

## **ISO 54001 – key points and differences from ISO 9001**

### **4.0 – Scope (“Context”) of Application for this Organization**

#### **4.1 – Understanding the Organization and its Context**

The electoral body should consider

- Legal requirements and regulations
- Economic and budgetary limits
- Needs for electoral materials, and technology

#### **4.3**

- Must reflect the Universal Declaration of Human Rights and the International Covenant on Civil and Political Rights
- Must apply to the following electoral processes:
  - Voter registration
  - Registration of political organizations and candidates
  - Electoral logistics
  - Vote Casting
  - Vote Counting and declaration of results
  - Electoral education
  - Oversight of campaign financing
  - Resolution of electoral disputes

#### **4.4.3**

Fairness and impartiality shall be ensured in elections. The electoral body shall implement actions to secure the integrity of the electoral service, to ensure unimpeded observation of the electoral process by accredited individuals, and to prevent abuse.

Processes needed shall include those for

Management activities

Provision of resources

Execution

Measurement

Analysis and improvement

### **5.0 Leadership Issues**

#### **5.2.2 Communicating the quality policy**

The electoral quality policy shall

- Be available as documented information
- Be available to interested parties as appropriate

#### **5.3**

Top management shall ensure that responsibilities and authorities are communicated within the electoral body prior to the election process, that responsibilities are implemented, and that electoral clients are informed (as appropriate) of the division of responsibilities.

### **6.0 Planning Issues**

#### **6.1 Actions to address risks and opportunities**

##### **6.1.3 Top management shall ensure that:**

- a) The planning of the electoral quality management system includes planning for all electoral processes;

b) All planning and processes protect the fundamental rights of electoral clients.

## **7.0 Support Issues**

### **7.1.3.2 Infrastructure for voter registration and registration of political organizations and candidates**

Top management shall specify the information system requirements necessary to support the voter-registration electoral process and registration of political organizations and candidates electoral process, including:

- Data integrity and availability
- Information security
- Privacy/ confidentiality issues
- Voters' personal information

### **7.1.3.3 – Infrastructure for Electoral Logistics**

Specify minimum requirements for:

- Physical security and neutrality of the voting location
- Process equipment including voting equipment
- Disposal or isolation of non-conforming equipment

### **7.1.3.4 Infrastructure for vote casting**

Actions to ensure access to voting locations and voting equipment for the disabled and special-needs people

### **7.1.3.5 Infrastructure for vote counting and declaration of results**

Develop requirements for:

- Physical security and neutrality of the counting locations;
- Protection of electoral materials (ballot control)
- Systems for communicating voting outcomes

### **7.1.4 Environment for the operations of processes**

Physical safety protocols for voters - Compliance with building, health, safety, and environmental codes. Police and security as needed.

Physical space requirements to achieve:

- Sufficient and appropriate storage space of electoral materials, voter registries, and political organization/ candidate registries;

The placement and spacing of polling stations between each voting location;

- Handicap access;
- Unimpeded ingress and egress for voters and workers
- Appropriate labeling for the polling station

### **7.1.5.2 Measurement Traceability**

Voter equipment shall:

- Be safeguarded from adjustments that would invalidate the voting result;
- Be audited by a competent, independent, non-partisan authority

The electoral body shall assess and record the validity of previous results when voting equipment is found not to conform to requirements. The electoral body shall take appropriate action on the voting equipment and any electoral materials affected.

The ability of voting system computer software must be proven to fulfill application requirements, prior to initial use and reconfirmed as necessary.

### 7.2.2 General for the electoral body

Shall ensure electoral body personnel are competent on the basis of appropriate education, training and/or experience. Ensure staff are selected through competence-based public recruitment process.

Electoral body shall define in an electoral service development plan, the roles to execute electoral processes, and education, training and skills required in each role.

### 7.2.3 Education and training of poll workers

The electoral body shall ensure that poll workers have successfully completed training for their role. It shall maintain continuing education and training of all staff.

### 7.3 Awareness

Electoral body shall have a process to monitor the extent to which its personnel are aware of how they contribute to the achievement of the electoral quality objectives.

### 7.5 Documented Information

#### 7.5.1 General

Electoral body documented information must include

- Explicit statement of the scope of electoral quality management system, including electoral processes in scope
- Electoral Service Development Plan to control the design, development and delivery of the electoral service, or reference to it.

#### 7.5.3 Control of Documented Information

Define and control documented information required by the electoral quality management system. Access to electoral records for political organizations and election observers as required by law, and to ensure transparency of the electoral processes.

#### 7.5.4 Minimum documentation requirements

##### 7.5.4.1 General

All electoral documentation shall:

- a) Display a unique identifier and revision number
- b) Include a title
- c) Be identified by date of issue
- d) Include approval signature or equivalent authentication
- e) Be subject to control to prevent unintended use when obsolete or superseded
- f) Have suitable identification when retained for any purpose

Electoral documentation must specify the level of approval required for each identified document.

##### 7.5.4.4 For electoral logistics

Maintain requirements for political organizations and candidates to register. At a minimum these should include:

- Application form
- Registration record
- The instrument and supporting documentation to be filed to register a challenge
- The circumstances under which a party may be de-registered

##### 7.5.4.4 For electoral logistics

Establish and maintain a document that specifies the provisioning, staffing and setting up the voting location, including

- Configuring the voting location
- Procurement guidelines for purchasing electoral materials
- Securing electoral materials daily for election operations
- Installing and testing voting equipment
- Creating and updating electoral maps
- Identifying, selecting, and training election officials

The electoral body must establish and maintain training materials for poll workers

#### 7.5.4.5 For vote casting

Must have a documented process for:

- Confirming voter registration prior to voting
- Monitoring the voting location during the voting period
- Recording voting incidents

#### 7.5.4.6 For vote counting and the declaration of results

Documented work instructions and criteria for ensuring the integrity of the count, including:

- Statement and public posting of election results
- Statement of observed proceedings-electoral disputes (challenge documents)
- Official declaration of the election results

#### 7.5.4.7 For electoral education

- Define and document citizen electoral education plan that includes its purpose, strategy, audience, approach, resourcing, responsibilities and schedule.
- Also any procedures or work instructions to carry out the plan.

#### 7.5.4.8 For the oversight of campaign financing

Campaign financing oversight plan should address requirements for planning and conducting oversight of campaign financing, establishing records and reporting results. It should consider requirements for funding calculations based upon results of previous elections, or other relevant criteria and requirements for publicly available financial reports of political organizations.

#### 7.5.4.9 For dispute resolution

Electoral body shall establish and maintain documents specifying the working procedures and instructions needed for electoral dispute resolution. Working procedures shall describe the dispute application process and shall include the date of the dispute, the location of the dispute, the type of dispute and interested parties.

*The type of dispute can refer to a candidate, electoral results, political organization or voters*

*Dispute resolution documentation can include documents that outline the timeline for the resolution of disputes, regulations regarding locus standi for disputes, evidentiary standards for disputes, and who rules for cost responsibilities for disputes.*

#### 7.5.5 Control of records

Records established to support legal proceedings shall be identified and controlled.

#### 7.5.6 Minimum records requirements

##### 7.5.6.1 General

In addition to record specific content, all records identified in the electoral documentation shall display:

- a) A unique identifier;

- b) A date of execution;
- c) A signature or equivalent authentication from the entity that executed the record.

#### 7.5.6.2 For voter registration

The voter registration electoral process shall generate information that can be used to produce official voter information as an output record of the process. This record shall include as a minimum, the following information for each registered voter:

- a) First and last name
- b) Birth date
- c) Place of birth
- d) Address
- e) Valid identification
- f) Constituency where voting
- g) Gender

*Additional information can include date of inscription (voter registration) and civil status.*

#### 7.5.6.3 For registration of political organizations and candidates

The electoral process for the registration of political organizations and candidates shall produce an official registration list as an output record of the process. This record shall include:

- a) Articles of incorporation
- b) Declaration of political principles or political platform (or reference thereto);
- c) Statutes, rules or procedures (or reference thereto);
- d) Names of authorities/ representatives;
- e) Address or contact details of persons representing the political organization;
- f) Endorsements (signatures or other evidence established by law)

The minimum record requirements for candidates shall include:

- a) A letter of endorsement document from any relevant political organization (excluding independent candidates) or the official results of a primary election;
- b) Full name
- c) Government issued identity number
- d) Address
- e) Proof of having met specific requirement established by law (for independent candidates)

The electoral body shall further establish requirements for the following:

- The official application form;
- The registration record as needed to address legal requirements for demographic characteristic quotas (i.e. residency, age, gender) and a certification those quotas are being met
- The instrument and supporting documentation to be filed to register a challenge.

#### 7.5.6.4 For electoral logistics

The electoral logistics process shall produce an output record that formally attests to the satisfactory completion of configuration of the voting location. Record shall include as a minimum:

- a) Unique identifier for the polling station
- b) Location of the voting location
- c) List of poll workers assigned to the voting location
- d) Number of registered voters per voting location;

- e) Number of polling stations per voting location;
- f) Reference to the polling station configuration work instructions (7.5.4.4).
- g) An affirmation that the voting location was configured according to the adopted relevant physical layout and logistics procedures.

The process for electoral logistics and planning shall produce a training record that formally attests to the satisfactory completion of poll worker training by all individual workers. This record to include as a minimum, the following:

- Poll worker name
- Reference to the poll-worker training completed
- Date of training
- Affirmation that the training was completed successfully.

*Note: It is a best practice that the electoral body is responsible for printing and distributing ballots.*

#### 7.5.6.5 For vote casting

The vote casting electoral process shall ensure ballot secrecy and shall produce an official record of voting for each voting location as an output record of the process. As a minimum the record should include the following for each voter:

- a) Name
- b) Unique voter identifier
- c) Date that vote was cast
- d) Voter signature or other indication

*Note: Other authentication mechanisms include photographs or biometric data.*

#### 7.5.6.6 Vote Counting and the declaration of results

The electoral process for vote counting, tabulation and the declaration of results shall produce an electoral statement as an output record of the process. This record shall include as a minimum the following information for each polling station and for higher levels of aggregation and tabulation and for each office or ballot proposal being voted upon:

- a) Unique identifier of the polling station
- b) Number of voters who voted
- c) Number of votes accrued by each political organization, candidate or alternative;
- d) Number of valid ballots
- e) Number of rejected ballots
- f) Number of blank ballots
- g) Number of ballots received by the polling station
- h) Affirmation by an authorized election official that the count was conducted according to the electoral body's requirements

*Note: It is a best practice to count unused ballots.*

The electoral process for vote counting and declaration of results shall produce an official declaration of results.

#### 7.5.6.7 Electoral Education

The electoral education electoral profess shall produce all records specified for the profess in the electoral quality documentation.

#### 7.5.6.8 Oversight of campaign financing

This oversight process shall produce all records specified in the campaign financing oversight plan. At a minimum, records of campaign finance audits and their results shall be maintained.

#### 7.5.6.9 Dispute resolution

The dispute resolution electoral process shall produce all records necessary to produce a decision that resolves the dispute. At a minimum these shall include:

- A request for resolution including
  - The date of the dispute
  - The location of the dispute
  - The type of the dispute
  - Interested parties
- The resolution adopted
- The rationale for the decision
- The evidence provided
- Notice of the resolution

### 8.0 Operation Issues

#### 8.1 Operational planning and control

The organization shall ensure that outsourced electoral processes are controlled

The output of this planning shall be a documented electoral service development plan in a form suitable for the electoral body's method of operations

#### 8.2.1 Customer Communication

*Note: Electoral-client feedback can also include recognition and suggestions.*

#### 8.2.2 Review of the requirements for products and services

#### 8.2.3 Review of the requirements for products and services

Records from requirements reviews to include:

- a) Issues addressed during the review
- b) Any decisions taken or actions assigned to ensure that requirements are complete, unambiguous and not in conflict with each other

#### 8.3 Design and development of products and services

##### 8.3.2 Design and Development planning

*Note in figure 3 (provided) that the stages of design and development interact with each other as a subsystem of the overall quality management system. This should use verification of system design and validation of system results.*

The electoral body shall document design and development planning within an electoral service development plan that specifies the following:

- The design and development stages and their required input and output documents;

- The review, verification and validation processes and documentation that are required by each design and development stage;
- The responsibilities and authorities for design and development;
- Necessary design and development resources;
- An activity-based design and development schedule.

#### 8.3.4 Design and Development Controls

Records from design and development reviews shall include:

- Issues identified during verification
- Necessary actions taken to resolve verification issues

#### 8.4.3 Information for external providers

Traceability to include maintaining relevant purchasing information.

### 8.5 Production and service provision

#### 8.5.1 Control of production and service provision

The electoral body shall document the requirements for controls of electoral service provision in an electoral service development plan. Controlled conditions shall further include, as applicable:

- The implementation of electoral-service release, delivery and follow-on activities;
- Monitoring of elections by accredited partisan and non-partisan national and/or international observers or other external invitees;
- Contractually agreed access to all aspects of the electoral process.

#### 8.5.2 Identification and Traceability

Note 1: This includes monitoring of ballots and ballot boxes to ensure their processing and transportation in accordance with electoral requirements

Note 2: This is of particular importance on election day when it needs to be ensured that polling stations are functioning as required.

#### 8.5.3 Property belonging to customers or external providers

The electoral body shall identify, verify, protect and safeguard the personal data provided.

#### 8.5.5 Post-delivery activities

*Note: Post delivery activities can also include follow up contractual activities such as maintenance services for voting equipment and supplementary services, such as the recycling or disposal of expended or unused electoral materials.*

### 8.5.6 Control of Changes

Changes in the provision of the electoral service shall be specified in the documented electoral service development plan.

### 8.7 Control of nonconforming outputs

8.7.3 The electoral body shall ensure that nonconformities concerning the electoral service, voting equipment and electoral materials are identified and controlled to prevent their unintended use or delivery. This includes:

- a) Processes within the electoral service that do not meet requirements;
- b) Voting equipment that does not meet verification criteria;
- c) Electoral materials that do not conform to requirements or acceptance criteria;
- d) Activities associated with the vote-casting electoral processes that do not meet requirements.

*Note 1 – Examples of nonconforming service include failure of a voting location to open or be correctly staffed on an election day.*

*Note 2 – Examples of nonconforming electoral materials include printed materials, such as ballots or election instructions that contain errors or otherwise do not meet acceptance criteria, or ballots that are deemed tainted after being cast.*

*Note 3 – Examples of nonconforming voting equipment are voting machines that are found not to be verified prior to use against performance standards.*

In the electoral service development plan the electoral body shall define the controls and related responsibilities and authorities for dealing with nonconformities concerning the electoral service, voting equipment and electoral materials.

The electoral body shall clearly label non conforming electoral materials or voting equipment and shall invoke physical controls to prevent their use.

*Note 4 – Physical controls can include isolation in a secure area, using built-in access controls, or physically disabling the nonconforming voting equipment (for example, by removing the power cord).*

## 9.0 Performance Evaluation

### 9.1.1 General

The electoral body shall apply suitable methods for monitoring and, where applicable, measurement of the electoral quality management system processes. These methods shall demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, correction and corrective action shall be taken as appropriate.

*Note – When determining suitable methods, it is advisable that the electoral body considers the type and extent of monitoring or measurement appropriate to each of its processes, in relation to their impact on the conformity to electoral service requirements and on the effectiveness of the electoral quality management system.*

### 9.1.2 Customer satisfaction

*Note – Monitoring electoral-client perception can also include obtaining information from voter opinion surveys, voter turnout rates and electoral-client complaints.*

## 9.2 Internal Audit

9.2.3 The electoral body shall conduct further internal audits to determine whether the electoral quality management system conforms to the international legal obligations for democratic elections.

The electoral body shall define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

## 9.3 Management Review

### 9.3.1 General

It is advisable to conduct management reviews with sufficient frequency to ensure adequate oversight of the entire electoral quality management system and all of its electoral processes.

### 9.3.2 Management Review Inputs

*Note 1 – Electoral-client feedback can include electoral complaints, commendations or suggestions.*

*Note 2 – Changes that could affect the electoral management system include changes to the applicable legal framework.*

### 9.3.3 Management review outputs

Records from management reviews shall be maintained and shall be publicly accessible. Records shall include issues addressed during the management review.

## 10.0 Improvement

*(No sector specific guidance was offered in this category)*

### Annex A

*Figures A.1 to A.3 show concept diagrams on which the thematic groupings of Clause 3, 'Terms and Definitions', are based.*

### Annex B – Electoral Processes

#### B.1 Voter registration

The voter registration process formally recognizes the eligibility of individuals to cast a vote. Voter registration is the process by which a person is incorporated into the voter registry. During this process, substantive information is provided to, and verified by, the responsible electoral body. The main activities conducted within the voter registration process are the following:

- a) Receipt and review of voter identification documentation;
- b) Verification of information
- c) Identification and maintenance of electoral boundaries
- d) Update of the registry of voters
- e) Generation of an accessible registry of voters, ensuring scrutiny and verification of voter lists by candidates and the electorate
- f) Submission, receipts and timely resolution of electoral complaints
- g) Preparation of the final registry.

## B.2 Registration of political organizations and candidates

Registration of political organizations and candidates is the process through which a political organization and/or candidate gains legal recognition and is entitled to participate in an electoral process. The main activities conducted by the electoral body for registration of political organizations and candidates include the following:

- a) Receipt and review of documentation of political organizations and candidates;
- b) Verification of documentation against legal requirements and other criteria for registration;
- c) Receipt, review and timely resolution of political organizations and candidates' challenges;
- d) Registration and notification of the political organizations and candidates.

## B.3 Electoral logistics

The electoral logistics process establishes the steps needed to organize and conduct an election. This process is made up of a sequence of activities conducted by the electoral body that include the following:

- a) Printing/ preparation of ballots;
- b) Printing of records (including of electoral materials);
- c) Development, procurement and preparation of electoral materials;
- d) Designation and training of officials (e.g. for local polling stations);
- e) Establishment of polling stations;
- f) Preparation of all necessary voting equipment;
- g) Protection and distribution of electoral materials;
- h) Development and maintenance of electoral maps;
- i) Efficient opening and continuous operation of polling stations on election day;

*Note: Electoral materials and electoral equipment include all of the items necessary to organize and conduct an election.*

## B.4 Vote Casting

Vote casting provides verifiable records of all votes cast by each voter, whether in electronic, paper, or other form during an electoral process. Voting procedures dependent of the legal, regulatory and policy framework. All persons eligible and registered to vote have the right to vote, irrespective of their geographic location, gender, class, literacy level, occupation, race, property ownership, sexual orientation, physical condition and other factors outlined in the Universal Declaration of Human Rights, and the International Covenant on Civil and Political Rights. The main activities conducted by the electoral body within the vote casting process are the following:

- a) Opening of the polling station;
- b) Verification of voter identification and provision of ballots to the voters;
- c) Protection of secrecy of the vote and integrity of the ballot box
- d) Ensuring access to accredited observers and eligible proxies of candidates to observe the vote casting process;
- e) Organization of special voting procedures;
- f) Gathering and documenting complaints or objections relating to the vote casting process.

## B.5 Vote Counting and declaration of results

The law establishes the way each country counts the votes. Every vote-counting process should consist of several steps, including the following:

- a) Determining the total of number of voters who voted according to the voter list;
- b) Opening the ballot box in clear view of all those present;
- c) Verification and reconciliation of the ballots, sorting the ballots into groups representing the different political choices;
- d) Counting the ballots in clear view of all those present;
- e) Setting aside challenged ballots, determining the acceptance or rejection of challenged ballots according to rules established in advance of election day, and recording the number of spoiled ballots;
- f) Completion of the results sheets or statements of votes;
- g) Tabulation of results and announcement of results as soon as they become available.

Vote counting may be manual, mechanical or electronic. As permitted by the applicable legal framework, at the end of the vote counting process each polling station or other counting facility should be able to determine the following:

- The number of voters that voted
- The number of rejected and/or spoiled ballots;
- The number of valid ballots;
- The number of votes for each political organization, candidate or ballot proposal;
- The number of challenged ballots;
- The number of unused or leftover ballots.

The electoral body or a specific authority as specified in the applicable legal framework are the only institutions that have the authority to announce the official election results. The legal framework of the country determines how preliminary election result, exit polls or other unofficial results are handled.

*Note: Opening the ballot box includes accessing secure electronic media in those instances when votes have been cast electronically.*

## B.6 Electoral Education

The electoral body conducts electoral education. The main objective of electoral education is to foster awareness of the voter, political organization and candidate registration processes and procedures, provide information about candidates/political organizations, and to enable voters to participate in the election.

## B.7 Oversight of campaign financing

This process analyses *{sic}* the mechanisms that regulate the legal framework and its enforcement mechanisms for campaign financing within an electoral process. The main activities for the oversight of campaign financing are oriented to the verification of eligibility to receive financing, monitoring of public and private sources of funding, monitoring of expenditure and access to the media.

The oversight of campaign finance has the objective of:

- a) Deterring corruption, undue influence of special interests, misuse of state resources, vote buying and other forms of electoral fraud;
- b) Promoting accountability, transparency and fairness in the access to financial resources available to candidates and political organizations;
- c) Promoting fair competition between political organizations and candidates;
- d) Limiting overall spending on election campaigns and political activities;
- e) Encouraging transparency and public access to information about campaign financing by setting public financial reporting requirements;
- f) Promoting equal access for candidates to use the media for campaign purposes.

#### B.8 Resolution of electoral disputes

Resolution of electoral disputes is the mechanism by which the electoral body generates an issue or receives an electoral complaint, prepares the necessary documentation, provides a timely resolution of the issue and transparently communicates the rationale and decision for all disputes arising in the electoral process. The main activities for the resolution of electoral disputes process are the following:

- a) The receipt and review of documentation;
- b) Ensuring compliance with all procedures required by law, both before and after the resolution;
- c) Coordination and cooperation with judicial bodies responsible for dispute resolution;
- d) Adoption and implementation of the resolution.