
**Quality management systems —
Particular requirements for the
application of ISO 9001:2008 for
electoral organizations at all levels of
government**

*Systèmes de management de la qualité — Exigences particulières
pour l'application de l'ISO 9001:2008 aux organismes électoraux à
tous les niveaux du gouvernement*

STANDARDSISO.COM : Click to view the PDF of ISO/TS 17582:2014



STANDARDSISO.COM : Click to view the full PDF of ISO/TS 17582:2014



COPYRIGHT PROTECTED DOCUMENT

© ISO 2014

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Published in Switzerland

Contents

Page

Foreword	iv
Introduction	v
1 Scope	1
1.1 General.....	1
1.2 Application.....	2
2 Normative references	2
3 Terms and definitions	3
3.1 Terms related to electoral quality management system.....	3
3.2 Terms related to electoral infrastructure and logistics.....	4
3.3 Terms related to voting.....	5
4 Quality management system	6
4.1 General requirements.....	6
4.2 Documentation requirements.....	7
5 Management responsibility	14
5.1 Management commitment.....	14
5.2 Client focus.....	15
5.3 Quality policy.....	15
5.4 Planning.....	15
5.5 Responsibility, authority and communication.....	16
5.6 Management review.....	17
6 Resource management	18
6.1 Provision of resources.....	18
6.2 Human resources.....	18
6.3 Infrastructure.....	19
6.4 Work environment.....	20
7 Product realization	21
7.1 Planning of product realization.....	21
7.2 Customer-related processes.....	22
7.3 Design and development.....	23
7.4 Purchasing.....	26
7.5 Production and service provision.....	27
7.6 Control of monitoring and measuring equipment.....	29
8 Measurement, analysis and improvement	30
8.1 General.....	30
8.2 Monitoring and measurement.....	30
8.3 Control of nonconforming product.....	32
8.4 Analysis of data.....	33
8.5 Improvement.....	33
Annex A (informative) Concept diagrams	35
Annex B (informative) Electoral processes	39
Bibliography	43

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is Technical Committee ISO/TC 176, *Quality management and quality assurance*.

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 17582:2014

Introduction

0.1 General

Conduct of periodic, free and fair elections by secret ballot is the fundamental distinctive characteristic of a democratic political system. As such, the sustainability of the democratic political system is reliant on effectively defined, implemented and controlled electoral services. The ultimate goal is to elect those who will hold public office and to decide ballot proposals that affect the populace.

Vote casting is an expression of the fundamental political right to participate in public affairs guaranteed by human rights instruments such as the Universal Declaration of Human Rights. This process is based on the principle of one-person one-vote, without restrictions based on race, gender, religion, and social status. The registration and identification of eligible voters and the registration of political organizations and candidates are essential to the electoral process.

Every electoral system has its own set of regulations, which vary between countries according to their individual culture and tradition, and even within states where federal systems exist. The electoral process is composed of a series of interrelated processes, conducted by the electoral bodies, political organizations and the citizenship. These essential elements include determining who is eligible to vote, registration of political organizations and candidates, electoral logistics, casting, counting and accurate recording of votes, declaration of results, electoral education, oversight of campaign financing and resolution of electoral disputes.

Electoral bodies are institutions that have responsibility for the administration of the electoral process, including the preparation, organization, management, monitoring and promotion of the election, the casting of the votes and counting of the ballots, the resolution of electoral disputes or the official declaration of the election results.

The full and transparent implementation of each process constitutes the basis for the electoral body to achieve legitimacy.

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 17582:2014

In this Technical Specification, the text reproduced from ISO 9001:2008 is placed in boxes, in order to distinguish it from the sector-specific guidance given for each clause.

ISO 9001:2008, Quality management systems — Requirements

Introduction

0.1 General

The adoption of a quality management system should be a strategic decision of an organization. The design and implementation of an organization's quality management system is influenced by

- a) its organizational environment, changes in that environment, and the risks associated with that environment,
- b) its varying needs,
- c) its particular objectives,
- d) the products it provides,
- e) the processes it employs,
- f) its size and organizational structure.

It is not the intent of this International Standard to imply uniformity in the structure of quality management systems or uniformity of documentation.

The quality management system requirements specified in this International Standard are complementary to requirements for products. Information marked "NOTE" is for guidance in understanding or clarifying the associated requirement.

This International Standard can be used by internal and external parties, including certification bodies, to assess the organization's ability to meet customer, statutory and regulatory requirements applicable to the product, and the organization's own requirements.

The quality management principles stated in ISO 9000 and ISO 9004 have been taken into consideration during the development of this International Standard.

The design and implementation of an electoral body's quality management system is influenced by its obligations under the applicable legal framework as determined by international law, national constitutions and national law.

The electoral quality management system requirements specified in this Technical Specification are complementary to requirements for the electoral service provided by the applicable legal framework and the electoral body.

0.2 Process approach

ISO 9001:2008, Quality management systems — Requirements

Introduction

0.2 Process approach

This International Standard promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a quality management system, to enhance customer satisfaction by meeting customer requirements.

For an organization to function effectively, it has to determine and manage numerous linked activities. An activity or set of activities using resources, and managed in order to enable the transformation of inputs into outputs, can be considered as a process. Often the output from one process directly forms the input to the next.

The application of a system of processes within an organization, together with the identification and interactions of these processes, and their management to produce the desired outcome, can be referred to as the “process approach”.

An advantage of the process approach is the ongoing control that it provides over the linkage between the individual processes within the system of processes, as well as over their combination and interaction.

When used within a quality management system, such an approach emphasizes the importance of

- a) understanding and meeting requirements,
- b) the need to consider processes in terms of added value,
- c) obtaining results of process performance and effectiveness, and
- d) continual improvement of processes based on objective measurement.

The model of a process-based quality management system shown in Figure 1 illustrates the process linkages presented in Clauses 4 to 8. This illustration shows that customers play a significant role in defining requirements as inputs. Monitoring of customer satisfaction requires the evaluation of information relating to customer perception as to whether the organization has met the customer requirements. The model shown in Figure 1 covers all the requirements of this International Standard, but does not show processes at a detailed level.

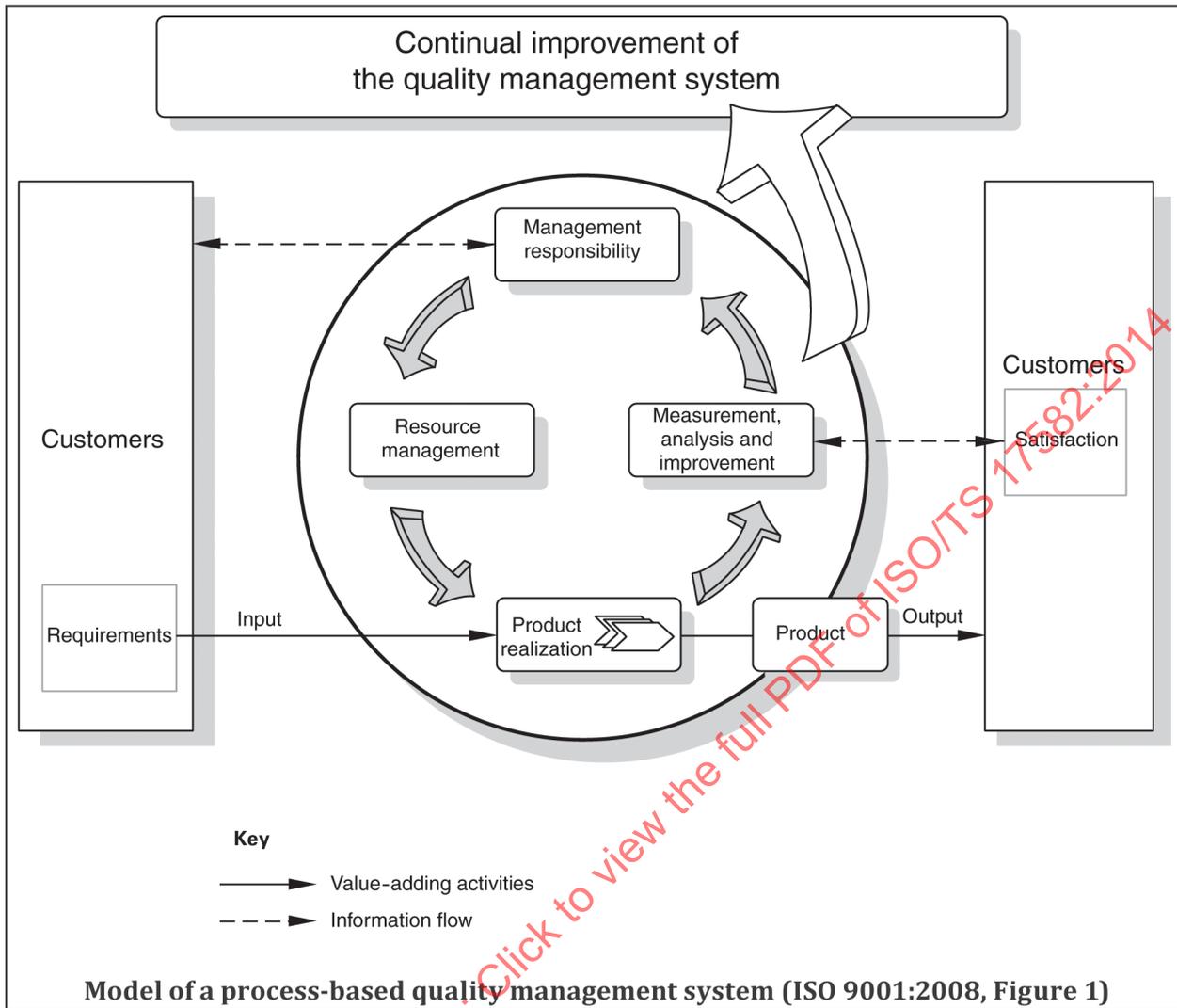
NOTE In addition, the methodology known as “Plan-Do-Check-Act” (PDCA) can be applied to all processes. PDCA can be briefly described as follows:

Plan: establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization’s policies.

Do: implement the processes.

Check: monitor and measure processes and product against policies, objectives and requirements for the product and report the results.

Act: take actions to continually improve process performance.



Elections can only occur when citizens exercise their right to vote. Voter registration is a condition for the establishment of the electoral process. Identification of eligibility and registration of eligible voters are essential to the electoral process.

By registering to contest elections, political organizations and candidates legally formalize their participation in the electoral process. This may entitle them to receive public funding for their campaign in accordance with the applicable legal framework as well as the establishment of clear and unambiguous criteria to determine who is eligible to vote.

The electoral bodies must plan the election day logistics well in advance of the electoral event. Key factors in logistics are the efficient distribution of electoral materials, establishment of voting stations and provision of voting equipment.

Vote casting and vote counting go hand in hand. Counting votes is a task of paramount importance, since the results of the process reflect the will of the electorate. When done in a transparent and accurate manner it increases confidence in elections and acceptance of the final results.

It is essential that voters are aware of the different stages of the electoral process. Electoral education is a continual process that spans the entire electoral process. Processes are established to ensure that information relating to candidates, ballot proposals and voting locations is available to voters prior to the election.

The declaration of results is the legally binding conclusion of the process by which the electoral body proclaims the results of the election. Additionally, there should be fair and timely resolution and communication of electoral complaints and appeals.

The full and transparent implementation of each electoral process constitutes the basis for the electoral body to achieve legitimacy. Collectively, these processes constitute an electoral event and occur in three stages: before, during and after the election.

0.3 Relationship with ISO 9004

ISO 9001:2008, Quality management systems — Requirements

Introduction

0.3 Relationship with ISO 9004

ISO 9001 and ISO 9004 are quality management system standards which have been designed to complement each other, but can also be used independently.

ISO 9001 specifies requirements for a quality management system that can be used for internal application by organizations, or for certification, or for contractual purposes. It focuses on the effectiveness of the quality management system in meeting customer requirements.

At the time of publication of this International Standard, ISO 9004 is under revision. The revised edition of ISO 9004 will provide guidance to management for achieving sustained success for any organization in a complex, demanding, and ever changing, environment. ISO 9004 provides a wider focus on quality management than ISO 9001; it addresses the needs and expectations of all interested parties and their satisfaction, by the systematic and continual improvement of the organization's performance. However, it is not intended for certification, regulatory or contractual use.

NOTE Since the publication of ISO 9001:2008, and at the time of publication of this Technical Specification, the revision of ISO 9004 has been completed and ISO 9004:2009 has been published.

There is no sector-specific guidance.

0.4 Compatibility with other management systems

ISO 9001:2008, Quality management systems — Requirements

Introduction

0.4 Compatibility with other management systems

During the development of this International Standard, due consideration was given to the provisions of ISO 14001:2004 to enhance the compatibility of the two standards for the benefit of the user community.

Annex A shows the correspondence between ISO 9001:2008 and ISO 14001:2004.

This International Standard does not include requirements specific to other management systems, such as those particular to environmental management, occupational health and safety management, financial management or risk management. However, this International Standard enables an organization to align or integrate its own quality management system with related management system requirements. It is possible for an organization to adapt its existing management system(s) in order to establish a quality management system that complies with the requirements of this International Standard.

There is no sector-specific guidance.

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 17582:2014

Quality management systems — Particular requirements for the application of ISO 9001:2008 for electoral organizations at all levels of government

1 Scope

1.1 General

ISO 9001:2008, Quality management systems — Requirements

1 Scope

1.1 General

This International Standard specifies requirements for a quality management system where an organization

a) needs to demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and

b) aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

NOTE 1 In this International Standard, the term “product” only applies to

a) product intended for, or required by, a customer,

b) any intended output resulting from the product realization processes.

NOTE 2 Statutory and regulatory requirements can be expressed as legal requirements.

This Technical Specification specifies requirements for a quality management system where an electoral organization

a) needs to demonstrate its ability to manage elections by secret ballot, which provide reliable, transparent, free and fair results that comply with electoral requirements;

b) within the established legal framework, aims to enhance the trust and confidence of citizens, candidates, political organizations, and other electoral interested parties through the effective implementation of the electoral quality management system, including processes for continual improvement.

NOTE 1 Electoral bodies can be constituted to reflect local legal requirements.

NOTE 2 In this Technical Specification the term “product” only applies to the electoral service provided by an electoral body.

1.2 Application

ISO 9001:2008, Quality management systems — Requirements

1 Scope

1.2 Application

All requirements of this International Standard are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.

Where any requirement(s) of this International Standard cannot be applied due to the nature of an organization and its product, this can be considered for exclusion.

Where exclusions are made, claims of conformity to this International Standard are not acceptable unless these exclusions are limited to requirements within Clause 7, and such exclusions do not affect the organization's ability, or responsibility, to provide product that meets customer and applicable statutory and regulatory requirements.

This Technical Specification applies to the election period, including pre-election and post-election activities or processes.

This Technical Specification applies to all electoral bodies involved in any aspect of the electoral process, whether they are permanent organizations or temporary organizations established in support of a particular election period.

This Technical Specification is applicable to elections at all levels of government, whether local, regional or national. Where exclusions are made outside of [Clause 7](#), claims of conformity to this Technical Specification are not acceptable unless these exclusions resolve conflicts with the applicable legal framework and do not contravene the Universal Declaration of Human Rights or the International Covenant on Civil and Political Rights.

Subject to the stated scope of the electoral quality management system [see [4.2.2](#)], the requirements of this Technical Specification apply to the electoral body's implementation of the following electoral processes, as specified in [Annex B](#):

- a) voter registration;
- b) registration of political organizations and candidates;
- c) electoral logistics;
- d) vote casting;
- e) vote counting and declaration of results;
- f) electoral education;
- g) oversight of campaign financing;
- h) resolution of electoral disputes.

2 Normative references

ISO 9001:2008, Quality management systems — Requirements

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000:2005, *Quality management systems — Fundamentals and vocabulary*

There is no sector-specific guidance.

3 Terms and definitions

ISO 9001:2008, Quality management systems — Requirements

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000 apply.

Throughout the text of this International Standard, wherever the term “product” occurs, it can also mean “service”.

For the purposes of this document, the terms and definitions given in ISO 9000 and the following apply.

3.1 Terms related to electoral quality management system

3.1.1

electoral body

public institution having legal and administrative responsibility for the preparation and conduct of *elections* (3.2.7) according to the legal framework of the country

Note 1 to entry: The responsibility involves all aspects of conducting an *election* (3.2.7) and includes related activities such as referenda, citizen initiatives or revocation of the mandate and balloting.

3.1.2

outsourced electoral process

process that the *electoral body* (3.1.1) needs for its *electoral quality management system* (3.1.6) and that the electoral body chooses to have performed by an external party

3.1.3

ballot proposal

legislation proposal or policy question submitted for vote by the *electorate* (3.2.8)

Note 1 to entry: There are several types of ballot proposal. These differ based on who is motivating the ballot proposal, whether it is a citizen or the legislature, and the people who are to form the electorate for the ballot proposal.

Note 2 to entry: Proposals concerning the election of *candidates* (3.2.1) for public office are generally not considered to be ballot proposals.

3.1.4

electoral service development plan

specification of the requirements to be met by an *electoral body* (3.1.1) in the delivery of its *electoral service* (3.1.5) in documented form

3.1.5

electoral service

legal and administrative practices and processes performed by the *electoral body* (3.1.1)

Note 1 to entry: The electoral service is required to fulfil the electoral body's responsibilities to the electorate and other *electoral clients* (3.1.11) in compliance with the legal framework.

3.1.6

electoral quality management system

quality management system for *electoral bodies* (3.1.1)

3.1.7

electoral quality manual

document specifying the *electoral quality management system* (3.1.6) for an *electoral body* (3.1.1)

3.1.8

resolution of electoral disputes

process by which the *electoral body* (3.1.1) resolves disputes arising out of the electoral process

**3.1.9
challenge**

action that questions an aspect of, or the entirety of, the *electoral service* (3.1.5)

Note 1 to entry: The distinction between a challenge and an *electoral complaint* (3.1.10) is that an electoral complaint is formally lodged with the competent electoral authority. Disputes include both challenges and electoral complaints.

**3.1.10
electoral complaint**

formal *challenge* (3.1.9) expressing dissatisfaction

**3.1.11
electoral client**

person or organization that receives an *electoral service* (3.1.5)

Note 1 to entry: Electoral clients include voters, *political organizations* (3.2.2), *candidates* (3.2.1) and other people or organizations that receive electoral services from the *electoral body* (3.1.1) according to the applicable legal framework

3.2 Terms related to electoral infrastructure and logistics

**3.2.1
candidate**

person who competes for public office in an *election* (3.2.7)

**3.2.2
political organization**

organization with similar political aims and opinions that seeks to influence public policy by getting its candidates elected to public office

**3.2.3
registration of political organizations or candidates**

process of registering the entitlement of *political organizations* (3.2.2) or *candidates* (3.2.1) to participate in *elections* (3.2.7)

**3.2.4
electoral logistics**

process that establishes the steps needed to organize and conduct an *election* (3.2.7)

**3.2.5
campaign financing oversight plan**

document specifying the activities, responsibilities and resources for monitoring the finances of political campaigns

**3.2.6
oversight of campaign financing**

process for evaluating the mechanisms that regulate the legal framework and its enforcement mechanisms for resources made available to *candidates* (3.2.1) or *political organizations* (3.2.2) within an electoral process

**3.2.7
election**

occasion providing the means for an *electorate* (3.2.8) to communicate a choice by casting a vote

Note 1 to entry: The choice is generally made between contesting *candidates* (3.2.1) or *political organizations* (3.2.2), or may be between *ballot proposals* (3.1.3)

**3.2.8
electorate**

group of people in a country or other designated area who have the right to vote

3.2.9**voting equipment**

object, device or implement for capturing the votes of the electorate

3.2.10**electoral education**

process of informing people of the electoral system and electoral processes

Note 1 to entry: Electoral education includes informing people of their democratic rights, eligibility to vote, election procedures, such as dates, times and places of voting, registration of *political organizations* (3.2.2) and *candidates*' (3.2.1) requirements, and voting mechanisms and other issues within the electoral process.

3.2.11**voter registry**

database of voters

3.2.12**voter list**

part of *voter registry* (3.2.11) used by poll workers at each voting location

3.3 Terms related to voting**3.3.1****voting location**

venue containing one or more *polling stations* (3.3.2)

3.3.2**polling station**

place where a voter can cast a vote in secret

3.3.3**vote casting**

act through which a voter expresses a preference for a *candidate* (3.2.1) that runs for public office or for a *ballot proposal* (3.1.3)

Note 1 to entry: Casting of the vote should be universal, secret and personal.

3.3.4**voting incident**

event which is not part of the standard operation of the voting process and which causes, or may cause, disruption to or a reduction in the quality of the voting process

3.3.5**vote counting**

process of taking account of votes cast by the electorate in order to determine the final results of an electoral process

3.3.6**preliminary election results**

uncertified information provided by the *electoral body* (3.1.1), or any other lawfully designated body, regarding the outcome of the *election* (3.2.7), after the polls have closed but before the final results are declared

3.3.7**declaration of results**

process of officially announcing the results of *vote counting* (3.3.5) to convey the validity of the *election* (3.2.7)

3.3.8

official election results

final declaration of the outcome of an *election* (3.2.7), certified and issued by an *electoral body* (3.1.1), or any other lawfully designated body

4 Quality management system

4.1 General requirements

ISO 9001:2008, Quality management systems — Requirements

4 Quality management system

4.1 General requirements

The organization shall establish, document, implement and maintain a quality management system and continually improve its effectiveness in accordance with the requirements of this International Standard.

The organization shall

- a) determine the processes needed for quality management system and their application throughout the organization (see 1.2),
- b) determine the sequence and interaction of these processes,
- c) determine criteria and methods needed to ensure that both the operation and control of these processes are effective,
- d) ensure the availability of resources and information necessary to support the operation and monitoring of these processes,
- e) monitor, measure where applicable, and analyse these processes, and
- f) implement actions necessary to achieve planned results and continual improvement of these processes.

These processes shall be managed by the organization in accordance with the requirements of this International Standard.

Where an organization chooses to outsource any process that affects product conformity to requirements, the organization shall ensure control over such processes. The type and extent of control to be applied to these outsourced processes shall be identified within the quality management system.

NOTE 1 Processes needed for the quality management system referred to above include processes for management activities, provision of resources, product realization, measurement, analysis and improvement.

NOTE 2 An “outsourced process” is a process that the organization needs for its quality management system and which the organization chooses to have performed by an external party.

NOTE 3 Ensuring control over outsourced processes does not absolve the organization of the responsibility of conformity to all customer, statutory and regulatory requirements. The type and extent of control to be applied to the outsourced process may be influenced by factors such as

- a) the potential impact of the outsourced process on the organization’s capability to provide product that conforms to requirements,
- b) the degree to which the control for the process is shared,
- c) the capability of achieving the necessary control through the application of 7.4.

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.

The electoral body shall determine the boundaries and applicability of the electoral quality management system to establish its scope (see [Clause 1](#)).

Processes needed for the electoral quality management system referred to above shall include processes for management activities, provision of resources, execution, measurement, analysis and improvement.

The electoral body shall manage these processes in accordance with the requirements of this Technical Specification.

4.2 Documentation requirements

4.2.1 General

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>4 Quality management system</p> <p>4.2 Documentation requirements</p> <p>4.2.1 General</p> <p>The quality management system documentation shall include</p> <p>a) documented statements of a quality policy and quality objectives,</p> <p>b) a quality manual,</p> <p>c) documented procedures and records required by this International Standard, and</p> <p>d) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of its processes.</p> <p>NOTE 1 Where the term “documented procedures” appears within this International Standard, this means that the procedure is established, documented, implemented and maintained. A single document may address the requirements for one or more procedures. A requirement for a documented procedure may be covered by more than one document.</p> <p>NOTE 2 The extent of the quality management system documentation can differ from one organization to another due to</p> <p>a) the size of organization and type of activities,</p> <p>b) the complexity of processes and their interactions, and</p> <p>c) the competence of personnel.</p> <p>NOTE 3 The documentation can be in any form or type of medium.</p>
--

NOTE The extent of the electoral quality management system documentation can differ from one electoral body to another due to the scope of the electoral quality management system.

4.2.2 Quality manual

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>4 Quality management system</p> <p>4.2 Documentations requirements</p> <p>4.2.2 Quality manual</p> <p>The organization shall establish and maintain a quality manual that includes</p> <p>a) the scope of the quality management system, including details of and justification for any exclusions (see 1.2),</p> <p>b) the documented procedures established for the quality management system, or reference to them, and</p> <p>c) a description of the interaction between the processes of the quality management system.</p>
--

The electoral body shall establish and maintain an electoral quality manual that includes

- a) an explicit statement of the scope of the electoral quality management system including a declaration identifying the electoral processes (see 1.2) that are in scope for the implementation of this Technical Specification, and

- b) a specification for an electoral service development plan to control design, development, and delivery of the electoral service, or reference to it.

4.2.3 Control of documents

ISO 9001:2008, Quality management systems — Requirements

4 Quality management system

4.2 Documentation requirements

4.2.3 Control of documents

Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4.

A documented procedure shall be established to define the controls needed

- a) to approve documents for adequacy prior to issue,
- b) to review and update as necessary and re-approve documents,
- c) to ensure that changes and the current revision status of documents are identified,
- d) to ensure that relevant versions of applicable documents are available at points of use,
- e) to ensure that documents remain legible and readily identifiable,
- f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and
- g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

4.2.3.1 General

Documented information required by the electoral quality management system and by this Technical Specification shall be controlled to ensure:

- a) it is available and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

For the control of documented information, the electoral body shall address the following activities:

- distribution, access, retrieval and use;
- storage and preservation of legibility;
- control of changes (e.g. version control);
- retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the electoral quality management system shall be identified as appropriate, and controlled.

NOTE 1 Access implies a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

NOTE 2 Access to electoral records by political organizations and election observers can be required by law as a means of ensuring transparency of the electoral process.

4.2.3.2 Minimum documentation requirements

4.2.3.2.1 General

In addition to document-specific content, documents identified in the electoral quality manual shall

- a) display a unique identifier and revision number,
- b) include a title,
- c) be identified with the date of issue,
- d) be affixed with an approval signature or equivalent authentication, and
- e) be subject to controls to prevent their unintended use, when rendered obsolete or superseded, and have a suitable identification applied to them if they are retained for any purpose.

The electoral quality manual shall specify the level of approval required for each identified document.

4.2.3.2.2 Minimum documentation requirements for voter registration

The electoral body shall establish and maintain a document that specifies, in addition to requirements of [4.2.3.2.1](#),

- a) the minimum requirements to be met for an individual to register or be registered to vote, and
- b) the means of identification (including documentation as necessary) to be followed when registering individuals to vote or updating registration information.

4.2.3.2.3 Minimum documentation requirements for registration of political organizations and candidates

The electoral body shall establish and maintain a document that specifies, in addition to requirements of [4.2.3.2.1](#), the requirements to be met for political organizations and candidates to register with the electoral body. At a minimum, this document shall specify the requirements for the following:

- a) the official application form,
- b) the registration record (see [4.2.4.2.3](#)),
- c) the instrument and supporting documentation to be filed to register a challenge, and
- d) the circumstances under which a party may be de-registered.

4.2.3.2.4 Minimum documentation requirements for electoral logistics

The electoral body shall establish and maintain a document that specifies, in addition to requirements of [4.2.3.2.1](#), the work instructions for provisioning, staffing, and setting up the voting location, including the following:

- a) configuring the voting location,
- b) procurement guidelines for the transparent purchasing of electoral materials,
- c) securing electoral materials prior to opening the voting location, during, and after the vote,
- d) installing and testing voting equipment,
- e) creating and updating electoral maps, and
- f) identifying, selecting and training election officials.

NOTE Where appropriate, the organization can utilize installation instructions from equipment manufacturers, provided they are controlled in accordance with [4.2.3.1](#).

The electoral body shall establish and maintain training materials for poll workers.

4.2.3.2.5 Minimum documentation requirements for vote casting

The electoral body shall establish and maintain a document that specifies, in addition to requirements of [4.2.3.2.1](#), work instructions for

- a) confirming voter registration prior to voting,
- b) monitoring the voting location during the voting period, and
- c) recording voting incidents.

4.2.3.2.6 Minimum documentation requirements for vote counting and declaration of results

The electoral body shall establish and maintain a document that specifies, in addition to requirements of [4.2.3.2.1](#), work instructions and criteria for ensuring the integrity of the count, including

- a) statement and public posting of election results,
- b) statement of observed proceedings-electoral disputes (challenge documents), and
- c) official declaration of the election results.

4.2.3.2.7 Minimum documentation requirements for electoral education

The electoral body shall establish and maintain documents that specify, in addition to requirements of [4.2.3.2.1](#),

- a) a citizen electoral education plan that documents the purpose, strategy, audience, approach, resourcing, responsibilities and schedule for the electoral education program, and
- b) any procedures or work instructions needed to implement the citizen electoral education plan.

4.2.3.2.8 Minimum documentation requirements for oversight of campaign financing

The electoral body shall establish and maintain a documented plan for oversight of campaign financing to define, in addition to requirements of [4.2.3.2.1](#), the responsibilities and requirements for planning and conducting oversight of campaign financing, establishing records and reporting results.

NOTE Issues to be addressed in the campaign financing oversight plan include requirements for funding calculations based upon results of previous elections, or other relevant criteria and requirements for publicly available financial reports of political organizations.

4.2.3.2.9 Minimum documentation requirements for dispute resolution

The electoral body shall establish and maintain documents specifying, in addition to requirements of [4.2.3.2.1](#), the working procedures and instructions needed for electoral dispute resolution. Working procedures shall describe the dispute application process and shall include date of dispute, location of dispute, type of dispute, and interested parties.

NOTE 1 Type of dispute can refer to a candidate, electoral results, political organization or voters.

NOTE 2 Dispute resolution documentation can include documents that outline the timeline for the resolution of disputes, regulations regarding *locus standi* for disputes, the evidentiary standards for disputes, and who rules for cost responsibilities for disputes.

NOTE 3 ISO 10003 provides guidance for dispute resolution.

4.2.4 Control of records

ISO 9001:2008, Quality management systems — Requirements

4 Quality management system

4.2 Documentation requirements

4.2.4 Control of records

Records established to provide evidence of conformity to requirements and of the effective operation of the quality management system shall be controlled.

The organization shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention and disposition of records.

Records shall remain legible, readily identifiable and retrievable.

4.2.4.1 General

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

4.2.4.2 Minimum records requirements

4.2.4.2.1 General

In addition to record-specific content, all records identified in the electoral quality manual shall display

- a) a unique identifier,
- b) a date of execution, and
- c) a signature or equivalent authentication from the entity that executed the record.

4.2.4.2.2 Minimum records requirements 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. In addition to the requirements of [4.2.4.2.1](#), this record shall include, at 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, and
- g) gender.

NOTE Additional information can include date of inscription and civil status.

4.2.4.2.3 Minimum records requirements for registration of political organizations and candidates

The electoral process for registration of political organizations and candidates shall produce an official registration list as an output record of the process. In addition to the requirements of [4.2.4.2.1](#), for each registered political organization, this record shall include, at a minimum, the following information:

- a) articles of incorporation (or reference thereto),

- 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, and
- f) endorsements (signatures or other as established by law).

In addition to the requirements of [4.2.4.2.1](#), for each registered candidate, this record shall include, at a minimum, the following information:

- a letter or endorsement document from political organizations (except for independent candidates) or the official results of a primary election,
- full name,
- government-issued identity number,
- address, and
- proof of having met specific requirements established by law (for independent candidates).

The electoral body shall further establish requirements for the following:

- a) the official application form;
- b) the registration record, including:
 - 1) an explicit statement indicating whether there are legal requirements for gender-specific quotas for candidate registration;
 - 2) a declaration of the percentage of male and female candidates actually registered, if such legal requirements exist; and
 - 3) a certification that the actual registration percentages meet the above-cited legal requirements, if such requirements exist;
- c) the instrument and supporting documentation to be filed to register a challenge.

4.2.4.2.4 Minimum records requirements 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. In addition to the requirements of [4.2.4.2.1](#), this record shall include, at a minimum, the following information:

- 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 configuration work instruction(s) [see [4.2.3.2.4](#), bullet a)], and
- g) an affirmation that the voting location was configured according to the referenced work instruction(s) including criteria to ensure that the voting location and polling stations are of adequate size and resources to facilitate voting.

The process for electoral logistics and planning shall produce a training record that formally attests to the satisfactory completion of poll worker training (see 4.2.3.2.4) for each poll worker. In addition to the requirements of 4.2.4.2.1, this record shall include, at a minimum, the following information:

- poll-worker name,
- reference to the poll-worker training curriculum,
- reference to the poll-worker training completed,
- date of training, and
- an affirmation that the training was completed successfully.

NOTE It is best practice to ensure that the electoral body is responsible for printing and distributing ballots.

4.2.4.2.5 Minimum records requirements for vote casting

The vote casting electoral process shall ensure ballot secrecy and produce an official record of voting for each voting location as an output record of the process. In addition to the requirements of 4.2.4.2.1, this record shall include, at a minimum, the following information for each voter:

- a) name,
- b) unique voter identifier,
- c) date that vote was cast, and
- d) voter signature or other indication.

NOTE Examples of other authentication mechanisms include photographs or biometric data.

4.2.4.2.6 Minimum records requirements for vote counting and declaration of results

The electoral process for vote counting, tabulation, and declaration of results shall produce an electoral statement as an output record of the process. In addition to the requirements of 4.2.4.2.1, this record shall include, at 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, and
- h) affirmation by an authorized election official that the count was conducted according to the electoral body's requirements.

NOTE It is best practice to count unused ballots.

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

4.2.4.2.7 Minimum records requirements for electoral education

The electoral education electoral process shall produce all records specified for the process in the electoral quality manual (see [4.2.4.2.1](#)).

4.2.4.2.8 Minimum records requirements for oversight of campaign financing

The electoral process for oversight of campaign financing shall produce all records specified in the campaign financing oversight plan (see [4.2.3.2.8](#)). At a minimum, records of campaign finance audits and their results shall be maintained (see [4.2.4.2.1](#)).

4.2.4.2.9 Minimum records requirements for dispute resolution

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

- a) a request for resolution, including:
 - date of dispute;
 - location of dispute;
 - type of dispute;
 - interested parties,
- b) the resolution adopted,
- c) the rationale for the decision,
- d) the evidence provided, and
- e) notice of resolution.

5 Management responsibility

5.1 Management commitment

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.1 Management commitment

Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by

- a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements,
- b) establishing the quality policy,
- c) ensuring that quality objectives are established,
- d) conducting management reviews, and
- e) ensuring the availability of resources.

There is no sector-specific guidance.

5.2 Client focus

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.2 Customer focus

Top management shall ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 7.2.1 and 8.2.1).

NOTE In addition to voters, candidates and political organizations, the electoral body can identify other entities as electoral clients.

5.3 Quality policy

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.3 Quality policy

Top management shall ensure that the quality policy

- a) is appropriate to the purpose of the organization,
- b) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system,
- c) provides a framework for establishing and reviewing quality objectives,
- d) is communicated and understood within the organization, and
- e) is reviewed for continuing suitability.

The electoral quality policy shall:

- a) be available as documented information;
- b) be available to interested parties, as appropriate.

5.4 Planning

5.4.1 Quality objectives

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.4 Planning

5.4.1 Quality objectives

Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1 a)], are established at relevant functions and levels within the organization. The quality objectives shall be measurable and consistent with the quality policy.

There is no sector-specific guidance.

5.4.2 Quality management system planning

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.4 Planning

5.4.2 Quality management system planning

Top management shall ensure that

- a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives, and
- b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

Top management shall ensure that

- a) the planning of the electoral quality management system includes planning for all electoral processes (see 1.2), and
- b) all planning and processes protect the fundamental rights of electoral clients.

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.5 Responsibility, authority and communication

5.5.1 Responsibility and authority

Top management shall ensure that responsibilities and authorities are defined and communicated within the organization.

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.

5.5.2 Management representative

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.5 Responsibility, authority and communication

5.5.2 Management representative

Top management shall appoint a member of the organization's management who, irrespective of other responsibilities, shall have responsibility and authority that includes

- a) ensuring that processes needed for the quality management system are established, implemented and maintained,
- b) reporting to top management on the performance of the quality management system and any need for improvement, and
- c) ensuring the promotion of awareness of customer requirements throughout the organization.

NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.

There is no sector-specific guidance.

5.5.3 Internal communication

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.5 Responsibility, authority and communication

5.5.3 Internal communication

Top management shall ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system.

There is no sector-specific guidance.

5.6 Management review

5.6.1 General

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.6 Management review

5.6.1 General

Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.

Records from management reviews shall be maintained (see 4.2.4).

NOTE 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.

5.6.2 Review input

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.6 Management review

5.6.2 Review input

The input to management review shall include information on

- a) results of audits,
- b) customer feedback,
- c) process performance and product conformity,
- d) status of preventive and corrective actions,
- e) follow-up actions from previous management reviews,
- f) changes that could affect the quality management system, and
- g) recommendations for improvement.

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.

5.6.3 Review output

ISO 9001:2008, Quality management systems — Requirements

5 Management responsibility

5.6 Management review

5.6.3 Review output

The output from the management review shall include any decisions and actions related to

- a) improvement of the effectiveness of the quality management system and its processes,
- b) improvement of product related to customer requirements, and
- c) resource needs.

Records from management reviews shall be maintained (see [4.2.4.2.1](#)) and shall be publicly accessible. Records shall include, in addition to the requirements of [4.2.4.2.1](#), issues addressed during the management review.

6 Resource management

6.1 Provision of resources

ISO 9001:2008, Quality management systems — Requirements

6 Resource management

6.1 Provision for resources

The organization shall determine and provide the resources needed

- a) to implement and maintain the quality management system and continually improve its effectiveness, and
- b) to enhance customer satisfaction by meeting customer requirements.

There is no sector-specific guidance.

6.2 Human resources

6.2.1 General

ISO 9001:2008, Quality management systems — Requirements

6 Resource management

6.2 Human resources

6.2.1 General

Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience.

NOTE Conformity to product requirements can be affected directly or indirectly by personnel performing any task within the quality management system.

There is no sector-specific guidance.

6.2.2 Competence, training and awareness

ISO 9001:2008, Quality management systems — Requirements

6 Resource management

6.2 Human resources

6.2.2 Competence, training and awareness

The organization shall

- a) determine the necessary competence for personnel performing work affecting conformity to product requirements,
- b) where applicable, provide training or take other actions to achieve the necessary competence,
- c) evaluate the effectiveness of the actions taken,
- d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives, and
- e) maintain appropriate records of education, training, skills and experience (see 4.2.4).

6.2.2.1 General

The electoral body shall

- a) ensure that electoral body personnel are competent on the basis of appropriate education, training, or experience and ensure that all professional staff of the electoral body is selected through competence-based competitive public recruitment processes;
- b) 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.

The electoral body shall define (in the electoral service development plan) the roles required to execute the applicable electoral processes and any associated education, training, skills or experience required to execute each role.

NOTE 1 Roles to be defined in the electoral service development plan can include, among others, director, registrar, statistician, professional, topographer, civil engineer and poll worker.

NOTE 2 Applicable actions can include, for example: the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

6.2.2.2 Education and training of poll workers

The electoral body shall ensure that poll workers have successfully completed training [see 4.2.3.2.4, bullet f)] for their role and demonstrate regular investment into continuing education and training of all staff.

6.3 Infrastructure

ISO 9001:2008, Quality management systems — Requirements

6 Resource management

6.3 Infrastructure

The organization shall determine, provide and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable,

- a) buildings, workspace and associated utilities,
- b) process equipment (both hardware and software), and
- c) supporting services (such as transport, communication or information systems).

6.3.1 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

- a) data integrity and availability,
- b) information security,
- c) privacy/confidentiality issues, and
- d) voters' personal information.

NOTE ISO/IEC 27000 provides guidance on information security management systems.

6.3.2 Infrastructure for electoral logistics

The electoral service development plan shall specify minimum requirements for

- a) physical security and neutrality of the voting location, and
- b) process equipment including voting equipment.

In the event that voting equipment is found to be nonconforming, it shall be dispositioned in accordance with the requirements of [8.3](#).

6.3.3 Infrastructure for vote casting

The electoral body shall take reasonable actions to ensure access for the disabled and special-needs people to voting locations and voting equipment necessary for their use.

NOTE In cases where ensuring access is difficult, the electoral body can provide alternative means for voting (e.g. postal ballot), the aim being to ensure that every eligible voter can participate in elections.

6.3.4 Infrastructure for vote counting and declaration of results

The electoral service development plan shall specify minimum requirements for

- a) physical security and neutrality of the counting locations,
- b) protection of electoral materials (e.g. ballots before and after election day), and
- c) systems for communicating voting outcomes.

6.4 Work environment

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>6 Resource management</p> <p>6.4 Work environment</p> <p>The organization shall determine and manage the work environment needed to achieve conformity to product requirements.</p> <p>NOTE The term “work environment” relates to those conditions under which work is performed including physical, environmental and other factors (such as noise, temperature, humidity, lighting or weather).</p>
--

The electoral body shall be responsible for compliance with all local building, health, safety and environmental codes and physical safety protocols.

NOTE Examples of physical safety protocols include arrangements with police and other security forces.

The electoral body shall specify (in the electoral service development plan) the requirements for the work environment applicable to voting locations. At a minimum, these requirements shall address

- a) provision of sufficient and appropriate storage space for electoral materials, voter registries and political organization/candidate registries,
- b) placement and minimum separation of polling stations within the voting location,
- c) adequate physical infrastructure to assure continuous and effective operation,
- d) access for persons with disabilities,
- e) unimpeded ingress and egress for voters and workers to and from the voting location, and
- f) appropriate labelling to identify the polling stations.

7 Product realization

7.1 Planning of product realization

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.1 Planning of product realization

The organization shall plan and develop the processes needed for product realization. Planning of product realization shall be consistent with the requirements of the other processes of the quality management system (see 4.1).

In planning product realization, the organization shall determine the following, as appropriate:

- a) quality objectives and requirements for the product;
- b) the need to establish processes and documents, and to provide resources specific to the product;
- c) required verification, validation, monitoring, measurement inspection and test activities specific to the product and the criteria for product acceptance;
- d) records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4).

The output of this planning shall be in a form suitable for the organization's method of operations.

NOTE 1 A document specifying the processes of the quality management system (including the product realization processes) and the resources to be applied to a specific product, project or contract, can be referred to as a quality plan.

NOTE 2 The organization may also apply the requirements given in 7.3 to the development of product realization processes.

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.

7.2 Customer-related processes

7.2.1 Determination of requirements related to the product

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.2 Customer-related processes

7.2.1 Determination of requirements related to the product

The organization shall determine

- a) requirements specified by the customer, including the requirements for delivery and post-delivery activities,
- b) requirements not stated by the customer but necessary for specified or intended use, where known,
- c) statutory and regulatory requirements applicable to the product, and
- d) any additional requirements considered necessary by the organization.

NOTE Post-delivery activities include, for example, actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.

NOTE Post-delivery activities can also include follow-on activities such as contractual obligations (e.g. maintenance services for voting equipment) and supplementary services (e.g. recycling or disposal of expended or unused electoral materials).

7.2.2 Review of requirements related to the product

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.2 Customer-related processes

7.2.2 Review of requirements related to the product

The organization shall review the requirements related to the product. This review shall be conducted prior to the organization's commitment to supply a product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that

- a) product requirements are defined,
- b) contract or order requirements differing from those previously expressed are resolved, and
- c) the organization has the ability to meet the defined requirements.

Records of the results of the review and actions arising from the review shall be maintained (see 4.2.4).

Where the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance.

Where product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.

NOTE In some situations, such as internet sales, a formal review is impractical for each order. Instead the review can cover relevant product information such as catalogues or advertising material.

Records from requirements reviews shall include, in addition to the requirements of [4.2.4.2.1](#), the following:

- issues addressed during the review, and
- any decisions taken or actions assigned to ensure that requirements are complete, unambiguous and not in conflict with each other.

7.2.3 Customer communication

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.2 Customer-related processes

7.2.3 Customer communication

The organization shall determine and implement effective arrangements for communicating with customers in relation to

- a) product information,
- b) enquiries, contracts or order handling, including amendments, and
- c) customer feedback, including customer complaints.

NOTE Electoral-client feedback can also include recognition and suggestions.

7.3 Design and development

7.3.1 Design and development planning

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.3 Design and development

7.3.1 Design and development planning

The organization shall plan and control the design and development of product.

During the design and development planning, the organization shall determine

- a) the design and development stages,
- b) the review, verification and validation that are appropriate to each design and development stage, and
- c) the responsibilities and authorities for design and development.

The organization shall manage the interfaces between different groups involved in design and development to ensure effective communication and clear assignment of responsibility.

Planning output shall be updated, as appropriate, as the design and development progresses.

NOTE Design and development review, verification and validation have distinct purposes. They can be conducted and recorded separately or in any combination, as suitable for the product and the organization.

The electoral body shall document design and development planning within an electoral service development plan (see [4.2.2](#)) that, in addition to the requirements of [4.2.3.2.1](#), specifies

- a) the design and development stages and their required input and output documents,
- b) the review, verification and validation processes and documentation that are required by each design and development stage,
- c) the responsibilities and authorities for design and development,
- d) necessary design and development resources, and
- e) an activity-based design and development schedule.

7.3.2 Design and development inputs

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.3 Design and development

7.3.2 Design and development inputs

Inputs relating to product requirements shall be determined and records maintained (see 4.2.4). These inputs shall include

- a) functional and performance requirements,
- b) applicable statutory and regulatory requirements,
- c) where applicable, information derived from previous similar designs, and
- d) other requirements essential for design and development.

The inputs shall be reviewed for adequacy. Requirements shall be complete, unambiguous and not in conflict with each other.

There is no sector-specific guidance.

7.3.3 Design and development outputs

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.3 Design and development

7.3.3 Design and development outputs

The outputs of design and development shall be in a form suitable for verification against the design and development input and shall be approved prior to release.

Design and development outputs shall

- a) meet the input requirements for design and development,
- b) provide appropriate information for purchasing, production and for service provision,
- c) contain or reference product acceptance criteria, and
- d) specify the characteristics of the product that are essential for its safe and proper use.

NOTE Information for production and service provision can include details for the preservation of product.

There is no sector-specific guidance.

7.3.4 Design and development review

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.3 Design and development

7.3.4 Design and development review

At suitable stages, systematic reviews of design and development shall be performed in accordance with planned arrangements (see 7.3.1)

- a) to evaluate the ability of the results of design and development to meet requirements, and
- b) to identify any problems and propose necessary actions.

Participants in such reviews shall include representatives of functions concerned with the design and development stages(s) being reviewed. Records of the results of the reviews and any necessary actions shall be maintained (see 4.2.4).

Records from design and development reviews shall include, in addition to the requirements of [4.2.4.2.1](#), the following:

- issues addressed during the design and development review, and
- any decisions taken or actions assigned to ensure conformance of design and development activities and outputs to the provisions of the electoral service development plan.

7.3.5 Design and development verification

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>7 Product realization</p> <p>7.3 Design and development</p> <p>7.3.5 Design and development verification</p> <p>Verification shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the design and development outputs have met the design and development input requirements. Records of the results of the verification and any necessary actions shall be maintained (see 4.2.4).</p>
--

Records of the results of verification shall include, in addition to the requirements of [4.2.4.2.1](#),

- a) issues identified during verification, and
- b) necessary actions taken to resolve verification issues.

7.3.6 Design and development validation

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>7 Product realization</p> <p>7.3 Design and development</p> <p>7.3.6 Design and development validation</p> <p>Design and development validation shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known. Wherever practicable, validation shall be completed prior to the delivery or implementation of the product. Records of the results of validation and any necessary actions shall be maintained (see 4.2.4).</p>

There is no sector-specific guidance.

7.3.7 Control of design and development changes

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>7 Product realization</p> <p>7.3 Design and development</p> <p>7.3.7 Control of design and development changes</p> <p>Design and development changes shall be identified and records maintained. The changes shall be reviewed, verified and validated, as appropriate, and approved before implementation. The review of design and development changes shall include evaluation of the effect of the changes on constituent parts and product already delivered. Records of the results of the review of changes and any necessary actions shall be maintained (see 4.2.4).</p>
--

There is no sector-specific guidance.

7.4 Purchasing

7.4.1 Purchasing process

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.4 Purchasing

7.4.1 Purchasing process

The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent realization or the final product.

The organization shall evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements. Criteria for selection, evaluation and re-evaluation shall be established. Records of the results of evaluations and any necessary actions arising from the evaluation shall be maintained (see 4.2.4).

The purchasing process shall comply with the applicable legal framework.

7.4.2 Purchasing information

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.4 Purchasing

7.4.2 Purchasing information

Purchasing information shall describe the product to be purchased, including, where appropriate,

- a) requirements for approval of product, procedures, processes and equipment,
- b) requirements for qualification of personnel, and
- c) quality management system requirements.

The organization shall ensure the adequacy of specified purchase requirements prior to their communication to the supplier.

To the extent required for traceability, the electoral body shall maintain relevant purchasing information.

7.4.3 Verification of purchased product

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.4 Purchasing

7.4.3 Verification of purchased product

The organization shall establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements.

Where the organization or its customer intends to perform verification at the supplier's premises, the organization shall state the intended verification arrangements and method of product release in the purchasing information.

There is no sector-specific guidance.

7.5 Production and service provision

7.5.1 Control of production and service provision

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.5 Production and service provision

7.5.1 Control of production and service provision

The organization shall plan and carry out production and service provision under controlled conditions. Controlled conditions shall include, as applicable,

- a) the availability of information that describes the characteristics of the product,
- b) the availability of work instructions, as necessary,
- c) the use of suitable equipment,
- d) the availability and use of monitoring and measuring equipment,
- e) the implementation of monitoring and measuring, and
- f) the implementation of product release, delivery and post-delivery activities.

The electoral body shall document the requirements for controls of electoral-service provision in an electoral service development plan (see [4.2.2](#)).

Controlled conditions shall further include, as applicable:

- a) the implementation of electoral-service release, delivery and follow-on activities,
- b) monitoring of elections by accredited partisan and non-partisan national and/or international observers or other external invitees, and
- c) contractually agreed access to all aspects of the electoral process.

7.5.2 Validation of processes for production and service provision

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.5 Production and service provision

7.5.2 Validation of processes for production and service provision

The organization shall validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement and, as a consequence, deficiencies become apparent only after the product is in use or the service has been delivered.

Validation shall demonstrate the ability of these processes to achieve planned results.

The organization shall establish arrangements for these processes including, as applicable,

- a) defined criteria for review and approval of the processes,
- b) approval of equipment and qualifications of personnel,
- c) use of specific methods and procedures,
- d) requirements for records (see [4.2.4](#)), and
- e) revalidation.

There is no sector-specific guidance.

7.5.3 Identification and traceability

ISO 9001:2008, Quality management systems — Requirements
7 Product realization
7.5 Production and service provision
7.5.3 Identification and traceability
Where appropriate, the organization shall identify the product by suitable means throughout product realization.
The organization shall identify the product status with respect to monitoring and measurement requirements throughout product realization.
Where traceability is a requirement, the organization shall control the unique identification of the product and maintain records (see 4.2.4).
NOTE In some industry sectors, configuration management is a means by which identification and traceability are maintained.

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.

7.5.4 Customer property

ISO 9001:2008, Quality management systems — Requirements
7 Product realization
7.5 Production and service provision
7.5.4 Customer property
The organization shall exercise care with customer property while it is under the organization's control or being used by the organization. The organization shall identify, verify, protect and safeguard customer property provided for use or incorporation into a product. If any customer property is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer and maintain records (see 4.2.4).
NOTE Customer property can include intellectual property and personal data.

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

7.5.5 Preservation of product

ISO 9001:2008, Quality management systems — Requirements
7 Product realization
7.5 Production and service provision
7.5.5 Preservation of product
The organization shall preserve the product during internal processing and delivery to the intended destination in order to maintain conformity to requirements. As applicable, preservation shall include identification, handling, packaging, storage and protection. Preservation shall also apply to the constituent parts of a product.

There is no sector-specific guidance.

7.6 Control of monitoring and measuring equipment

ISO 9001:2008, Quality management systems — Requirements

7 Product realization

7.6 Control of monitoring and measuring equipment

The organization shall determine the monitoring and measurement to be undertaken and the monitoring and measuring equipment needed to provide evidence of conformity of product to determined requirements.

The organization shall establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements.

Where necessary to ensure valid results, measuring equipment shall

- a) be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded (see 4.2.4);
- b) be adjusted or re-adjusted as necessary;
- c) have identification in order to determine its calibration status;
- d) be safeguarded from adjustments that would invalidate the measurement result;
- e) be protected from damage and deterioration during handling, maintenance and storage.

In addition, the organization shall assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements. The organization shall take appropriate action on the equipment and any product affected.

Records of the results of calibration and verification shall be maintained (see 4.2.4).

When used in the monitoring and measurement of specified requirements, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.

NOTE Confirmation of the ability of computer software to satisfy the intended application would typically include its verification and configuration management to maintain its suitability for use.

Voting equipment shall

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

In addition, 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.

When used in voting equipment, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.

8 Measurement, analysis and improvement

8.1 General

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.1 General

The organization shall plan and implement the monitoring, measurement, analysis and improvement processes needed

- a) to demonstrate conformity to product requirements,
- b) to ensure conformity of the quality management system, and
- c) to continually improve the effectiveness of the quality management system.

This shall include determination of applicable methods, including statistical techniques, and the extent of their use.

There is no sector-specific guidance.

8.2 Monitoring and measurement

8.2.1 Customer satisfaction

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.2 Monitoring and measurement

8.2.1 Customer satisfaction

As one of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception as to whether the organization has met customer requirements. The methods for obtaining and using this information shall be determined.

NOTE Monitoring customer perception can include obtaining input from sources such as customer satisfaction surveys, customer data on delivered product quality, user opinion surveys, lost business analysis, compliments, warranty claims and dealer reports.

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

8.2.2 Internal audit

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.2 Monitoring and measurement

8.2.2 Internal audit

The organization shall conduct internal audits at planned intervals to determine whether the quality management system

a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization, and

b) is effectively implemented and maintained.

An audit programme shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined. The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.

A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

Records of the audits and their results shall be maintained (see 4.2.4).

The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results (see 8.5.2).

NOTE See ISO 19011 for guidance.

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

The electoral body shall define (in the electoral quality manual) the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

8.2.3 Monitoring and measurement of processes

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.2 Monitoring and measurement

8.2.3 Monitoring and measurement of processes

The organization shall apply suitable methods for monitoring and, where applicable, measurement of the 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 important that the organization considers the type and extent of monitoring or measurement appropriate to each of its processes, in relation to their impact on the conformity to product requirements and on the effectiveness of the quality management system.

The electoral body shall apply suitable methods for monitoring and, where applicable, measurement of the electoral quality management system processes (see 1.2). 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.

8.2.4 Monitoring and measurement of product

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.2 Monitoring and measurement

8.2.4 Monitoring and measurement of product

The organization shall monitor and measure the characteristics of the product to verify that product requirements have been met. This shall be carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 7.1). Evidence of conformity with the acceptance criteria shall be maintained.

Records shall indicate the person(s) authorizing release of product for delivery to the customer (see 4.2.4).

The release of product and delivery of service to the customer shall not proceed until the planned arrangements (see 7.1) have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer.

There is no sector-specific guidance.

8.3 Control of nonconforming product

ISO 9001:2008, Quality management systems — Requirements

8 Measurement, analysis and improvement

8.3 Control of nonconforming product

The organization shall ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery. A documented procedure shall be established to define the controls and related responsibilities and authorities for dealing with nonconforming product.

Where practicable, the organization shall deal with nonconforming product by one or more of the following ways;

- a) by taking action to eliminate the detected nonconformity;
- b) by authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer;
- c) by taking action to preclude its original intended use or application.
- d) by taking action appropriate to the effects, or potential effects, of the nonconformity when nonconforming product is detected after delivery or use has started.

When nonconforming product is corrected it shall be subject to re-verification to demonstrate conformity to the requirements.

Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained, shall be maintained (see 4.2.4).

The electoral body shall ensure that electoral service, voting equipment and electoral material nonconformities 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, and
- d) activities associated with the vote-casting electoral process 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.

The electoral body shall define (in the electoral service development plan) the controls and related responsibilities and authorities for dealing with nonconforming electoral service, voting equipment and electoral materials.

The electoral body shall clearly label nonconforming 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 (e.g. removing power cord).

8.4 Analysis of data

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>8 Measurement, analysis and improvement</p> <p>8.4 Analysis of data</p> <p>The organization shall determine, collect and analyse appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system can be made. This shall include data generated as a result of monitoring and measurement and from other relevant sources.</p> <p>The analysis of data shall provide information relating to</p> <ul style="list-style-type: none"> a) customer satisfaction (see 8.2.1), b) conformity to product requirements (see 8.2.4), c) characteristics and trends of processes and products, including opportunities for preventive action (see 8.2.3 and 8.2.4), and d) suppliers (see 7.4).

There is no sector-specific guidance.

8.5 Improvement

8.5.1 Continual improvement

<p>ISO 9001:2008, Quality management systems — Requirements</p> <p>8 Measurement, analysis and improvement</p> <p>8.5 Improvement</p> <p>8.5.1 Continual improvement</p> <p>The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.</p>
--

There is no sector-specific guidance.