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<sup>3</sup> Refer to ESP3 Annual Plan Apr-Dec2011

<sup>4</sup> The program duration is 22 February 2011 to 21 February 2013, however activity implementation will be restricted to May 2011 – Dec 2012 due to necessary startup and shutdown processes.

areas were developed and now form the basis from which to assess the Program's overall achievements.

## 4. Purpose of the ESP Monitoring and Evaluation Framework

The purpose of the MEF is to provide high-quality, relevant and timely information on the results and performance of the Program and to ensure sound management practice is implemented in the Program.

There are three distinct levels of Monitoring and Evaluation (M&E)<sup>5</sup> in this Program:

- › Program Outcomes<sup>6</sup>;
- › Activity Results; and
- › Contractor Performance Assessment.

*Program outcomes* define the high level results that will be achieved at the end of the Program. Eight specific outcomes have been identified and measures of success<sup>7</sup> have been developed for each of these outcomes (see MEF matrix, below) as have the methods for capturing this data. These outcomes will be assessed against a descriptive baseline developed to provide the starting point for an analysis of change. This information will provide key stakeholders with evidence of the achievements expected at the conclusion of the program. Incremental progress made towards achieving these outcomes will be reported in the main text of the Six Monthly Report.

*Activity results* relate to specific work undertaken by the Program and will be captured in two parts. The first part relates to the intended outputs and outcomes of specific activities funded through the Program's Activity Fund. All activities will align with one of the eight focus areas and will therefore contribute to achieving that outcome. Templates for Activity Fund proposals and monitoring and completion reports are contained in the Activity Guidelines. Monitoring and results of these activities will be reported on in an annex of the Six Monthly Report.

The second aspect of *Activity results* will capture the intended outputs of the capacity development work undertaken by advisers. These results will be based on day-to-day advisory support to key stakeholders, especially to the PNGEC, IDEC and the Provincial Election Steering Committees (PESCs). These results will be assessed against the newly developed AusAID operational policy titled 'Use of Advisers in the Australian Aid Program'<sup>8</sup> using the elements of Table 1 'Capacity Development Framework. Advisory Roles' to define the type of advisory support provided. These assessments will be more qualitative and results will be reported as stories of change and lessons learnt.

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<sup>5</sup> Scope of Services, February 2011, pg 68

<sup>6</sup> These are referred to in the Scope of Services as 'program development impact'.

<sup>7</sup> These can also be referred to as performance indicators but measure of success defines what success looks like and is more readily understood by those not familiar with M&E terminology.

<sup>8</sup> AusAID. Use of Advisers in the Australian Aid Program – Operational Policy: Adviser Planning, Selection and Performance Management. March 2011

*Contractor performance assessment* will be undertaken by AusAID on an annual basis to assess the performance of the Contractor. The criteria for this assessment may be reviewed and revised as appropriate at AusAID's discretion, in consultation with the Contractor and the Program Board. This framework is still being developed between AusAID and Cardno at the time of developing the MEF.

Overall, the MEF with its three levels incorporates the critical elements of compliance, accountability for results, effectiveness and efficiency. It is important to note that the ESP Gender, HIV and AIDS and Diversity Strategy for Mainstreaming aligns with the MEF and is captured in Outcome 4.1

## 5. Contribution

The goal of ESP is to contribute to a strengthened PNG electoral system. By its very design ESP cannot and should not achieve any outcomes in its own right. Its function is to provide strategic and timely support to key partners to enable them to achieve their objectives. As a result ESP **'contributes'** to these achievements. Therefore the outcomes defined in the MEF matrix specifically state that the Program will focus its work on contributing to the achievement of eight outcomes areas identified as priorities by key stakeholders.

Programs designed to make a 'contribution', such as ESP, pose challenges in the monitoring and evaluation of that work, as it raises the question 'how do you assess contribution?' In 1999, John Mayer began describing a tool called contribution analysis, which he defined as 'a specific analysis undertaken to provide information on the contribution of a program to the outcomes it is trying to influence'. It aims to find credible ways to demonstrate 'that you have made a difference through your actions and efforts to the outcomes' rather than trying to prove attribution of inputs/outputs/outcomes<sup>9</sup>.

A key feature of contribution analysis which distinguishes it from other evaluation approaches is the recognition that the contribution of a program towards a particular outcome cannot be determined definitively. It attempts to describe what Hendricks calls a 'plausible association'; that is, where a reasonable person, knowing what has occurred in the program agrees that the program contributed to the outcomes<sup>10</sup>.

Therefore this MEF is designed on the basis that ESP will make a contribution to the achievement of eight agreed outcomes. Specific activities and advisory work (Activity Results) will be the means of this support. Data collection and analysis will be undertaken against the defined measures of success to capture the incremental changes as well as the challenges of the Program.

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<sup>9</sup> Mayne, J. 1999; Addressing Attribution through Contribution Analysis: Using Performance Measures Sensibly, Discussion Paper, The Office of the Auditor General of Canada

<sup>10</sup> Hendricks, M., 1996, Performance Monitoring: How to Measure Effectively the Results of our Efforts, American Evaluation, Association Annual Conference., Atlanta USA

## 6. Capacity Development Approach

### 6.1. Core Support Team

ESP is designed to be a flexible and responsive mechanism providing an integrated mixture of support based on eight defined program focus areas. Activities will be funded by the Program's Activity Fund.

A key feature of the technical support to be provided in ESP is that advisers (both long and short term) will work as part of an integrated team – the Core Support Team (CST) – across the Program rather than only with specific counterparts. This approach was trialled during the two year option extension of ESP2 and was regarded positively as advisers were able to contribute across the Program and support each other given the small size of the advisory team. The focus of the work of the CST will be with PNGEC Senior Executive Team (SET) and their respective branches, and with key whole of government bodies, IDEC and its provincial steering committees. This approach is designed to ensure that capacity development is undertaken at the individual, team, branch and institutional levels, consistent with latest international capacity development theory and practice.<sup>11</sup>

As outlined in Section 4 this approach to Capacity Development is aligned with AusAID's Capacity Development Framework for Adviser Roles<sup>12</sup> as it states that in all situations capacity development – of people, organisations and systems – should underpin all advisory inputs provided by the aid program. This policy defines adviser support at four levels: capacity substitution, supplementation, facilitation and enabling.<sup>13</sup>

ESP's advisory support will focus on capacity enabling and capacity facilitation, although at peak times in the lead up to the 2012 national election capacity supplementation and capacity substitution will be utilised when required as part of 'surge capacity'.

Advisers will also provide assistance to potential fund recipients in developing activity proposals, providing support during implementation to recipients, and monitoring and reporting on activity results.

### 6.2. Principles and definitions

The principles of the ESP capacity development approach are:

- › Recognition of the importance of the contextual factors, and a need for continual analysis;
- › It is relational, based on trust, respect and mutual learning;
- › It is an approach to change that promotes ownership and sustainability<sup>14</sup>;
- › It is partner driven;

<sup>11</sup> Baser & Morgan, Capacity Change and Performance: Study Report. European Center for Development Policy Management (ECDPM) April 2008

<sup>12</sup> 'AusAID. Use of Advisers in the Australian Aid Program – Operational Policy: Adviser Planning, Selection and Performance Management. March 2011

<sup>13</sup> Ibid pg 7

<sup>14</sup> This is consistent with the PNG Commitment to Aid Effectiveness, GoPNG, June 2008

- › It involves a range of capacity development tools and methods from demonstrating by doing to mentoring and coaching;
- › It operates at numerous levels ie. individual, group, branch and organisation;
- › It is a process that takes time; and
- › It recognises the importance of capturing 'incremental' change and reporting and celebrating these achievements.

Key definitions applied to the ESP capacity development approach are:

- › Capacity is the ability of individuals, teams, branches and institutions to identify their development needs, set objectives and solve problems to achieve their goals in a sustainable manner.
- › Capacity development is the process by which people, organisations and society as a whole develop competencies and capabilities that will lead to sustained and self-generating performance improvement.
- › Performance is about sustainable achievement and ownership (and is the true test of the existence of capacity).

### 6.3. ESP's Capacity Development 'Roadmap' model

ESP has looked at a range of models and methods for applying and reporting its capacity development work. It has decided that the Capacity Development Roadmap model<sup>15</sup> with the following four dimensions best suits the ESP approach. There are four dimensions of capacity in this model:

1. Institutional framework (e.g. policies, laws, and regulations)
2. Organisational management (e.g. structure, work process, staffing, financing, facilities, and equipment)
3. Task network (e.g. communication within an organisation, communication with stakeholders across and outside government)
4. Human resource (e.g. human resource management and human resource development)

Each of the ESP advisers will use these four capacity development dimensions in the development and reporting of their work plans, undertaken in discussions with relevant members of the PNGEC SET. The ESP Program Manager will review the Adviser's progress against these work plans and consult with the PNGEC SET, IDEC or other Program stakeholders as required. All activities funded by the ESP Activity Fund will be monitored against these capacity development dimensions and reported on in the Six Monthly Report.

As outlined above, three levels of M&E will be undertaken in this Program. The following tables set out two of the three levels (program outcomes and activity results)<sup>16</sup> of the MEF and includes the details of what M&E will be undertaken, how this will occur, by whom and when.

<sup>15</sup> Kato, Kawahara & Vermeulen 2006, Institutional Capacity Building 'Roadmap': Strengthening Public Financial Management, Economic Planning and Statistics. Asian Development Bank

<sup>16</sup> Contractor Performance Assessment process to be finalised by AusAID and Cardno



## 7. ESP Monitoring and Evaluation Framework Matrix

### 7.1. Program Outcomes

Outcomes	Measures of success	Methods and tools	ESP Evidence source	Person responsible and timeline
<b>Component 1: Strengthen Electoral Governance</b>				
<b>Outcome 1.1</b> ESP supported IDEC's coordination of an effective Whole of Government response to the 2012 national election	<ul style="list-style-type: none"> <li>› IDEC sub-committees achieve their objectives / TOR</li> <li>› IDEC agencies are supported by ESP to fulfil their agreed roles and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>› Interviews with key stakeholders</li> <li>› Review of documents</li> <li>› Independent review to assess if IDEC agencies have been supported by ESP to achieve the their mandate as members of IDEC</li> </ul>	<ul style="list-style-type: none"> <li>› Independent assessment report</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Planning and Coordination Adviser and M&amp;E Adviser</li> <li>› Conclusion of 2012 election</li> </ul>
<b>Outcomes 1.2</b> ESP supported PESCs to operate as an effective provincial WoG mechanism in the 2012 national election	<ul style="list-style-type: none"> <li>› ESP supports PESCs linking to IDEC to strengthen coordination and decision making and PESCs achieve their TORs</li> </ul>	<ul style="list-style-type: none"> <li>› Independent review to assess the achievement of PESCs and the contribution provided by ESP</li> </ul>	<ul style="list-style-type: none"> <li>› Independent assessment report</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Planning and Coordination adviser and M&amp;E adviser</li> <li>› Conclusion of 2012 election</li> </ul>
<b>Component 2: Strengthen PNGEC capacity to effectively manage elections</b>				
<b>Outcome 2.1</b> ESP supported the increased accuracy of the electoral roll	<ul style="list-style-type: none"> <li>› Correlation between the electoral roll and the 2011 national census data</li> <li>› Voters surveyed report the electoral roll recorded them accurately in the 2012 national election</li> </ul>	<ul style="list-style-type: none"> <li>› Comparison of the electoral roll data with national census data</li> <li>› Domestic Observer Survey of roll validity</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Elections Operations Adviser analysis report</li> <li>› Domestic observer reports</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Elections Operations Adviser &amp; M&amp;E Adviser</li> <li>› Conclusion of 2012 election</li> </ul>

Outcomes	Measures of success	Methods and tools	ESP Evidence source	Person responsible and timeline
<b>Outcome 2.2</b> ESP supported key election management staff at provincial level to perform at standards set by Electoral Commission	› Key election management staff (Election Managers, Returning Officers, polling officials and Provincial Administrator) perform in accordance with Electoral Commission performance standards / manuals	› Domestic observer assessments › No of petitions that reach court	› Domestic observer reports › ESP Elections Operations analysis report	› ESP Elections Operations & M&E adviser › Conclusion of 2012 election
<b>Outcome 2.3</b> ESP supported PNGEC's polling and counting venues have equipment and resources in place on polling day	› Percentage of polling venues open and are operational as per polling schedules	› Communication plan reporting performance of Returning Officers and Election Managers › Domestic observer assessment › Include a focus on conflict and peace building in this assessment › PESCs monitoring of polling venues	› Reports › Reports › Report	› ESP Elections Operations Adviser › Conclusion of 2012 election
<b>Outcome 2.4</b> ESP strengthened PNGEC capacity in: › Finance › HR › IT › 'Action learning' – working groups	› Finance – expenditure correlate to budget › IT Instructions and manuals are in place and used by PNGEC personnel › HR – recruitment of election personnel results in more women being employed compared to 2007 › Working groups – outcomes are implemented into PNGEC systems	› Analysis and reporting by branches of PNGEC responsible for these priority issues identified in their Corporate and Annual Plans	› PNGEC Quarterly Financial Report › PNGEC Quarterly Branch Plans › PNGEC Annual Reports › PNGEC Strategic Planning Steering Committee Reports › ESP Gender Adviser Analysis Report	› Program Manager and M&E adviser › October 2012 › Gender Adviser and M&E Adviser › October 2012

Outcomes	Measures of success	Methods and tools	ESP Evidence source	Person responsible and timeline
<b>Component 3: Increase awareness of the PNG electoral system and civics awareness</b>				
<b>Outcome 3.1</b> ESP supported PNGEC to provide relevant and effective messages and materials that are targeted and delivered in a timely manner	<ul style="list-style-type: none"> <li>› PNGEC implemented their media and advertising strategy successfully</li> <li>› PNGEC reached targeted audiences / numbers</li> </ul>	<ul style="list-style-type: none"> <li>› Voter Awareness Project assessment data</li> <li>› PNGEC data and post election reviews</li> </ul>	<ul style="list-style-type: none"> <li>› Voter Awareness Project assessment reports</li> <li>› PNGEC Post Election Reports</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Awareness &amp; M&amp;E adviser</li> <li>› October 2012</li> </ul>
<b>Outcome 3.2</b> ESP supported strengthened partnerships between PNGEC and CSOs to provide electoral and civic awareness to women and men of PNG	<ul style="list-style-type: none"> <li>› Women and men voters report an increase in awareness and rights</li> <li>› Number and range of women and men reached in awareness training (include. disabled people, geography, location)</li> </ul>	<ul style="list-style-type: none"> <li>› Voter Awareness Project data collection and analysis</li> <li>› Survey and interviews with a selective sample of voters</li> </ul>	<ul style="list-style-type: none"> <li>› Voter Awareness Project Reports</li> <li>› National observers assessment report</li> <li>› CSO reports</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Awareness Adviser</li> <li>› October 2012</li> </ul>
<b>Component 4: Improve research, analysis, program management and coordination</b>				
<b>Outcome 4.1</b> ESP has integrated cross-cutting issues into three components  *As outlined in the Gender, HIV & AIDS and Diversity Strategy	<ul style="list-style-type: none"> <li>› ESP activities include cross-cutting issues in its activity designs, monitoring and reporting</li> <li>› Useful cross-cutting data is provided by ESP</li> </ul>	<ul style="list-style-type: none"> <li>› Audit of Activity Fund work</li> <li>› Analysis of cross-cutting data</li> </ul>	<ul style="list-style-type: none"> <li>› HIV &amp; Gender Adviser's report</li> <li>› HIV &amp; Gender Adviser's report</li> </ul>	<ul style="list-style-type: none"> <li>› HIV &amp; Gender Adviser</li> <li>› October 2012</li> <li>› HIV &amp; Gender Adviser</li> <li>› Six Monthly Report</li> </ul>

Outcomes	Measures of success	Methods and tools	ESP Evidence source	Person responsible and timeline
<b>Outcome 4.2</b> ESP increases the body of evidence-based research available to elections governance and management	<ul style="list-style-type: none"> <li>› Number and types of research recommendations endorsed and applied by PNGEC and IDEC.</li> <li>› Number and type of issues / reports / papers produced and made available to GoPNG and the community</li> </ul>	<ul style="list-style-type: none"> <li>› Ongoing recording of actions</li> <li>› Ongoing recording of data</li> </ul>	<ul style="list-style-type: none"> <li>› Logbook</li> <li>› Logbook</li> </ul>	<ul style="list-style-type: none"> <li>› ESP M&amp;E Coordinator</li> <li>› -ongoing</li> <li>› ESP Research Coordinator - ongoing</li> </ul>
<b>Outcome 4.3</b> Increased engagement between ESP and other development programs	<ul style="list-style-type: none"> <li>› Number / type / action results from engagement</li> </ul>	<ul style="list-style-type: none"> <li>› Minutes of meetings</li> <li>› Records of actions</li> </ul>	<ul style="list-style-type: none"> <li>› Program management reports</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Program Manager</li> <li>› ongoing</li> </ul>

## 7.2. Activity Fund Results

Results	Measures of success	M&E Tool / Method used	Type of Reporting	Person responsible & timeline
<b>Part 1</b> Assessment of each individual Activity Fund activity	<ul style="list-style-type: none"> <li>› Were the outputs delivered?</li> <li>› Were the funds fully acquitted?</li> <li>› What lessons were learned?</li> <li>› Was the activity well managed?</li> <li>› What capacity development was achieved?</li> <li>› What were the cross- cutting results in this activity?</li> <li>› Are the results of this activity sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>› Completion reports by implementers</li> <li>› Monitoring, evaluation and reporting by ESP Core Support Team Advisers</li> </ul>	<ul style="list-style-type: none"> <li>› ESP Six Monthly Report (to the Program Board and AusAID)</li> </ul>	<ul style="list-style-type: none"> <li>› Relevant Core Support Team Adviser</li> <li>› 6 monthly</li> </ul>
<b>Part 2</b> Advisory Capacity Development support	<ul style="list-style-type: none"> <li>› Partners report positive level of satisfaction with advisory support provided</li> </ul>	<ul style="list-style-type: none"> <li>› Survey of partners annually</li> </ul>	<ul style="list-style-type: none"> <li>› Partners survey results and report</li> </ul>	<ul style="list-style-type: none"> <li>› M&amp;E coordinator and M&amp;E Adviser</li> <li>› Annually</li> </ul>