

INTRODUCTION

The Commission on Elections (COMELEC) is an independent Constitutional body mandated to enforce and administer all laws and regulations relative to the conduct of elections, plebiscite, initiative, referendum and recall for the purpose of ensuring free, orderly, peaceful and credible elections. It was created in 1935 by the Philippine Constitution, and reiterated in the 1973 Constitution and the Freedom Constitution of 1986 and 1987. Its scope of operations, organization, personnel systems and means of conducting the election on manual basis have remained essentially the same despite the series of important developments in the political landscape that have introduced new dimensions to COMELEC functions. Among these changes are:

1. The Omnibus Election Code of Philippines (Batas Pambansa No. 881, November 28, 1985)
2. The Synchronized National and Local elections Act (R.A. 7166, November 20, 1991)
3. The Party List Act (R.A. 7941, February 28, 1995)
4. The Continuing Registration Act (R.A. 8189, June 11, 1996)
5. The Act Authorizing the COMELEC to Use an Automated Election System (R.A. 8436, December 22, 1997)
6. The Fair Elections Act (R.A. 9006, February 2003)
7. The Synchronized Barangay and Sangguniang Kabataan Elections Act (R.A. 9164, March 13, 2002) and the
8. The Overseas Absentee Voting Act (R.A. 9189, February 2003).

The above legislation have expanded the scope of COMELEC functions, and triggered the piecemeal creation of new organizational units and additional staffing to be added to the existing units. There had been no

attempt to take total stock of the organization, its processes, systems and personnel with a view to introduce the required changes in an integrated holistic manner.

THE COMELEC MODERNIZATION PROGRAM

Operation MODEX, which stands for Modernization and Excellence, was launched in a Strategic Planning Seminar that was held in 1992, immediately after the May 11, 1992 Synchronized National and Local Elections.

The vision set was as follows:

COMELEC is an independent, constitutional body capable of giving substance and meaning, through the electoral process, to the democratic principle that sovereignty resides in the people and all government authority emanates from them

From this vision flowed the Commission's mission, namely:

To ensure the continuing development of free, orderly, honest, peaceful and credible electoral processes

MODEX was fleshed into a law in 1998, the Modernization Law, RA 8436. This law practically overhauls the antiquated manual system of voters' registration, identification, counting of votes and canvassing of results. Piloted in the 1998 elections for the Autonomous region of Mindanao, the COMELEC has gone ahead to acquire the machines, adopt a voters registration system, laid down policies, adopted systems and procedures for implementation of the voters registration, counting of votes and canvassing of results. Personnel from the different organizational units have been

reassigned to election committees, logistics and security have been planned and additional personnel have been hired. All of these, however, were superimposed on the existing organization, personnel, processes and technical and administrative systems. There had been no deliberate attempt to review the institutional and personnel capacity to perform the new sets of functions of an altered COMELEC, or even to assess the readiness and responsiveness of the organization to assume these expanded functions and the high-technology system of conducting the election process.

THE STUDY

In the context of the above, this commissioned study seeks among others to conduct a rapid organizational process systems, and personnel assessment of COMELEC with the objective of identifying critical areas for organization structure improvement and to review the capacity of key COMELEC officers and officials to effectively perform the demands of the modernization program. The staff capacity diagnosis focuses on the competency requirements for the various processes under the automated election process. Recommendations will be presented aimed at the following :

- Institutionally strengthening the COMELEC
- Building the capacity of the staff to assure more effective achievement by COMELEC of its expanded functions its mission under a computer-technology regime, and
- Improve its responsiveness to the external demands of good governance practices, human rights, and gender issues, and other emerging principles of global concerns as of espoused by the United Nations Development Program and other international agencies.

The areas covered in this particular study are as follows:

- Policy
- Organizational Processes
- Personnel Competency
- Organizational Structure

Information gathered in this study have been provided by the COMELEC team through four workshops conducted with them and focused meetings with the select officers. This approach has been recommended by the COMELEC team and deemed most productive since in the light of the numerous and intense activities leading to the May national elections, opportunities for group meetings for purposes of agreements on the analyses made would be very difficult to hold. Plenary meetings have been the mode for arriving at the synthesis of responses made by the three groups which per recommendation of the team were as follows:

Group 1 : Phase I – Registration and Data Cleansing

Group 2 : Phase II & III - Voting & Election Results Dissemination

Group 3 : Logistics

A group plenary meeting with Commissioner Tancangco was held on February 27, 2004 to affirm completely the results of the study. This was further rounded up with a final meeting with Commissioner Tancangco and her key officers on March 5, 2004.

Given the recent Supreme Court nullification of the contract for the automation of the voting process (Phase II), it has become urgent for the COMELEC team to accelerate new selection of the qualified supplier/contractor for the same project, within the legal framework allowed. This setback should not put off track COMELEC's

Modernization Program but rather put more emphasis into its renewed and re-invigorated implementation. Phases I, III and the Logistics Processes must proceed as currently planned.

PART 1 : POLICY

Policies are broad organizational guides to actions or decisions.

They provide the frame-work within which officials and employees can exercise discretion or deal with problems and issues.

As a body of organizational laws and rules, they are formulated as anticipated response to questions, or may evolve out of the resolution of problems or issues that have arisen already and presented for COMELEC resolution. The latter are called policy decisions.

Policies should be adopted after thorough planning, i.e. determining what are the policy requirements of the COMELEC to ensure effective performance of its mandate. Policies should be planned so that all areas needing a policy statement are covered and there are no gaps in policies. Policy planning also ensure that the subject and the treatment of policies are coordinated and not in conflict with each other.

The Commission, collectively constitute the policy making body for the COMELEC. It expresses these policies in the form of Resolutions. In the performance of its quasi-judicial functions, its decisions on election cases and issues brought before it bring out basic principles that are adopted as policies.

OBSERVATIONS & RECOMENDATIONS

- POLICY PLANNING

The policy making process appear unclear even to COMELEC officials. It is also observed that the rationale for the adoption of certain policies are often

not set out, thus making even the implementors of these policies unable to effectively implement them.

The policy issuances also appear not to have the benefit of thorough staff study; and amendments to the policies, and even policy reversals are not uncommon.

There is little indication of policy planning in the COMELEC. This had been manifested in recurrent “flip-flops” in issued policies, and incremental policy issuances that at times contradict each other.

Perceived gaps, require extra administrative remedies or supplemental policy issuances upon implementation, or when ambiguities or gaps became evident. It is also indicated in the piecemeal issuance of rules and guidelines. The inapplicability of some policies to real administrative realities gives rise to the impression that there is no consultation with affected parties in the formulation of these policies.

Although primarily a top management level responsibility, a consultative method with the participation of those involved in its execution shall be adopted to ensure the effectiveness and implementability of the policy and remove the possibility of having the policy superseded changed or revised at a later time, or perceived as politically motivated.

Policy statements are also found to be confusing in their message especially when related to previously issued policies.

- POLICY MANAGEMENT LIKEWISE NEEDS TO BE FURTHER STRENGTHENED PARTICULARLY IN THE AREA OF DISSEMINATION, COMPLIANCE, ENFORCEMENT, MONITORING, EVALUATION AND SUSTAINABILITY.

It has been observed that many policies are not given wide dissemination as a matter of informing everyone in the organization, of the existence of said policies. Policy issuances are furnished only the departments who are to implement them. The implementing department in turn faces difficulty in their implementation because of the lack of prior knowledge or information of the policy by those affected by it. Policy issuances should be directed to everyone for their information even as only specific departments are given the responsibility for their implementation.

It is a general principle in policy management that a policy be issued for everyone's information but for implementation by a particular department.

- POLICY MANAGEMENT

Moreover, dissemination of policies is often late. There is limited means of policy dissemination. The usual means being issuance in the original COMELEC En Banc resolutions. Publication in the COMELEC newsletter with clear explanation of purpose and expected compliance, could improve policy management and effectiveness of implementation.

Some policies remain unenforced for lack of logistical support in its implementation. There is also a perception of selective enforcement of policies or "ningas cogon" attitude in policy implementation.

A number of COMELEC policies also remain unenforced primarily for lack of a compliance and monitoring system.

The absence of a systemized and centralized process of monitoring policy issuances contribute to instances of recalling or changing the policy after they have been found to be conflicting with earlier policy issuance. Since no

staff group to reviews policies before they are adopted and issued those policy conflicts are not avoided.

Neither is there a central repository for policy issuances. Policy planning evaluation and monitoring should be assigned to a small high level professional staff lodged in the Office of the chair or the Executive Director.

COMELEC policies have by and large sought to promote the objectives of good governance and the promotion of human rights and the gender agenda. More needs to be done to however in putting these advocacies into implementing details. For example, COMELEC needs to develop the finer policy issues on Human Rights as pursued by the Commission on Human Rights should coordinate with the CHR. As constitutionally defined, human rights encompass both civil and political rights of citizens.

The above observations have been validated with the focused meetings on the strengths and weaknesses of the Policies in each of the grouping of processes for Phases 1, 2 and 3. Results are shown in Appendix C.

PART II : COMELEC PROCESSES

The COMELEC PROCESSES reviewed span those critical in Phases 1, 2 and 3

The processes proposed by the COMELEC Management as the scope of work for the capacity assessment are as follows:

PHASE 1 < SET 1 PROCESSES

Process 1 : Cleansing of CVL

Process 2 : Database Processing

Process 3 : Information Dissemination and Voter Education

Process 4 : Registration and Validation

PHASES 2 and 3 < SET II PROCESSES

Process 1.1 : Pre-Voting – Preparation of Final List of Candidates

Process 1.2: Pre-Voting – Preparation, Allocation and Distribution of Ballots

Filing of Candidacy

Process 2.1 : Voting – Announcing of the Opening of Polls

Process 2.2 : Voting – Continuous Preparation of Minutes of Voting and Counting

Process 2.3 : Voting – Showing of Empty Ballot Boxes and & Inventory of Un-Accomplished Ballots and all Accountable Forms and Closure of Empty Ballot Boxes

Process 2.4 : Voting – Voter Identification

Process 2.5: Voting - Release of Ballots with Ballots Secrecy Folder

Process 2.6: Voting - Accomplishment of Ballots

Process 2.7: Voting - Return of Accomplished Ballots to Board of Election Inspectors

Process 2.8: Voting - Re-checking of Voter Identification and Returned Ballots

Process 2.9: Voting – Application of Indelible Ink on Voter

Process2.10: Voting – Board of Election Inspectors Chairman Affixes Signature on Space Provided in the Ballot

Process 2.11: Voting - Depositing Ballot in the Ballot Box

Process 2.12: Voting- Announcing the End of Polls at 3 PM

Process 2.13: Voting- Listing of Voters still to Vote after 3 pm within radius of 30 meters of polling place

- Process 2.14: Voting - Allowing listed voters to cast their votes
- Process 2.15: Voting – Inventory of all accountable forms.
- Process 2.16: Voting – Preparation for transportation of Ballot boxes to counting centers
- Process 2.17: Voting – Final closing of polls.
- Process 3.1 : Counting & Canvassing – Delivery of official ballot boxes to municipality and city counting centers
- Process 3.2 : Counting & Canvassing – Counting of Votes per Precinct
- Process 3.3 : Counting & Canvassing - Transmission of Precinct Election Returns (PER) to National Consolidation Center
- Process 3.4 : Counting & Canvassing - Canvassing of Precinct Election Returns (PER) in the Municipality and City
- Process 3.5 : Counting & Canvassing – Proclamation of Officials
- Process 3.6 : Counting & Canvassing - Transmission of Certificate of Canvass
- Process 3.7 : Counting & Canvassing – Canvassing of Certificate of Canvass for Provincial and National Candidates
- Process 3.8 : Counting & Canvassing – Provincial Proclamation of Provincial Officials and District Congressmen
- Process 3.9: Counting & Canvassing – Transmission of Certificate of Canvass (Provincial/Highly Urbanized City Consolidated Results) to National Board of Canvassers
- Process 3.10: Counting & Canvassing – Canvassing of Certificates of Canvass for National Candidates
- Process 3.11: Counting & Canvassing – National Proclamation of President and Vice President by Congress
- Process 3.12 : Counting & Canvassing – National Proclamation of Senators and Party List Representatives by COMELEC

LOGISTICS MANAGEMENT < SET III PROCESSES

Process 1 : Data Gathering

Process 2 : Secure Funds

Process 3 : Procurement

Process 4 : Manpower

Process 5 : Physical Arrangement

Process 6 : Allocation and Packing

Process 7 : Security Arrangement

Process 8 : Shipment

Process 9 : Mobilization of Funds

ANALYSIS

The capability and readiness to accept changes brought about by the Computerization Program and the whole Modernization Programs are founded on the following :

- The state of definition of the affected processes;
- The State of organization of the affected processes; and, The State of Execution of the affected Processes.

The state of definition of a quality process includes the following elements:

- Objectives
- Measurements viz a viz Objectives
- Process Owner
- Process Participants
- Activity Flow
- Linkages with other processes

- Information Requirements
- Relevant Implementing Policies

A process not completely defined can not also be managed completely. Hence, expected quality results have less probability of occurrence. These conditions translate to weaker capability to manage changes.

The state of organization of a quality process includes the following elements:

- Information System to support the process
- Information and Communications Technology (ICT) Infrastructure (Hardware, Software, Network)
- Forms
- Premises
- Process Participants Deployment
- Process Participants Training & Orientation

A process not completely and timely organized results in more exception conditions to be managed. Hence, expected quality results have less probability of occurrence. These conditions translate to weaker capability to manage changes.

The state of execution of a quality process includes the following elements:

- Measurement of results viz a viz process objectives

THE PROCESS VITALITY INDEX or PVI provides a measurement for the states of Process Definition, Organization and Execution

At the end of the day, there should be improvement amidst all the 'movements'.

- Process improvement
- Benchmarking

A process not measured for its performance provides no systematic basis for pro-active improvement. Benchmarking with the best of breed external similar processes is also impaired. These conditions translate to weaker capability to manage changes.

PVI ASSESSMENT FOR COMELEC PROCESSES SETS I, II and III

The PVI rating has been finalized with the COMELEC team as follows:

Total Score	Cumulative Score	
10	10	Process Definition
10	20	Process Organization
20	40	Measurement – Process Execution
40	80	Improvement - Process Execution
20	100	Benchmark - Process Execution

On the overall, the PVI rating of the three sets of processes described above are as follows :

	Definition	Org	Execution	TOTAL PVI
SET I Processes	5	7	20	32
SET II Processes	8	7	10	25
SET III Processes	7	8	30	45

RECOMMENDATIONS

PVI of less than 40 means that processes are still not well defined and that the extent of their organization is likewise incomplete. The specific details relative to these attributes are shown in the attached Process Definition and Organization Forms.

- Institutionalize Process Management

The Process Orientation and Framework for managing activities is not yet a set mode at COMELEC. While there are experts in terms of what needs to get done in the non-computerized set-up, these processes and procedures have not been documented for systematic use every time the election events are due to take place.

The regularity of the conduct of the electoral processes and its significance for the country's national development mandates the institution of the continuous improvement mode for all activities related to the electoral processes. To sustain the continuous improvement mode, COMELEC may choose to conform to globally acknowledged standards of excellence like ISO and the Malcolm Balridge.

- Immediate action on the identified SWOT

In the course of defining the states of process definition, process organization and process execution, the strengths and weaknesses of the processes have been identified and these were further articulated in sessions specifically focused on process SWOT (strengths, weaknesses, opportunities and threats). The weaknesses converge to the elements pertaining to proper and complete process definition, organization and execution.

These are shown in Appendix B. Of significance among these are the following:

PHASE I:

- Full implementation of the biometric system to authenticate voters and complete cleansing of the voters database
- Tap revenue potential for the use of the authenticated voters database by other government agencies
- Enhanced education of the voting public relative to the state of the art system for voters registration

PHASES II and III :

- Promote public confidence on the new electoral process through full transparency on the automated counting project proponent selection.
- Enhanced public education and information on the new voting processes. Tap citizen groups to assist on this task. Enlist media support.
- Provide for complete automation not partial and at the precinct level.
- Institute globally compliant standards on information security (ISO/BS 7799). This will signal to the public that COMELEC is fully cognizant and conscientious in safeguarding security of information especially that of the electoral processes.

LOGISTICS:

- Participation in the government's e-procurement to allow for more suppliers and promote full transparency of transactions.
- Automate the logistics processes to promote full efficiency and optimal process improvement

- Provide immediate support to the forthcoming May 2004 elections through augmentation of training and education resources relative to the execution of the May 2004 elections General Instructions (GI).

PART III : THE COMPETENCY SCOPE

It is agreed upon with the COMELEC team that the competencies needed for the prioritized processes, ie, Sets I,II,III and the Logistics Processes, shall be in the following categories:

- **TECHNICAL**
- **ADMINISTRATIVE**
- **PEOPLE**
- **POLITICAL**

The TECHNICAL competencies include the following knowledge and skills:

T1 Use of Automated System

- * Data Entry
- * Access of Information
- * System Operation
- * Continuous Improvement Methods

T2 Processes, Procedures

- * Knowledge of Processes, Linkages
- * Execution of Procedures
- * Continuous Improvement Methods

T3 Policies / Legal Mandates

- * Knowledge of Policies / Laws
- * Compliance Requirements
- * Sanctions and Rewards System
- * Working Knowledge on Global Mandates on Human Rights, Good Governance, and Gender Issues

- * Knowledge of Local Initiatives in Relation to Global Policies / Mandates

T4 ICT Trends

- * Connected Environment
- * Mobility
- * eBusiness
- * Services, Capacity On-Demand
- * Outsourcing

An equally important responsibility of COMELEC managers is the management of the other organizational resources of time, money, materials and records. They have to attain a high level of knowledge and skills in these areas so that goals, targets and programs are accomplished on time, with the most efficient use of the budget. The ADMINISTRATIVE competencies include the following knowledge and skills:

A1 Work Plan Management

- * Plan Dev't.
- * Performance Monitoring
- * Issue Resolution
- * Troubleshooting
- * Post Project / Event Evaluation
- * Contingency Management
- * Risk Management

A2 Time Management

- * Quadrant 2 (Important & Planned) Management
- * Crisis Management
- * First Things First

A3 Budget Management

- * Planning

- * Cost/Value Management
- * Resource Optimization

A4 Documentation

- * Version Management
- * Archiving
- * Retrieval

Aside from dealing with the large, amorphous group of external customers, key officials are also responsible for managing a group of people comprising their staff. In dealing with both these external and internal clients, key COMELEC officials have to demonstrate the following :

P1 Leadership (In thought, touch, and action)

- * Planning
- * Execution Monitoring
- * Mentoring
- * Delegating
- * Inspiring / Motivating
- * Resource Mobilization
- * Networking

P2 Teambuilding

- * Knowledge Sharing
- * Problem Identification
- * Shared Mission, Vision, Values, Goals
- * Group Empowerment

P3 Stakeholders Relationship

- * Citizen-centricity

- * Recognition of Stakeholders Needs/Expectations
- * Responsiveness to Stakeholders
- * Proactive Ability to Gauge / Identify Stakeholders' Needs
- * Winning and Sustaining Positive Relationship

P4 Communication

- * 7 Habits Skills
 - Be proactive
 - Begin with end in mind
 - First things first
 - Seek first to understand before being understood
 - Think Win Win
 - Synergize

Political competencies are vital to COMELEC officers and staff. It is a constitutional body which is supposed to be independent of the executive, legislative and judicial interference. Being involved in the application of political and Administrative Law, and, owing to the political environment obtaining in the country, it is clearly susceptible however to executive and legislative influence, because of the legislative and executive control of the COMELEC budget. It is also the subject of interest to media, NGO's, the Civil Society, and the general public. These large and highly diverse groups constitute, the "customers" or stakeholders of COMELEC, which it needs to handle with sensitivity. Key officials who must constantly interact with them should possess high levels of political competency skills in dealing with them.

The POLITICAL related competencies include the following knowledge and skills:

L1 Consensus Building

- * Interpersonal Skills

- * Persuasion Skills

- * Capability to Bring Out Ideas from Others

L2 Negotiation / Conflict Management

- * Patience

- * Factual Information

- * Persuasion Skills

- * Problem Solving Skills

- * Interpersonal Skills

- * Trial Closing Skills

- * Refereeing Skills

L2 Integrative Management

- * Convergence of Strategic Directions and Goals

Required Competencies for the Managers and Participants of the processes of Phases I, II , III and the Logistics Group

- * Systems Thinking

- * Helicopter View of Organization

- * Abundance Mentality

- * Altruistic Orientation

- * Analysis, Decomposition, Aggregation, Dis-aggregation and Synthesis

Assessment of the required competency levels for each of the Competency dimensions for each group of processes are specified by the COMELEC team in Appendix D. A summary of the results are indicated below.

COMELEC managers who participated in the competency assessment diagnosis arrived at a consensus that key officials involved in the modernization program need to have high competency levels in all four areas of technical, administrative, people and political skills, varying in degrees from fully skilled (being competent to do a job) and teacher qualified (or having the competence to be able to do a job and able to teach others to do it), depending upon their functions and process involvement.

Managers involved in the voting process are expected to have high technical skills in the processes and procedures of the automated system and the policies and legal mandates, the administrative skills in work plan management, time management and documentation, the “people” skills of team building, leadership, stakeholder relationship, and Communication. Of the political skills, consensus building and conflict management require a high levels competency of at least (4).

Those in the Logistics functions, on the other hand, should have level skills (5) on technical skills of automated systems particularly knowledge and processes, legal mandates and information and communication technology (ICT) and expert level skills on work plan management and time management and high (5) level skills in budget management, and the “people skills” of leadership, teacher qualified (4) in teambuilding and stakeholders relationship and Communications as well as in the political skills of consensus building and conflict management. High level skills in integrative management are also necessary.

On the other hand, those involved in the pre-voting functions, while expected to have high technical level skills is the processes, procedures, and legal mandates of the automated systems, are not required to have as much skills in ICT trends. In the administrative skills, this group of managers

are required to have high level of skills in work plan, time management and documentation. They are not expected to have high skills in budget management. On the “people” skills those in the pre-voting function are required to be high (4) Leadership, and the Communication skills, but not as high level skills requirement in teambuilding, political skills of consensus building, and conflict management as well as in the Integrative Management skills.

Understandably, Managers involved in the functions of Counting, Canvassing, Transmission and Proclamation are required to have high level (4-5) the technical skills in using the Automated Systems of Data Entry, Systems Operation and continuous improvement as well as in the processes and procedures, and legal mandates on automation. They are not required to have as much knowledge in ICT trends, however; they are also expected to have uniformly high (4) level skills in the Administrative areas of work plan management, time management, budget management and documentation, as well as in all areas of “people” skills particularly in Leadership and teambuilding. High political skills on Consensus building, conflict management as well as in the Integrative skills have also been identified.

In sum, key officers of COMELEC involved in all the processes of the automated election should be trained to develop all these skills to enable them to effectively perform their responsibilities under the Modernization Program.

The training program to upgrade them to the required levels of skills/competencies, should start with an assessment of present individual levels of skills in these areas, as basic reference point for planning their development. Benchmarks on skills level should also be established.

PART IV :

THE IMPLEMENTING ORGANIZATION

COMELEC has addressed the new computerized operations with the traditional activation of committees addressing specific phases of the Election Process as follows:

Phase 1 Voters Validation

Phase 2 Counting & Consolidation

Phase 3 Transmission

The COMELEC is a unique organization. On paper, it has a permanent, formal organization structured like the regular government agency. During election year, however, the formal organization gives way to a temporary organization of Committees, where department heads and their staff are reassigned to work under an election Committee headed by a Commissioner. This election year's committees are as follows:

Phase	Committee	Organic Unit
1,2,3	Executive	ITD
1,2	Allocation	PLANNING
	Printing	PERSONNEL
1,2,	Reception & Verification	EBAD,ERSD
1,2	Packing & Shipping	ASD
1,2	Information, Education & Media / Hot Line	EI
1,2,3	Gun Ban	D
	Overseas Absentee Voting	LAW
2	Local Absentee Voting	Mixed Group
1,2,3	Transportation	Mixed Group
1,2	Bids & Awards	OEDDO
	Disposal	Planning,

1,2,3		EBAD,LAW
1,2,3		ASD,PLNG, FSD ASD

Observations and Recommendations

The chair serves as chief executive officer of the Commission, and is assisted in the implementation the policies and decisions, by two deputies, one for Operations and another for Administration.

The implementation of the electoral process, however, resides on the Regional Election Directors and under it the provincial election directors who in turn supervises the city and municipal election offices.

- Reorganize COMELEC to make it more responsive to the goals and expanded mission mandated by the various legislations particularly those aimed at automated election, enhancing citizen participation, including the extension of voting rights to overseas Filipinos, and the participation of local government units and the marginalized sectoral groups in the election process.

The present formal organization appears to be a “maintenance” organization that performs the internal administrative process for COMELEC between elections when the COMELEC “springs into action” for the purpose for which it was created. During this period the COMELEC functions are done by Committees under early Commissioner. Although this had been the

practice for over five decades, the developments as earlier stated, particularly the adoption of the automated electoral process now makes it necessary for COMELEC explore. Other possibilities to reorganize on a more permanent, formal organization that reflects and performs the substantive COMELEC mandate at all times, and not only on election years. The conduct of the electoral process being its mission, the permanent, formal organization should be redesigned for that purpose, so that in-between elections, it can continue performing the functions on a pre-election mode and ensure full preparedness for actual elections without the need for reconfiguration into Committees, during election years. The new COMELEC organization should give indications that the COMELEC is pursuing its mission at all times rather than only on election years, after which it hibernates. Preparatory work and planning for elections is as important as actual implementation of the election process. The intervening period between elections should be devoted for planning electoral process so that it runs smoothly on election years.

A restructuring of COMELEC for its basic functions is deemed urgent in light of the election modernization law, and the other legislations earlier described. These legislative objectives should be mainstreamed into the COMELEC policies, organizational processes and systems.

- Under this proposal, each Commissioner should be given a permanent function to oversee throughout the year, and not only on election time. The manner of task allocation presently being observed for the committees during election years should not be the basis. Rather, COMELEC major functions should be aggregated into substantive areas, which should be the basis of the major subdivisions. Shifting to election years will be smooth process, with the formal permanent organizing performing this job as build-up activities for the electoral exercise.

Information, Education and Communications

The function of information dissemination and education is all too important to be made part only of general administration, and to be active only during election years. This function should be undertaken seriously on a continuing basis, so that when election comes, the electorate is well informed and ready for the exercise of their political rights. The mandate of COMELEC being to enforce laws and regulations that will ensure, peaceful, orderly and credible elections can be served with an enlightened electorate. This is a function that COMELEC should provide in its organization.

Considering the characteristics of our voting population, information dissemination and voters education is as important to the mandate of COMELEC as actual voting exercise. Information dissemination and education must be strengthened as a function as important as, and to be subsumed as part of the conduct of elections. This primacy of the information and education function must be reflected in a reorganized set up, by having a high level organization to perform this function. This office should be headed by one of the Commissioners.

Coordination with Other Agencies

Furthermore, there is a need to strengthen the participation of other stakeholders in the electoral process by mainstreaming the voter's education program in the government. COMELEC should link up with the Department of Education to include in the elementary or secondary school curriculum, education of students on their political rights and prepare them to be educated "voters". A similar link with the Commission on Higher Education should be established to institutionalize the deputization for electoral work of college students, as part of community service, under the concept of community service of the 1960's – 70's.

Due to the importance of information and education, these function should be lodged in the Office of one commissioner and staffed with highly capable professionals dedicated to the missionary function of educating the voting population. This function is vital and directly related to the election process and the COMELEC success in the information, education function already makes it halfway to success in its mission.

Improvement Policy Planning and Management

A planning, evaluation and monitoring group should be provided, in the COMELEC organization involve policy planning. Aside from undertaking policy analysis and planning it should also undertake a continuing study and review of the new legislative enactment's e.g. party-list, synchronized election overseas absentee voting and particularly the automated electoral process to enhance their mainstreaming into the political process. These being new policies and new functions, COMELEC should evaluate their present implementation, and seek ways of making them achieve the purpose for which they have been adopted. Such evaluation should be fed back to the legislative body for possible enhancement, review and amendment to these laws, when necessary. Otherwise, all efforts should be made for their institutionalization in COMELEC policies. This new group should also evaluate the electoral process continuously, study the problems met every election and initiate policy reforms to solve them, keeping in touch with NGO's or private groups such as NAMFREL, to continuously improve the political exercise, and enhance COMELEC effectiveness.

Institutionalization of COMELEC Policies, of global concerns on Good Governance, Human Rights and Gender Issues.

By and large, COMELEC has adopted the internationally reorganized principles of good governance, Human Rights and Gender Issues. More needs to be done in this area however. These concerns have been adopted by the Philippine Government in various legislations, like expanding voter's registration to Filipinos, citizen participation, etc. There should be pursued in greater detail in COMELEC policies, programs and even the organization structure. These are government agencies also involved in pursuing these issues of good governance and human rights and gender issues, and COMELEC policies should be coordinated with the work of those agencies. An example is the Commission on Human Rights (CHR), which responsibility cover political rights as well.

De-layer COMELEC hierarchy especially at the Regional Level

The Modernized electoral process also renders redundant the highly hierarchical and highly structured COMELEC organization which has been regionalized following the executive department's 13 administrative regional areas. For one, the COMELEC does not have a continuing program for delivery of services like the Department of Education, or Department of Social Welfare which observes the regionalization concept. Therefore there is no compelling reason for its structure to follow the regional set up of the regular government departments. Instead, it should be designed to perform its unique functions without the regional office intervening between the COMELEC head office and the provincial offices. What might be more effective is a flattened organization with the Head office dealing directly with provincial election offices. Regional set-up are perceived as "added" layer which does not add any value to the quality of COMELEC services. In light of the modernization program, the regional centers only serve as needless coordinator of provincial activities.

The new COMELEC reorganized set up, however, should ensure maximum use of personnel and other resources and reduce 'turfing'. A more thorough process review and re-engineering of COMELEC by organizational experts could suggest an appropriate organization structure.

- EBAD and ERSD functions appear to have some overlaps and should be reviewed for possible merging.
- Higher Education linkages should be established to institutionalize the deputization for electoral work of college students, as part of community service.

Due to the importance of information and education, it should be lodged in the Chair's Office, and staffed with highly capable professionals dedicated to the missionary function of educating the voting population. This function is vital and directly related to the election process, and on COMELEC success in the information, education function already makes it halfway to success in its mission.

- A planning, evaluation and monitoring group should be provided which functions as policy planning and management group.

The Group should also undertake a continuing study and review of the new legislative enactment's e.g. party-list, synchronized election overseas absentee voting and particularly the automated electoral process to enhance their mainstreaming into the political process. These being new policies and new functions, COMELEC should evaluate their implementation, and constantly seek better ways of making them achieve the purpose for which they have been adopted. Such evaluation should be fed back to the legislative body for possible enhancement, review and amendment. The group should also study the electoral process continuously

evaluate the problems met every election and initiate policies to solve them, keeping in touch with NGO's or private groups to continuously improve the political exercise, and enhance COMELEC effectiveness.

In the absence of clearly defined processes, the performance of the critical tasks for the various phases of the election event as mandated to be driven by the PHASE Chairpersons and supported by the committees and organic units has become difficult to manage. Coupled with the new systems and processes unfamiliar to the current work force, the capacity to manage change is greatly hampered.

Please see attached Organization Chart as reference for the Organic Units.

Organic Units Description:

ITD	Information Technology Division
EBAD	Election and Barangay Affairs Department
ERSD	Election Records and Statistics Department
ASD	Administrative Services Department
EID	Education and Information Department
OEDDO	Office of the Deputy Executive Director for Operations
FSD	Finance Services Department

PART V :

THE PROPOSED ROADMAP <

There are two roadmaps for capacity build-up for COMELEC, namely the :

- INSTITUTION ROADMAP

- INDIVIDUAL CAPACITY ROADMAP
 - COMELEC OFFICERS & STAFF
 - DEPUTIZED AGENCIES
 - COMELEC STAKEHOLDERS'

The successful implementation of the Modernization Program of COMELEC calls for simultaneous capacity build-up for the institution and the individuals involved in the various processes affected. Given the analyses presented above, the following roadmaps are recommended:

**INSTITUTION CAPACITY BUILD-UP STREAM 1 :
SET-UP OF THE POLICY MANAGEMENT PROCESS**

Significant Results

- 2004 :**
 - * PVI 60 - Full Process Definition
Full Process Organization
Process Measurement
 - * Integrate the UNDP Policy Mandates
 - * Review and Finalize effective Modernization Policies
- 2005 :**
 - * PVI 80 - Continuous Improvement Mode
- 2006 :**
 - * PVI 95 - Benchmark Mode

**INSTITUTION CAPACITY BUILD-UP STREAM 2 :
INSTITUTIONALIZE PROCESS MANAGEMENT**

Significant Results

- 2004 :**
- * PVI 60 - Full Process Definition
Full Process Organization
Process Measurement
 - * Implement the Change Management Process
 - * **Strengthen the Execution of Processes of the Phase II especially those linked with the deputized agencies namely, the Department of Education teachers and the Department of National Defense.**
- 2005 :**
- * PVI 80 - Continuous Improvement Mode
- 2006 :**
- * PVI 95 - Benchmark Mode

**INSTITUTION CAPACITY BUILD-UP STREAM 3 :
INSTITUTIONALIZE THE CHANGE MANAGEMENT PROCESS**

Significant Results

- 2004 :**
- * Establish a Project Management Office (PMO) for the Modernization Projects
 - * PVI 60 - Full Process Definition
Full Process Organization
Process Measurement
- 2005 :**
- * PVI 80 - Continuous Improvement Mode
- 2006 :**
- * PVI 95 - Benchmark Mode

**INSTITUTION CAPACITY BUILD-UP STREAM 4 :
ORGANIZATION STRUCTURE ALIGNMENT**

Significant Results

2004 : * Align committee functions with the relevant processes

2005 : * Align committee functions with the relevant processes

2006 : * Align committee functions with the relevant processes

**INDIVIDUAL CAPACITY BUILD-UP STREAM 5 :
CORE COMPETENCIES BUILD-UP FOR COMELEC
& DEPUTIZED AGENCIES**

A well planned program of capacity building, training and development should be formulated and implemented. The training program should be tailored-fit to the requirements of new functions of COMELEC policies, and consider the skills level of individuals required at the Head and regional offices, as established by the Competency assessment as described in Part III of this document.

Significant Results

2004 : * PVI 40 - Competencies Management Process

* Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules

* Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)

* Curriculum Development for Degree Course on BS in Elections in partnership with the University of the Philippines (UP) School of Public Administration

- * To ensure that training would result in effective returns, the competency requirements as specified in this study must be converted into a curriculum tailored fit for to the needs of these key officials given their present state of competencies.

2005 :

- * PVI 60 - Competencies Management Process
- * Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules
- * Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)
- * Curriculum Development for Degree Course On BS in Elections in partnership with the University of the Philippines (UP) School of Public Administration

2006 :

- * PVI 80 - Competencies Management Process
- * Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules
- * Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)
- * Pilot run of the Degree Course on BS in Elections in partnership with UP School of Public Administration

**INDIVIDUAL CAPACITY BUILD-UP STREAM 6 :
MASTERY BUILD-UP**

Significant Results

2004 : * Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules

* Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)

* MS and PHD in Elections/Public Administration (**COMELEC OFFICERS**)

2005 : * Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules

* Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)

* MS and PHD in Elections/Public Administration (**COMELEC OFFICERS**)

2006 : * Implement the Technical, Administrative, People and Political (TAPP) Competency Training Modules

* Short Term Courses Overseas related to TAPP (**COMELEC OFFICERS**)

* MS and PHD in Elections/Public Administration (**COMELEC OFFICERS**)

INDIVIDUAL CAPACITY BUILD-UP STREAM 7 : MAINSTREAMING

Stream 7 will be capacitating the other stakeholders to actively participate in the process especially in the voter education, also mainstreaming their participation in the government. Specifically, voting education should start as part of the curriculum at the elementary and secondary levels by COMELEC linking up with Dept. of Education on the matter. At the level of higher education, arrangements should be made with the Commission on Higher Education for the institutionalization of the deputation of college students for electoral work, as community service.

Significant Results

- 2004 :**
- * Develop Values Formation Course content and processes for integration in the first, second and tertiary school levels
 - * Link with Department of Education & Culture (DEPED) on curriculum enhancement relative to good governance and elections
 - * Link with Commission of Higher Education (CHED) on curriculum enhancement relative to good governance and elections
- 2005 :**
- * Pilot run with DEPED on curriculum enhancement relative to good governance and elections
 - * Pilot run with CHED on curriculum enhancement relative to good governance and elections

2006 : * Mainstream with DEPED on curriculum enhancement relative to good governance and elections

* Mainstream with CHED on curriculum enhancement relative to good governance and elections

RECOMMENDED PROJECTS

Given the above expected results for each stream in the Institution and Individual Capacity Building Roadmaps, the following projects have been discussed and approved by the COMELEC team.

Project 1 : Policy Management Process Set-up and Implementation

This project includes the integration of the UNDP policies on human rights and good governance, and those of the Modernization Program.

Project 2 : Strengthening of process execution of the Phase II processes linked with the COMELEC deputized agencies

Project 3 : Process Management set-up and implementation for the Phases I, II and III processes as presented in Part 3 of this document.

This project includes Stream 2 - Process Management, Stream 3 – Change Management and Stream 4 – Structure alignment of the proposed Roadmap for institution competency building.

It also includes the implementation of globally compliant standards for information security.

Project 4 : Implementation of TAPP for COMELEC Officers and staff

This project will include detailed training needs analysis and course curriculum covering the competencies identified in TAPP

Project 5: Implementation of TAPP for COMELEC Deputized Agencies like the Department of Education.

Project 6: Short term courses overseas for select COMELEC Officers

Project 7: Link with the University of the Philippines School of Public Administration for degrees in Good Governance and Elections

Project 8: Scholarship for select COMELEC Officers and staff for masteral course at the University of the Philippines School of Public Administration for degrees in Good Governance and Elections

Project 9: Development of a Values Formation Program for students at the first, second and tertiary school levels in the areas of good governance and active citizenship. This is in partnership with the Department of Education and Culture and the Commission of Higher Education.