Electoral risk management:

A new standard in organizing elections

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Management vs risk management

Management

The **organization and coordination of the activities** of a business in order to achieve defined objectives.

http://www.businessdictionary.com/definition/management

Risk management

The **identification, analysis, assessment, control, and avoidance, minimization, or elimination** of unacceptable risks.

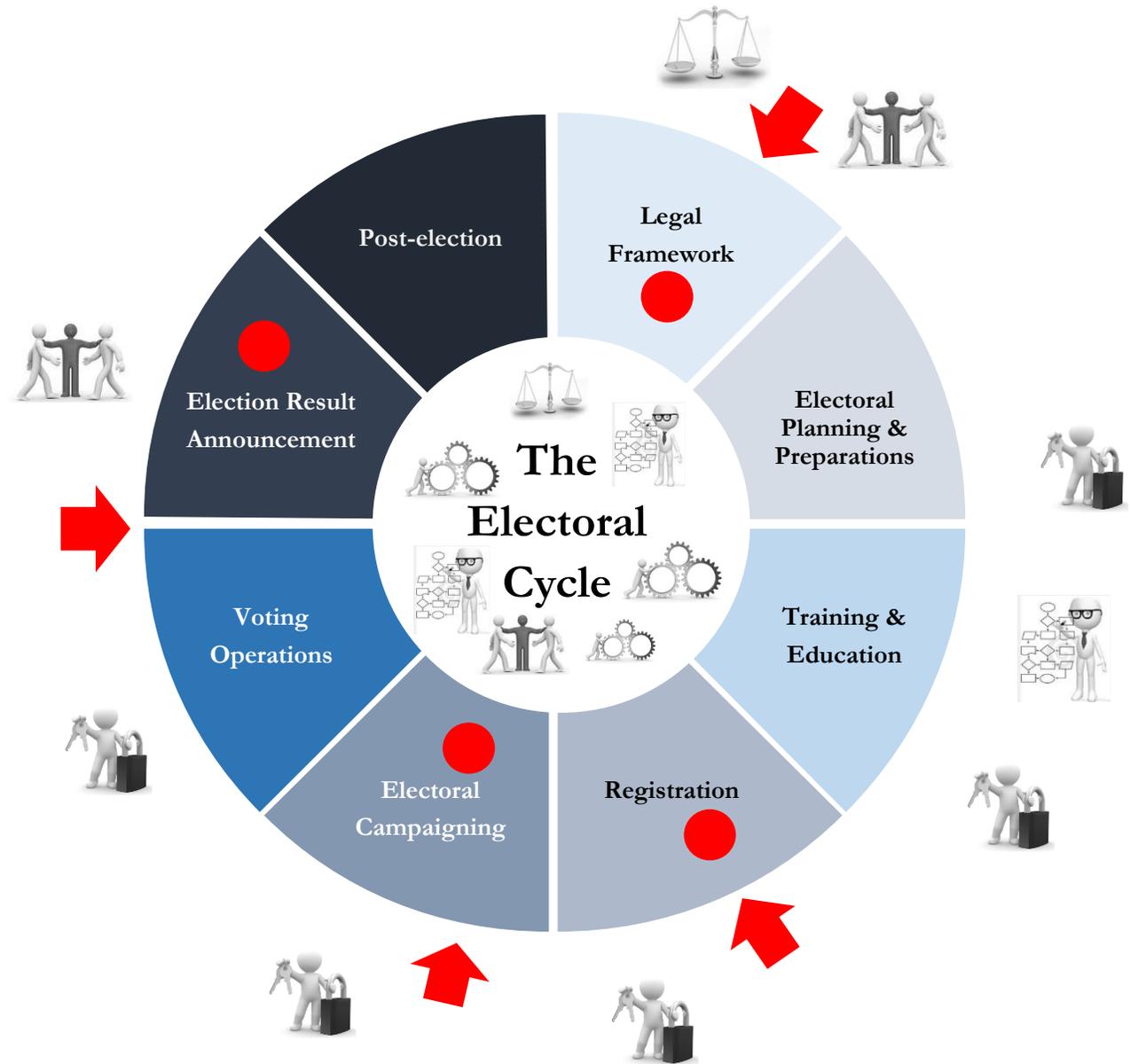www.businessdictionary.com/definition/risk-management

Management

A — X — B

Risk management

Soft landing

Stage setting:

- Risk management is becoming **increasingly appreciated** by public and private **organizations dealing with dynamic and complex tasks**.

- Until recently, risk management is still only **sporadically considered as an issue of crucial importance in the organization of elections**, despite the complexity of these processes.

- Because of the novelty of this concept to bureaucratic organizations?

- Limited exposure of international electoral assistance providers and researchers to this concept?

The state of risk management in elections worldwid

In 2014 International IDEA survey (sample: 89 countries)

D E F I N I T I O N

ERM entails systematic efforts undertaken to improve understanding of electoral risk factors, and develop situational awareness needed to initiate timely and well informed prevention and mitigation actions.

Does an EMB has institutionalized procedures and tools for risk management?

YES

NO
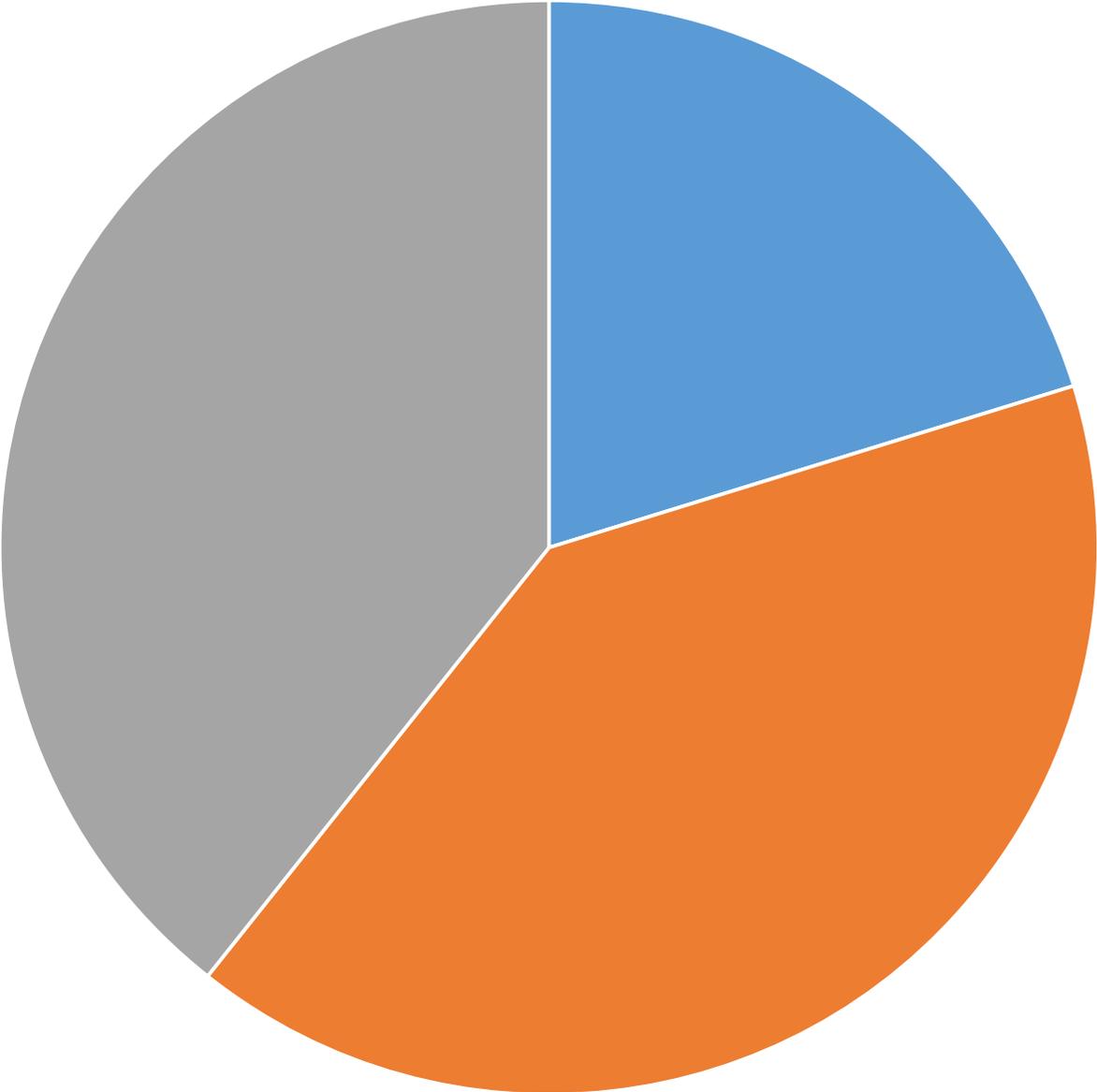
Which **procedures** and which **tools**?

Is there **any practice or a tool** that is not formally institutionalized, but may **contribute to electoral risk management**?

ELECTORAL RISK MANAGEMENT SURVEY – 89 COUNTRIES

- FORMAL RISK MANAGEMENT (18)
- INFORMAL RISK MANAGEMENT (36)
- NO RISK MANAGEMENT (35)

Details:

18 countries have **formal risk management processes**. These are divided into three categories:

1. Generic risk management tools and procedures

Gained **externally** or through the **government's effort** to institutionalize risk management in all its institutions

- **Armenia and Moldova** adopted ISO standards
- **Canada and Spain** adopted government enacted risk management procedures
- **Kenya and Nigeria** using IDEA ERMTool

2. Customized risk management tools and procedures

Internally devised or customized risk management methods

- **Norway**
- **Columbia**
- **Costa Rica**
- **New Zealand**
- **South Africa**

3. Partial use of risk management tools and procedures

Applied to **specific risk** areas

- **Denmark** in the context of compilation of election results
- **Estonia** - relates to use of ITs
- **Guatemala** - relates to security aspect of electoral processes
- **Georgia** - relates to creation of the crisis management plan
- **Madagascar** - relates to early warning
- **Tanzania** - relates to logistics, communication and incidents
- **The United Arab Emirates** - focused around risks of breakdown of electronic voting machines

36 countries use **informal risk management practices**, including:

1. Stakeholders meetings	2. ICT-related procedures	3. Training	4. Operational planning	5. Use of IDEA's ERMTool
Botswana	Albania	Burundi	Equator	Bosnia and Herzegovina
Benin	Hungary	Chile	Yemen	Tunisia
Burkina Faso	Gabon	Chad	Latvia	Libya
Burundi	Lithuania	Lithuania	Lebanon	
Cameron		Swaziland		
Djibouti				
Ethiopia				
Ghana				
Guinea				
Mali				
Malawi				
Mozambique				
Sierra Leone				
Zambia				
Zimbabwe				

6. **Other**

Austria	………	Meetings with subordinate EMBs
Gabon	……..	Biometric registration
Germany	…….	Maintenance of databases
Mauritania	…….	Internal procedures and composition of EMB
Mauritius	………	Evaluation
Uruguay	………	As problems arise

35 EMBs reported not implementing any risk management practices:

Argentina
Bulgaria
Central African Republic
Comoros
Congo (B)
Côte d'Ivoire
Croatia
Czech Republic
DRC
Egypt
El Salvador
Equatorial Guinea
Eritrea
Gambia
Honduras
Iraq
Jordan
Kuwait

Lesotho
Liberia
Morocco
Namibia
Niger
Panama
Paraguay
Peru
Rwanda
Seychelles
Slovakia
Slovenia
South Korea
South Sudan
Sudan
Togo
Uganda

Is electoral risk management a new standard in organizing elections?

Not "**if**", but "**when**"!

Four key developments:

1. EMBs are **increasingly exploring and formally introducing** risk management in their work.

2. Many EMBs already **implement** policies which have some **key features** of risk management.

3. International **electoral assistance providers** are increasingly developing and promoting methodologies that require strengthened analytical rigor by EMBs (needed for ERM).

4. Users of **IDEA's ERMTool** confirm its utility in addressing broad risk management challenges.

Way forward – embracing risk management in elections*:

❶ **Support from the top is a necessity**
- role of EMB leadership

❷ **Build risk management using incremental steps**
- allow time for institutional learning

❸ **Focus initially on a small number of top risks**
- focusing on risks which are deemed the most prominent

❹ **Leverage existing resources**
- human capacities, ICT tools, communication routines and existing networks

❺ **Build on existing risk management activities**
- risk management does not start in a vacuum

❻ **Embed ERM into the business**
- use it across the organization

❼ **Provide ongoing updates and continuing education for directors and senior management**

International IDEA's contribution:

ERM Conference:

- Promote the concept (exchange of good practices)

ERM Tool:

- Support users (AU-IDEA project)
- Partner with others in future development and implementation

ERM Policy paper:

- Risk management in elections, 2016
- Contributions: Australia, Bosnia and Herzegovina, Canada, India, Mexico, South Africa

THANK YOU