
**Quality management systems —
Particular requirements for the
application of ISO 9001:2015 for
electoral organizations at all levels of
government**

*Systèmes de management de la qualité — Exigences particulières
pour l'application de l'ISO 9001:2015 aux organismes électoraux à
tous les niveaux du gouvernement*



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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 of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*.

This first edition cancels and replaces ISO/TS 17582:2014, which has been technically revised. The main changes compared with the previous edition are as follows:

- a new structure has been created based on the ten clauses of ISO 9001:2015.
- the specific electoral content has been placed under the clauses of the new structure.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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^[7]. 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 traditions, 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.

In this document, the text reproduced from ISO 9001:2015 is placed in boxes, in order to distinguish it from the sector-specific guidance given for each clause.

ISO 9001:2015, *Quality management systems — Requirements*

Introduction

0.1 General

The adoption of a quality management system is a strategic decision for an organization that can help to improve its overall performance and provide a sound basis for sustainable development initiatives.

The potential benefits to an organization of implementing a quality management system based on this International Standard are:

- a) the ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements;
- b) facilitating opportunities to enhance customer satisfaction;
- c) addressing risks and opportunities associated with its context and objectives;
- d) the ability to demonstrate conformity to specified quality management system requirements.

This International Standard can be used by internal and external parties.

It is not the intent of this International Standard to imply the need for:

- uniformity in the structure of different quality management systems;
- alignment of documentation to the clause structure of this International Standard;
- the use of the specific terminology of this International Standard within the organization.

The quality management system requirements specified in this International Standard are complementary to requirements for products and services.

This International Standard employs the process approach, which incorporates the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking.

The process approach enables an organization to plan its processes and their interactions.

The PDCA cycle enables an organization to ensure that its processes are adequately resourced and managed, and that opportunities for improvement are determined and acted on.

Risk-based thinking enables an organization to determine the factors that could cause its processes and its quality management system to deviate from the planned results, to put in place preventive controls to minimize negative effects and to make maximum use of opportunities as they arise (see Clause A.4).

Consistently meeting requirements and addressing future needs and expectations poses a challenge for organizations in an increasingly dynamic and complex environment. To achieve this objective, the organization might find it necessary to adopt various forms of improvement in addition to correction and continual improvement, such as breakthrough change, innovation and re-organization.

In this International Standard, the following verbal forms are used:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Information marked as “NOTE” is for guidance in understanding or clarifying the associated requirement.

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 document are complementary to requirements for the electoral service provided by the applicable legal framework and the electoral body.

0.2 Quality management principles

ISO 9001:2015, *Quality management systems — Requirements*

0.2 Quality management principles

This International Standard is based on the quality management principles described in ISO 9000. The descriptions include a statement of each principle, a rationale of why the principle is important for the organization, some examples of benefits associated with the principle and examples of typical actions to improve the organization's performance when applying the principle.

The quality management principles are:

- customer focus;
- leadership;
- engagement of people;
- process approach;
- improvement;
- evidence-based decision making;
- relationship management.

There is no sector-specific guidance.

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0.3 Process approach

0.3.1 General

ISO 9001:2015, *Quality management systems — Requirements*

0.3 Process approach

0.3.1 General

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. Specific requirements considered essential to the adoption of a process approach are included in 4.4.

Understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its intended results. This approach enables the organization to control the interrelationships and interdependencies among the processes of the system, so that the overall performance of the organization can be enhanced.

The process approach involves the systematic definition and management of processes, and their interactions, so as to achieve the intended results in accordance with the quality policy and strategic direction of the organization. Management of the processes and the system as a whole can be achieved using the PDCA cycle (see 0.3.2) with an overall focus on risk-based thinking (see 0.3.3) aimed at taking advantage of opportunities and preventing undesirable results.

The application of the process approach in a quality management system enables:

- understanding and consistency in meeting requirements;
- the consideration of processes in terms of added value;
- the achievement of effective process performance;
- improvement of processes based on evaluation of data and information.

Figure 1 gives a schematic representation of any process and shows the interaction of its elements. The monitoring and measuring check points, which are necessary for control, are specific to each process and will vary depending on the related risks.

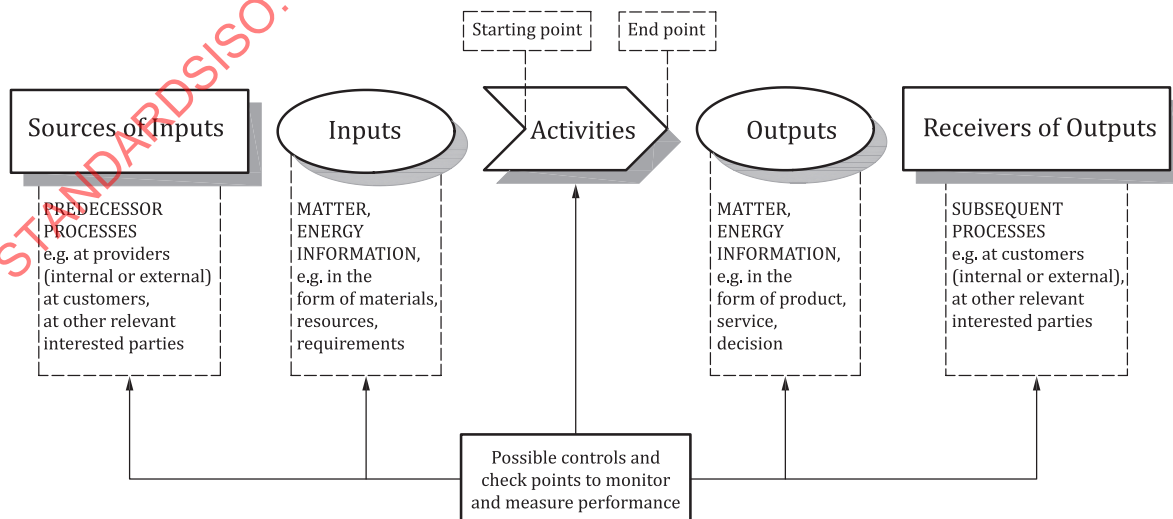


Figure 1 — Schematic representation of the elements of a single process

There is no sector-specific guidance.

0.3.2 Plan-Do-Check-Act cycle

0.3.2 Plan-Do-Check-Act cycle

The PDCA cycle can be applied to all processes and to the quality management system as a whole. Figure 2 illustrates how Clauses 4 to 10 can be grouped in relation to the PDCA cycle.

NOTE Numbers in brackets refer to the clauses in this International Standard.

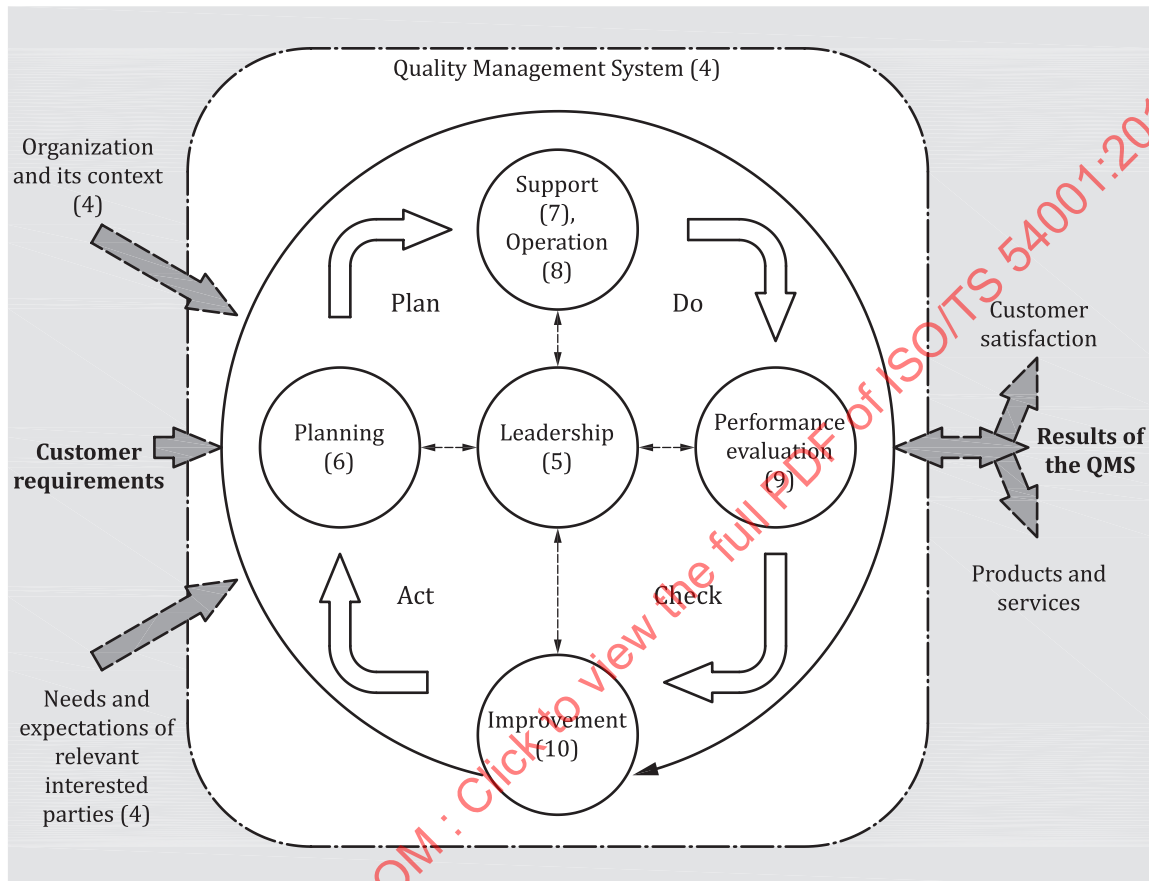


Figure 2 — Representation of the structure of this International Standard in the PDCA cycle

PDCA cycle can be briefly described as follows:

- **Plan:** establish the objectives of the system and its processes, and the resources needed to deliver results in accordance with customers' requirements and the organization's policies, and identify and address risks and opportunities;
- **Do:** implement what was planned;
- **Check:** monitor and (where applicable) measure processes and the resulting products and services against policies, objectives, requirements and planned activities, and report the results;
- **Act:** take actions to improve performance, as necessary.

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.

Electoral bodies plan 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.

0.3.3 Risk-based thinking

ISO 9001:2015, *Quality management systems — Requirements*

0.3.3 Risk-based thinking

Risk-based thinking (see Clause A.4) is essential for achieving an effective quality management system. The concept of risk-based thinking has been implicit in previous editions of this International Standard including, for example, carrying out preventive action to eliminate potential nonconformities, analysing any nonconformities that do occur, and taking action to prevent recurrence that is appropriate for the effects of the nonconformity.

To conform to the requirements of this International Standard, an organization needs to plan and implement actions to address risks and opportunities. Addressing both risks and opportunities establishes a basis for increasing the effectiveness of the quality management system, achieving improved results and preventing negative effects.

Opportunities can arise as a result of a situation favourable to achieving an intended result, for example, a set of circumstances that allow the organization to attract customers, develop new products and services, reduce waste or improve productivity. Actions to address opportunities can also include consideration of associated risks. Risk is the effect of uncertainty and any such uncertainty can have positive or negative effects. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk result in opportunities.

There is no sector-specific guidance.

0.4 Relationship with other management system standards

ISO 9001:2015, *Quality management systems — Requirements*

0.4 Relationship with other management system standards

This International Standard applies the framework developed by ISO to improve alignment among its International Standards for management systems (see Clause A.1).

This International Standard enables an organization to use the process approach, coupled with the PDCA cycle and risk-based thinking, to align or integrate its quality management system with the requirements of other management system standards.

This International Standard relates to ISO 9000 and ISO 9004 as follows:

- ISO 9000 *Quality management systems — Fundamentals and vocabulary* provides essential background for the proper understanding and implementation of this International Standard;
- ISO 9004 *Managing for the sustained success of an organization — A quality management approach* provides guidance for organizations that choose to progress beyond the requirements of this International Standard.

Annex B provides details of other International Standards on quality management and quality management systems that have been developed by ISO/TC 176.

This International Standard does not include requirements specific to other management systems, such as those for environmental management, occupational health and safety management, or financial management.

Sector-specific quality management system standards based on the requirements of this International Standard have been developed for a number of sectors. Some of these standards specify additional quality management system requirements, while others are limited to providing guidance to the application of this International Standard within the particular sector.

A matrix showing the correlation between the clauses of this edition of this International Standard and the previous edition (ISO 9001:2008) can be found on the ISO/TC 176/SC 2 open access web site at: www.iso.org/tc176/sc02/public.

NOTE 1 Since the publication of ISO 9001:2015, and at the time of publication of this document, the revision of ISO 9004 has been completed and ISO 9004:2018 has been published.

NOTE 2 ISO 9001:2015, Annexes A and B, referenced above, are not included in this document.

There is no sector-specific guidance.

Quality management systems — Particular requirements for the application of ISO 9001:2015 for electoral organizations at all levels of government

1 Scope

ISO 9001:2015, *Quality management systems — Requirements*

1 Scope

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

- a) needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and
- b) aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

All the requirements of this International Standard are generic and are intended to be applicable to any organization, regardless of its type or size, or the products and services it provides.

NOTE 1 In this International Standard, the terms “product” or “service” only apply to products and services intended for, or required by, a customer.

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

This document specifies requirements for a quality management system where an electoral organization:

- needs to demonstrate its ability to manage elections by secret ballot, to provide reliable, transparent, free and fair results that comply with electoral requirements;
- 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 3 Electoral bodies can be constituted to reflect local legal requirements.

NOTE 4 In this document, the term “product” only applies to the electoral service provided by an electoral body.

This document is applicable to the election period, including pre-election and post-election activities or processes.

This document is applicable 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.

2 Normative references

ISO 9001:2015, *Quality management systems — Requirements*

2 Normative references

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

ISO 9000:2015, *Quality management systems — Fundamentals and vocabulary*

There is no sector-specific guidance.

3 Terms and definitions

ISO 9001:2015, *Quality management systems — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000:2015 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

NOTE Concept diagrams explaining the thematic groupings in this clause are given in [Annex A](#).

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* ([3.2.7](#)) 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* (3.2.8) and other *electoral clients* (3.1.10) 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**resolution of electoral disputes**

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

3.1.8**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* (3.1.9) is that an electoral complaint is formally lodged with the competent electoral authority. Disputes include both challenges and electoral complaints.

3.1.9**electoral complaint**

formal *challenge* (3.1.8) expressing dissatisfaction

3.1.10**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* (3.2.1) elected to public office

3.2.3**registration of political organizations and candidates**

process of registering the entitlement of *political organizations* (3.2.2) and *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* (3.2.8)

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* (3.2.7) procedures, such as dates, times and places of voting, *registration of political organizations and candidates* (3.2.3) requirements, and voting mechanisms and other issues within the electoral process.

3.2.11

electoral materials

documentation required to conduct an *election* (3.2.7) within local legal requirements

Note 1 to entry: These electoral materials can differ from one country or area to another but generally include items such as laws and regulations, ballot papers, training manuals, election posters, essays, observation reports, technical assessments, administrative guidelines, electoral forms and codes of conduct.

3.2.12

electoral equipment

hardware required to conduct an *election* (3.2.7) within local legal requirements

Note 1 to entry: Electoral equipment can include ballot boxes and seals, voting compartments, furniture and necessary temporary structures.

3.2.13

voter registry

database of voters

3.2.14

voter list

part of *voter registry* (3.2.13) used by poll workers at each *voting location* (3.3.1)

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) who 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. See the Universal Declaration of Human Rights referring to universal suffrage in Article 21, subsection (3): "The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures." [2].

3.3.4**voting incident**

event that is not part of the standard operation of the voting process and that 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* (3.2.8) 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

3.3.9**spoiled ballot**

voting card that is found to be defective by the local voting rules and not included in the vote count

Note 1 to entry: Common examples of rules establishing criteria for treating a ballot as spoiled include failing to mark the ballot or defacing it, marking more choices than permitted, and filling a preference ballot out of sequence.

3.3.10**challenged ballot**

ballot of an individual that is challenged for eligibility

Note 1 to entry: Challenged ballots are generally held out of the count in a separate list and only counted if subsequent eligibility is established.

4 Context of the organization

4.1 Understanding the organization and its context

ISO 9001:2015, *Quality management systems — Requirements*

4.1 Understanding the organization and its context

The organization shall determine external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its quality management system.

The organization shall monitor and review information about these external and internal issues.

NOTE 1 Issues can include positive and negative factors or conditions for consideration.

NOTE 2 Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local.

NOTE 3 Understanding the internal context can be facilitated by considering issues related to values, culture, knowledge and performance of the organization.

The electoral body should determine as part of the external issues:

- a) alterations to or revisions of legal regulations that regulate the functioning of electoral organizations and processes;
- b) economic and budgetary matters that influence the development of the electoral service;
- c) issues related to electoral materials, especially technological equipment;
- d) any other issues it considers pertinent.

Each electoral body shall determine its internal issues, taking into account its organizational culture, resources, policies, objectives, processes, etc.

4.2 Understanding the needs and expectations of interested parties

ISO 9001:2015, *Quality management systems — Requirements*

4.2 Understanding the needs and expectations of interested parties

Due to their effect or potential effect on the organization's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, the organization shall determine:

- a) the interested parties that are relevant to the quality management system;
- b) the requirements of these interested parties that are relevant to the quality management system.

The organization shall monitor and review information about these interested parties and their relevant requirements.

Electoral management bodies should identify the needs and expectations of interested parties that are relevant to the quality management system. They could develop criteria to define electoral interested parties using ISO/TS 9002:2016.

4.3 Determining the scope of the quality management system

ISO 9001:2015, *Quality management systems — Requirements*

4.3 Determining the scope of the quality management system

The organization shall determine the boundaries and applicability of the quality management system to establish its scope.

When determining this scope, the organization shall consider:

- a) the external and internal issues referred to in [4.1](#);
- b) the requirements of relevant interested parties referred to in [4.2](#);
- c) the products and services of the organization.

The organization shall apply all the requirements of this International Standard if they are applicable within the determined scope of its quality management system.

The scope of the organization's quality management system shall be available and be maintained as documented information. The scope shall state the types of products and services covered, and provide justification for any requirement of this International Standard that the organization determines is not applicable to the scope of its quality management system.

Conformity to this International Standard may only be claimed if the requirements determined as not being applicable do not affect the organization's ability or responsibility to ensure the conformity of its products and services and the enhancement of customer satisfaction.

This document is applicable to elections at all levels of government, whether local, regional or national. Where exclusions are made outside of [Clause 8](#), claims of conformity to this document are not acceptable unless these exclusions resolve conflicts with the applicable legal framework and do not contravene the Universal Declaration of Human Rights^[7] or the International Covenant on Civil and Political Rights^[8].

Subject to the stated scope of the electoral quality management system (see [7.5.1](#)), the requirements of this document apply to the electoral body's implementation of the following electoral processes, as specified in [Annex B](#):

- voter registration;
- registration of political organizations and candidates;
- electoral logistics;
- vote casting;
- vote counting and declaration of results;
- electoral education;
- oversight of campaign financing;
- resolution of electoral disputes.

4.4 Quality management system and its processes

ISO 9001:2015, *Quality management systems — Requirements*

4.4 Quality management system and its processes

4.4.1 The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.

The organization shall determine the processes needed for the quality management system and their application throughout the organization, and shall:

- a) determine the inputs required and the outputs expected from these processes;
- b) determine the sequence and interaction of these processes;
- c) determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes;
- d) determine the resources needed for these processes and ensure their availability;
- e) assign the responsibilities and authorities for these processes;
- f) address the risks and opportunities as determined in accordance with the requirements of [6.1](#);
- g) evaluate these processes and implement any changes needed to ensure that these processes achieve their intended results;
- h) improve the processes and the quality management system.

4.4.2 To the extent necessary, the organization shall:

- a) maintain documented information to support the operation of its processes;
- b) retain documented information to have confidence that the processes are being carried out as planned.

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

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 document.

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.

5 Leadership

5.1 Leadership and commitment

5.1.1 General

ISO 9001:2015, *Quality management systems — Requirements*

5.1 Leadership and commitment

5.1.1 General

Top management shall demonstrate leadership and commitment with respect to the quality management system by:

- a) taking accountability for the effectiveness of the quality management system;
- b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;
- c) ensuring the integration of the quality management system requirements into the organization's business processes;
- d) promoting the use of the process approach and risk-based thinking;
- e) ensuring that the resources needed for the quality management system are available;
- f) communicating the importance of effective quality management and of conforming to the quality management system requirements;
- g) ensuring that the quality management system achieves its intended results;
- h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
- i) promoting improvement;
- j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence, whether the organization is public, private, for profit or not for profit.

There is no sector-specific guidance.

5.1.2 Customer focus

ISO 9001:2015, *Quality management systems — Requirements*

5.1.2 Customer focus

Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:

- a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
- b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;
- c) the focus on enhancing customer satisfaction is maintained.

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

5.2 Policy

5.2.1 Establishing the quality policy

ISO 9001:2015, *Quality management systems — Requirements*

5.2 Policy

5.2.1 Establishing the quality policy

Top management shall establish, implement and maintain a quality policy that:

- a) is appropriate to the purpose and context of the organization and supports its strategic direction;
- b) provides a framework for setting quality objectives;
- c) includes a commitment to satisfy applicable requirements;
- d) includes a commitment to continual improvement of the quality management system.

There is no sector-specific guidance.

5.2.2 Communicating the quality policy

ISO 9001:2015, *Quality management systems — Requirements*

5.2.2 Communicating the quality policy

The quality policy shall:

- a) be available and be maintained as documented information;
- b) be communicated, understood and applied within the organization;
- c) be available to relevant interested parties, as appropriate.

The electoral quality policy shall:

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

5.3 Organizational roles, responsibilities and authorities

ISO 9001:2015, *Quality management systems — Requirements*

5.3 Organizational roles, responsibilities and authorities

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.

Top management shall assign the responsibility and authority for:

- a) ensuring that the quality management system conforms to the requirements of this International Standard;
- b) ensuring that the processes are delivering their intended outputs;
- c) reporting on the performance of the quality management system and on opportunities for improvement (see [10.1](#)), in particular to top management;
- d) ensuring the promotion of customer focus throughout the organization;
- e) ensuring that 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 responsibilities and authorities are communicated within the electoral body prior to the election process, that responsibilities are implemented and that electoral clients are informed (as appropriate) of the division of responsibilities.

6 Planning

6.1 Actions to address risks and opportunities

ISO 9001:2015, *Quality management systems — Requirements*

6.1 Actions to address risks and opportunities

6.1.1 When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:

- a) give assurance that the quality management system can achieve its intended result(s);
- b) enhance desirable effects;
- c) prevent, or reduce, undesired effects;
- d) achieve improvement.

6.1.2 The organization shall plan:

- a) actions to address these risks and opportunities;
- b) how to:
 - 1) integrate and implement the actions into its quality management system processes (see 4.4);
 - 2) evaluate the effectiveness of these actions.

Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.

NOTE 1 Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision.

NOTE 2 Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address the organization's or its customers' needs.

6.1.3 Top management shall ensure that:

- a) the planning of the electoral quality management system includes planning for all electoral processes (see 4.3);
- b) all planning and processes protect the fundamental rights of electoral clients.

6.2 Quality objectives and planning to achieve them

ISO 9001:2015, *Quality management systems — Requirements*

6.2 Quality objectives and planning to achieve them

6.2.1 The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system.

The quality objectives shall:

- a) be consistent with the quality policy;
- b) be measurable;
- c) take into account applicable requirements;
- d) be relevant to conformity of products and services and to enhancement of customer satisfaction;
- e) be monitored;
- f) be communicated;
- g) be updated as appropriate.

The organization shall maintain documented information on the quality objectives.

6.2.2 When planning how to achieve its quality objectives, the organization shall determine:

- a) what will be done;
- b) what resources will be required;
- c) who will be responsible;
- d) when it will be completed;
- e) how the results will be evaluated.

There is no sector-specific guidance.

6.3 Planning of changes

ISO 9001:2015, *Quality management systems — Requirements*

6.3 Planning of changes

When the organization determines the need for changes to the quality management system, the changes shall be carried out in a planned manner (see [4.4](#)).

The organization shall consider:

- a) the purpose of the changes and their potential consequences;
- b) the integrity of the quality management system;
- c) the availability of resources;
- d) the allocation or reallocation of responsibilities and authorities.

There is no sector-specific guidance.

7 Support

7.1 Resources

7.1.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.1 Resources

7.1.1 General

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system.

The organization shall consider:

- a) the capabilities of, and constraints on, existing internal resources;
- b) what needs to be obtained from external providers.

There is no sector-specific guidance.

7.1.2 People

ISO 9001:2015, *Quality management systems — Requirements*

7.1.2 People

The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

There is no sector-specific guidance.

7.1.3 Infrastructure

7.1.3.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.1.3 Infrastructure

The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.

NOTE Infrastructure can include:

- a) buildings and associated utilities;
- b) equipment, including hardware and software;
- c) transportation resources;
- d) information and communication technology.

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

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

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

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

7.1.3.3 Infrastructure for electoral logistics

The electoral service development plan shall specify minimum requirements for:

- a) physical security and neutrality of the voting location;
- 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 [8.7](#).

7.1.3.4 Infrastructure for vote casting

The electoral body shall take reasonable actions to ensure access for 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.

7.1.3.5 Infrastructure for vote counting and declaration of results

The electoral service development plan shall specify minimum requirements for:

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

7.1.4 Environment for the operation of processes

ISO 9001:2015, *Quality management systems — Requirements*

7.1.4 Environment for the operation of processes

The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.

NOTE A suitable environment can be a combination of human and physical factors, such as:

- a) social (e.g. non-discriminatory, calm, non-confrontational);
- b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective);
- c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise).

These factors can differ substantially depending on the products and services provided.

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

NOTE 2 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) the provision of sufficient and appropriate storage space for electoral materials, voter registries and political organization/candidate registries;
- b) the placement and minimum separation of polling stations within the voting location;
- c) adequate physical infrastructure to ensure 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;
- f) appropriate labelling to identify polling stations.

7.1.5 Monitoring and measuring resources

7.1.5.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.1.5 Monitoring and measuring resources

7.1.5.1 General

The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.

The organization shall ensure that the resources provided:

- a) are suitable for the specific type of monitoring and measurement activities being undertaken;
- b) are maintained to ensure their continuing fitness for their purpose.

The organization shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.

There is no sector-specific guidance.

7.1.5.2 Measurement traceability

ISO 9001:2015, *Quality management systems — Requirements*

7.1.5.2 Measurement traceability

When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:

- a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information;
- b) identified in order to determine their status;
- c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.

The organization shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.

Voting equipment shall:

- be safeguarded from adjustments that would invalidate the voting result;
- 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.

7.1.6 Organizational knowledge

ISO 9001:2015, *Quality management systems — Requirements*

7.1.6 Organizational knowledge

The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.

This knowledge shall be maintained and be made available to the extent necessary.

When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.

NOTE 1 Organizational knowledge is knowledge specific to the organization; it is generally gained by experience. It is information that is used and shared to achieve the organization's objectives.

NOTE 2 Organizational knowledge can be based on:

- a) internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services);
- b) external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers).

There is no sector-specific guidance.

7.2 Competence

7.2.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.2 Competence

The organization shall:

- a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;
- b) ensure that these persons are competent on the basis of appropriate education, training, or experience;
- c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
- d) retain appropriate documented information as evidence of competence.

NOTE 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.

7.2.2 General for the electoral body

The electoral body shall ensure that electoral body personnel are competent on the basis of appropriate education, training or experience. It shall ensure that all professional staff of the electoral body are selected through competence-based competitive public recruitment processes.

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.

7.2.3 Education and training of poll workers

The electoral body shall ensure that poll workers have successfully completed training [see 7.5.4.4, f)] for their role. It shall demonstrate regular investment into continuing education and training of all staff.

7.3 Awareness

ISO 9001:2015, *Quality management systems — Requirements*

7.3 Awareness

The organization shall ensure that persons doing work under the organization's control are aware of:

- a) the quality policy;
- b) relevant quality objectives;
- c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
- d) the implications of not conforming with the quality management system requirements.

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

7.4 Communication

ISO 9001:2015, *Quality management systems — Requirements*

7.4 Communication

The organization shall determine the internal and external communications relevant to the quality management system, including:

- a) on what it will communicate;
- b) when to communicate;
- c) with whom to communicate;
- d) how to communicate;
- e) who communicates.

There is no sector-specific guidance.

7.5 Documented information

7.5.1 General

ISO 9001:2015, *Quality management systems — Requirements*

7.5 Documented information

7.5.1 General

The organization's quality management system shall include:

- a) documented information required by this International Standard;
- b) documented information determined by the organization as being necessary for the effectiveness of the quality management system.

NOTE The extent of documented information for a quality management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;
- the competence of persons.

The electoral body shall establish and maintain electoral documentation that includes:

- an explicit statement of the scope of the electoral quality management system, including a declaration identifying the electoral processes (see [Clause 1](#)) that are in scope for the implementation of this document;
- a specification for an electoral service development plan to control the design, development and delivery of the electoral service, or reference to it.

NOTE 2 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.

NOTE 3 Although the term “documented information” replaces the terms “documents” and “records” in ISO 9001:2015, in this document, the previously used terms “document” and “record” have been applied.

7.5.2 Creating and updating

ISO 9001:2015, *Quality management systems — Requirements*

7.5.2 Creating and updating

When creating and updating documented information, the organization shall ensure appropriate:

- a) identification and description (e.g. a title, date, author, or reference number);
- b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- c) review and approval for suitability and adequacy.

There is no sector-specific guidance.

7.5.3 Control of documented information

ISO 9001:2015, *Quality management systems — Requirements*

7.5.3 Control of documented information

7.5.3.1 Documented information required by the quality management system and by this International Standard 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).

7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable:

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

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

Documented information retained as evidence of conformity shall be protected from unintended alterations.

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

7.5.3.3 Documented information required by the electoral quality management system and by this document shall be controlled in accordance with ISO 9001:2015, 7.5.3.

NOTE 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.

7.5.4 Minimum documentation requirements

7.5.4.1 General

In addition to document-specific content, documents identified in the electoral documentation 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;
- 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.

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

7.5.4.2 For voter registration

The electoral body shall establish and maintain a document that specifies, in addition to the requirements of [7.5.4.1](#), the following:

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

7.5.4.3 For the registration of political organizations and candidates

The electoral body shall establish and maintain a document that specifies, in addition to the requirements of [7.5.4.1](#), 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 [7.5.6.3](#));
- c) the instrument and supporting documentation to be filed to register a challenge;
- d) the circumstances under which a party may be de-registered.

7.5.4.4 For electoral logistics

The electoral body shall establish and maintain a document that specifies, in addition to the requirements of [7.5.4.1](#), 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, and during and after the vote;
- d) installing and testing voting equipment;
- e) creating and updating electoral maps;
- f) identifying, selecting and training election officials.

NOTE Where appropriate, the organization can use installation instructions from equipment manufacturers, provided they are controlled in accordance with [7.5.4.1](#).

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

7.5.4.5 For vote casting

The electoral body shall establish and maintain a document that specifies, in addition to the requirements of [7.5.4.1](#), work instructions for the following:

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

7.5.4.6 For vote counting and the declaration of results

The electoral body shall establish and maintain a document that specifies, in addition to the requirements of 7.5.4.1, work instructions and criteria for ensuring the integrity of the count, including the following:

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

7.5.4.7 For electoral education

The electoral body shall establish and maintain documents that specify, in addition to the requirements of 7.5.4.1, the following:

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

7.5.4.8 For the oversight of campaign financing

The electoral body shall establish and maintain a documented plan for the oversight of campaign financing to define, in addition to the requirements of 7.5.4.1, the responsibilities and requirements for planning and conducting an 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.

7.5.4.9 For dispute resolution

The electoral body shall establish and maintain documents specifying, in addition to the requirements of 7.5.4.1, the working procedures and instructions needed for electoral dispute resolution. Working procedures shall describe the dispute application process and shall include the date of the dispute, the location of the dispute, the type of dispute and interested parties.

NOTE 1 The 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, evidentiary standards for disputes, and who rules for cost responsibilities for disputes.

NOTE 3 ISO 10003 provides guidance for dispute resolution.

7.5.5 Control of records

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

7.5.6 Minimum records requirements

7.5.6.1 General

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

- a) a unique identifier;
- b) a date of execution;

- c) a signature or equivalent authentication from the entity that executed the record.

7.5.6.2 For voter registration

The voter registration electoral process shall generate information that can be used to produce official voter information as an output record of the process. In addition to the requirements of [7.5.6.1](#), 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;
- g) gender.

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

7.5.6.3 For the registration of political organizations and candidates

The electoral process for the registration of political organizations and candidates shall produce an official registration list as an output record of the process. In addition to the requirements of [7.5.6.1](#), for each registered political organization, this record shall include, at a minimum, the following information:

- a) articles of incorporation;
- b) declaration of political principles or political platform (or reference thereto);
- c) statutes, rules or procedures (or reference thereto);
- d) names of authorities/representatives;
- e) address or contact details of persons representing the political organization;
- f) endorsements (signatures or other as established by law).

In addition to the requirements of [7.5.6.1](#), 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;
- proof of having met specific requirements established by law (for independent candidates).

The electoral body shall further establish requirements for the following:

- the official application form;

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

7.5.6.4 For electoral logistics

The electoral logistics process shall produce an output record that formally attests to the satisfactory completion of configuration of the voting location. In addition to the requirements of [7.5.6.1](#), 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 [7.5.4.4](#), a)];
- 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 [7.5.4.4](#)) for each poll worker. In addition to the requirements of [7.5.6.1](#), 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;
- 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.

7.5.6.5 For vote casting

The vote casting electoral process shall ensure ballot secrecy and shall produce an official record of voting for each voting location as an output record of the process. In addition to the requirements of [7.5.6.1](#), 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;

- d) voter signature or other indication.

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

7.5.6.6 For vote counting and the declaration of results

The electoral process for vote counting, tabulation and the declaration of results shall produce an electoral statement as an output record of the process. In addition to the requirements of [7.5.6.1](#), 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;
- 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.

7.5.6.7 For electoral education

The electoral education electoral process shall produce all records specified for the process in the electoral quality documentation (see [7.5.6.1](#)).

7.5.6.8 For the oversight of campaign financing

The electoral process for the oversight of campaign financing shall produce all records specified in the campaign financing oversight plan (see [7.5.4.8](#)). At a minimum, records of campaign finance audits and their results shall be maintained (see [7.5.6.1](#)).

7.5.6.9 For dispute resolution

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

- a) a request for resolution, including:
 - 1) the date of the dispute;
 - 2) the location of the dispute;
 - 3) the type of dispute;
 - 4) interested parties;
- b) the resolution adopted;
- c) the rationale for the decision;

- d) the evidence provided;
- e) notice of the resolution.

8 Operation

8.1 Operational planning and control

ISO 9001:2015, *Quality management systems — Requirements*

8.1 Operational planning and control

The organization shall plan, implement and control the processes (see [4.4](#)) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by:

- a) determining the requirements for the products and services;
- b) establishing criteria for:
 - 1) the processes;
 - 2) the acceptance of products and services;
- c) determining the resources needed to achieve conformity to the product and service requirements;
- d) implementing control of the processes in accordance with the criteria;
- e) determining, maintaining and retaining documented information to the extent necessary:
 - 1) to have confidence that the processes have been carried out as planned;
 - 2) to demonstrate the conformity of products and services to their requirements.

The output of this planning shall be suitable for the organization's operations.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall ensure that outsourced processes are controlled (see [8.4](#)).

Specifically, the organization shall ensure that outsourced electoral processes are controlled.

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

8.2 Requirements for products and services

8.2.1 Customer communication

ISO 9001:2015, *Quality management systems — Requirements*

8.2 Requirements for products and services

8.2.1 Customer communication

Communication with customers shall include:

- a) providing information relating to products and services;
- b) handling enquiries, contracts or orders, including changes;
- c) obtaining customer feedback relating to products and services, including customer complaints;
- d) handling or controlling customer property;
- e) establishing specific requirements for contingency actions, when relevant.

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

8.2.2 Determining the requirements for products and services

ISO 9001:2015, *Quality management systems — Requirements*

8.2.2 Determining the requirements for products and services

When determining the requirements for the products and services to be offered to customers, the organization shall ensure that:

- a) the requirements for the products and services are defined, including:
 - 1) any applicable statutory and regulatory requirements;
 - 2) those considered necessary by the organization;
- b) the organization can meet the claims for the products and services it offers.

There is no sector-specific guidance.

8.2.3 Review of the requirements for products and services

ISO 9001:2015, *Quality management systems — Requirements*

8.2.3 Review of the requirements for products and services

8.2.3.1 The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include:

- 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 the specified or intended use, when known;
- c) requirements specified by the organization;
- d) statutory and regulatory requirements applicable to the products and services;
- e) contract or order requirements differing from those previously expressed.

The organization shall ensure that contract or order requirements differing from those previously defined are resolved.

The customer's requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their 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.

8.2.3.2 The organization shall retain documented information, as applicable:

- a) the results of the review;
- b) on any new requirements for the products and services.

8.2.3.3 Records from requirements reviews shall include, in addition to the requirements of [7.5.4.1](#), the following:

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

8.2.4 Changes to requirements for products and services

ISO 9001:2015, *Quality management systems — Requirements*

8.2.4 Changes to requirements for products and services

The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

There is no sector-specific guidance.

8.3 Design and development of products and services

8.3.1 General

ISO 9001:2015, *Quality management systems — Requirements*

8.3 Design and development of products and services

8.3.1 General

The organization shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services.

There is no sector-specific guidance.

8.3.2 Design and development planning

ISO 9001:2015, *Quality management systems — Requirements*

8.3.2 Design and development planning

In determining the stages and controls for design and development, the organization shall consider:

- a) the nature, duration and complexity of the design and development activities;
- b) the required process stages, including applicable design and development reviews;
- c) the required design and development verification and validation activities;
- d) the responsibilities and authorities involved in the design and development process;
- e) the internal and external resource needs for the design and development of products and services;
- f) the need to control interfaces between persons involved in the design and development process;
- g) the need for involvement of customers and users in the design and development process;
- h) the requirements for subsequent provision of products and services;
- i) the level of control expected for the design and development process by customers and other relevant interested parties;
- j) the documented information needed to demonstrate that design and development requirements have been met.

[Figure 3](#) shows how the different stages of a design and development process interact with each other and can be used as a means to establish this process as part of the quality management system.

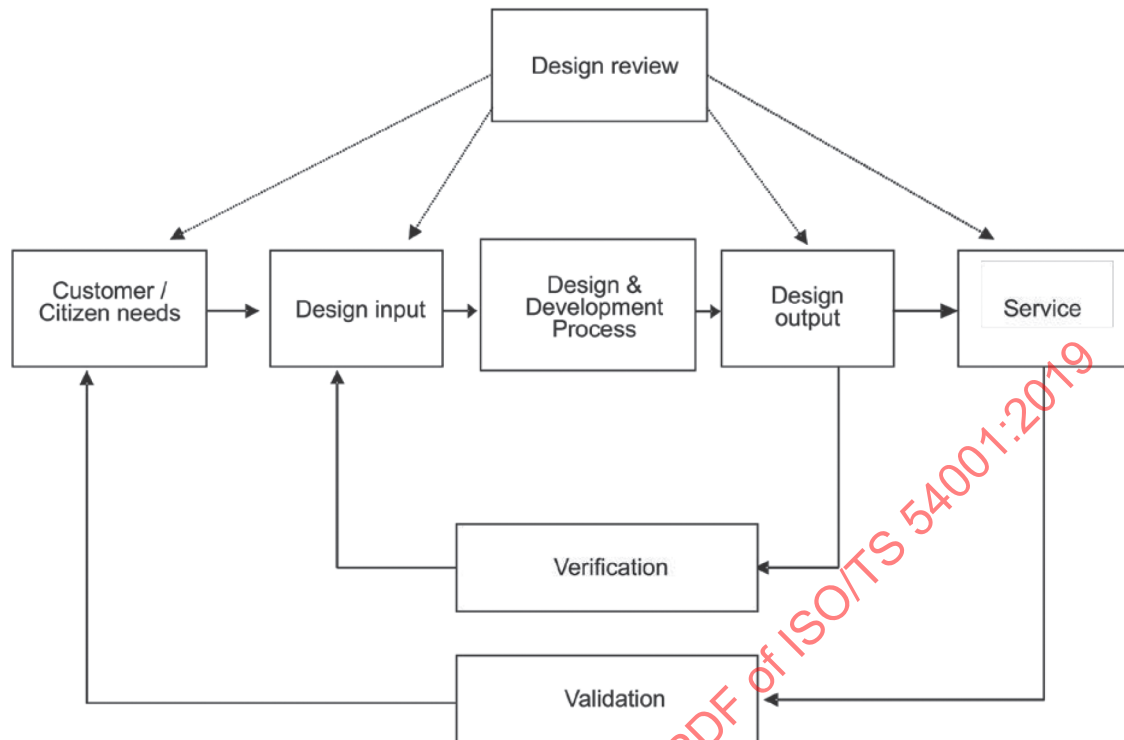


Figure 3 — Design and development process

The electoral body shall document design and development planning within an electoral service development plan (see 7.5.1) that specifies, in addition to the requirements of 7.5.2, the following:

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

8.3.3 Design and development inputs

ISO 9001:2015, *Quality management systems — Requirements*

8.3.3 Design and development inputs

The organization shall determine the requirements essential for the specific types of products and services to be designed and developed. The organization shall consider:

- a) functional and performance requirements;
- b) information derived from previous similar design and development activities;
- c) statutory and regulatory requirements;
- d) standards or codes of practice that the organization has committed to implement;
- e) potential consequences of failure due to the nature of the products and services.

Inputs shall be adequate for design and development purposes, complete and unambiguous.

Conflicting design and development inputs shall be resolved.

The organization shall retain documented information on design and development inputs.

There is no sector-specific guidance.

8.3.4 Design and development controls

ISO 9001:2015, *Quality management systems — Requirements*

8.3.4 Design and development controls

The organization shall apply controls to the design and development process to ensure that:

- a) the results to be achieved are defined;
- b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
- c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;
- d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
- e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities;
- f) documented information of these activities is retained.

NOTE Design and development reviews, verification and validation have distinct purposes. They can be conducted separately or in any combination, as is suitable for the products and services of the organization.

Records from design and development reviews shall include, in addition to the requirements of [7.5.4.1](#), the following:

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

Records of the results of verification shall include, in addition to the requirements of [7.5.6.1](#), the following:

- issues identified during verification;
- necessary actions taken to resolve verification issues.

8.3.5 Design and development outputs

ISO 9001:2015, *Quality management systems — Requirements*

8.3.3 Design and development outputs

The organization shall ensure that design and development outputs:

- a) meet the input requirements;
- b) are adequate for the subsequent processes for the provision of products and services;
- c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;
- d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

The organization shall retain documented information on design and development outputs.

There is no sector-specific guidance.

8.3.6 Design and development changes

ISO 9001:2015, *Quality management systems — Requirements*

8.3.6 Design and development changes

The organization shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements.

The organization shall retain documented information on:

- a) design and development changes;
- b) the results of reviews;
- c) the authorization of the changes;
- d) the actions taken to prevent adverse impacts.

There is no sector-specific guidance.

8.4 Control of externally provided processes, products and services

8.4.1 General

ISO 9001:2015, *Quality management systems — Requirements*

8.4 Control of externally provided processes, products and services

8.4.1 General

The organization shall ensure that externally provided processes, products and services conform to requirements.

The organization shall determine the controls to be applied to externally provided processes, products and services when:

- a) products and services from external providers are intended for incorporation into the organization's own products and services;
- b) products and services are provided directly to the customer(s) by external providers on behalf of the organization;
- c) a process, or part of a process, is provided by an external provider as a result of a decision by the organization.

The organization shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organization shall retain documented information of these activities and any necessary actions arising from the evaluations.

National laws can apply to the purchasing process.

8.4.2 Type and extent of control

ISO 9001:2015, *Quality management systems — Requirements*

8.4.2 Type and extent of control

The organization shall ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers.

The organization shall:

- a) ensure that externally provided processes remain within the control of its quality management system;
- b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c) take into consideration:
 - 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements;
 - 2) the effectiveness of the controls applied by the external provider;
- d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.

There is no sector-specific guidance.

8.4.3 Information for external providers

ISO 9001:2015, *Quality management systems — Requirements*

8.4.3 Information for external providers

The organization shall ensure the adequacy of requirements prior to their communication to the external provider.

The organization shall communicate to external providers its requirements for:

- a) the processes, products and services to be provided;
- b) the approval of:
 - 1) products and services;
 - 2) methods, processes and equipment;
 - 3) the release of products and services;
- c) competence, including any required qualification of persons;
- d) the external providers' interactions with the organization;
- e) control and monitoring of the external providers' performance to be applied by the organization;
- f) verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.

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

8.5 Production and service provision

8.5.1 Control of production and service provision

ISO 9001:2015, *Quality management systems — Requirements*

8.5 Production and service provision

8.5.1 Control of production and service provision

The organization shall implement production and service provision under controlled conditions.

Controlled conditions shall include, as applicable:

- a) the availability of documented information that defines:
 - 1) the characteristics of the products to be produced, the services to be provided, or the activities to be performed;
 - 2) the results to be achieved;
- b) the availability and use of suitable monitoring and measuring resources;
- c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;
- d) the use of suitable infrastructure and environment for the operation of processes;
- e) the appointment of competent persons, including any required qualification;
- f) the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;
- g) the implementation of actions to prevent human error;
- h) the implementation of 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 [7.5.1](#)).

Controlled conditions shall further include, as applicable:

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

8.5.2 Identification and traceability

ISO 9001:2015, *Quality management systems — Requirements*

8.5.2 Identification and traceability

The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services.

The organization shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.

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

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

8.5.3 Property belonging to customers or external providers

ISO 9001:2015, *Quality management systems — Requirements*

8.5.3 Property belonging to customers or external providers

The organization shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization.

The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.

When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.

NOTE A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.

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

8.5.4 Preservation

ISO 9001:2015, *Quality management systems — Requirements*

8.5.4 Preservation

The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

NOTE Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.

There is no sector-specific guidance.

8.5.5 Post-delivery activities

ISO 9001:2015, *Quality management systems — Requirements*

8.5.5 Post-delivery activities

The organization shall meet requirements for post-delivery activities associated with the products and services.

In determining the extent of post-delivery activities that are required, the organization shall consider:

- a) statutory and regulatory requirements;
- b) the potential undesired consequences associated with its products and services;
- c) the nature, use and intended lifetime of its products and services;
- d) customer requirements;
- e) customer feedback.

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

NOTE 2 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).

8.5.6 Control of changes

ISO 9001:2015, *Quality management systems — Requirements*

8.5.6 Control of changes

The organization shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.

The organization shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.

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

8.6 Release of products and services

ISO 9001:2015, *Quality management systems — Requirements*

8.6 Release of products and services

The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.

The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.

The organization shall retain documented information on the release of products and services. The documented information shall include:

- a) evidence of conformity with the acceptance criteria;
- b) traceability to the person(s) authorizing the release.

There is no sector-specific guidance.

8.7 Control of nonconforming outputs

ISO 9001:2015, *Quality management systems — Requirements*

8.7 Control of nonconforming outputs

8.7.1 The organization shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

The organization shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.

The organization shall deal with nonconforming outputs in one or more of the following ways:

- a) correction;
- b) segregation, containment, return or suspension of provision of products and services;
- c) informing the customer;
- d) obtaining authorization for acceptance under concession.

Conformity to the requirements shall be verified when nonconforming outputs are corrected.

8.7.2 The organization shall retain documented information that:

- a) describes the nonconformity;
- b) describes the actions taken;
- c) describes any concessions obtained;
- d) identifies the authority deciding the action in respect of the nonconformity.

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

- a) processes within the electoral service that do not meet requirements;
- b) voting equipment that does not meet verification criteria;
- c) electoral materials that do not conform to requirements or acceptance criteria;
- d) activities associated with the vote-casting electoral 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 nonconformities concerning the 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).

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

ISO 9001:2015, *Quality management systems — Requirements*

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

The organization shall determine:

- a) what needs to be monitored and measured;
- b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
- c) when the monitoring and measuring shall be performed;
- d) when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall evaluate the performance and the effectiveness of the quality management system.

The organization shall retain appropriate documented information as evidence of the results.

The electoral body shall apply suitable methods for monitoring and, where applicable, measurement of the electoral quality management system processes (see 4.3). These methods shall demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, correction and corrective action shall be taken as appropriate.

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

9.1.2 Customer satisfaction

ISO 9001:2015, *Quality management systems — Requirements*

9.1.2 Customer satisfaction

The organization shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled. The organization shall determine the methods for obtaining, monitoring and reviewing this information.

NOTE Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meetings with customers, market-share analysis, compliments, warranty claims and dealer reports.

NOTE 2 Monitoring electoral-client perception can also include obtaining information from voter opinion surveys, voter turnout rates and electoral-client complaints.

9.1.3 Analysis and evaluation

ISO 9001:2015, *Quality management systems — Requirements*

9.1.3 Analysis and evaluation

The organization shall analyse and evaluate appropriate data and information arising from monitoring and measurement.

The results of analysis shall be used to evaluate:

- a) conformity of products and services;
- b) the degree of customer satisfaction;
- c) the performance and effectiveness of the quality management system;
- d) if planning has been implemented effectively;
- e) the effectiveness of actions taken to address risks and opportunities;
- f) the performance of external providers;
- g) the need for improvements to the quality management system.

NOTE Methods to analyse data can include statistical techniques.

There is no sector-specific guidance.

9.2 Internal audit

ISO 9001:2015, *Quality management systems — Requirements*

9.1 Internal audit

9.2.1 The organization shall conduct internal audits at planned intervals to provide information on whether the quality management system:

- a) conforms to:
 - 1) the organization's own requirements for its quality management system;
 - 2) the requirements of this International Standard;
- b) is effectively implemented and maintained.

9.2.2 The organization shall:

- a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits;
- b) define the audit criteria and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant management;
- e) take appropriate correction and corrective actions without undue delay;
- f) retain documented information as evidence of the implementation of the audit programme and the audit results.

NOTE See ISO 19011 for guidance.

9.2.3 The electoral body shall conduct further 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 documentation) the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.

9.3 Management review

9.3.1 General

ISO 9001:2015, *Quality management systems — Requirements*

9.3 Management review

9.3.1 General

Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

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.