

EAC Voting System Conformity Assessment System



**Prepared to
The Election Assistance Commission
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Purpose of Presentation

This presentation discusses the elements common to conformity assessment systems and how the EAC may implement those elements in its system for certification and decertification of voting equipment.

Certification of a product is a means of providing assurance that it complies with specified standards and other normative documents.

Several types of certification systems exist and are under review for the EAC system:

- Some comprise type testing only***
- Other systems include initial testing and field surveillance***
- Still others include initial testing of a product and assessment of its suppliers' quality systems, followed by routine audits that take into account the factory quality system and the testing of samples from the factory and the open market.***

Components of a Certification System

- *Initial Type Testing*
- **Assessment of the Supplier's
Quality System**
- **Field Information & Feedback**
- **User Involvement**

Key Participants

- **EAC**
- **State certification authorities**
- **Testing Laboratories**
- **Vendors**
- **State & local election officials**

| National Program | State & Local Programs |
|--|---|
| <p><i>The primary concern of the EAC program is that the system design, as represented in the system submitted for testing, meets the requirements</i></p> | <p><i>The primary concern of the state and local election official is that the units delivered meet and continue to meet the requirements over their useful life.</i></p> |

Key Issues for Certification System

- *What is a minimal acceptable system?*
- *Are the testing lab/testers/lab assessors qualified?*
- *Will the vendor deliver units within manufacturing tolerances to those tested?*
- *How will the election officials know if non-compliant units are delivered and what corrective actions can it take?*
- *Will election officials and poll workers use the systems as intended?*

Processes

Processes are necessary to implement the components of a conformity assessment system for voting systems and to provide reasonable assurance that the key concerns of such a system are carefully addressed.

Processes

- **Technical Standard**
 - *Establish normative standard*
2002 VSS & EAC VVSG
 - *Refine and Keep standard current*
- **Laboratory Accreditation**
 - *NIST NVLAP Accredit to ISO 17025 to assure:*
 - *Technical competence*
 - *Management and quality process control*
 - *EAC Accredit as Voting System Test Laboratory*

Processes

- **Technical Reviewers**
 - *Review and give recommendations to EAC*
 - *TR's will have specialized qualifications for various topics*
 - *EAC will perform routine performance evaluations*
- **Product Evaluation**
 - *Test plan*
 - *Testing and test report*
 - *Witness testing will be part of the process*
 - *Test report review and system certification*

Processes

- **Vendor Registration**
 - *Review the vendor configuration control system*
 - *Review the vendor quality control system*

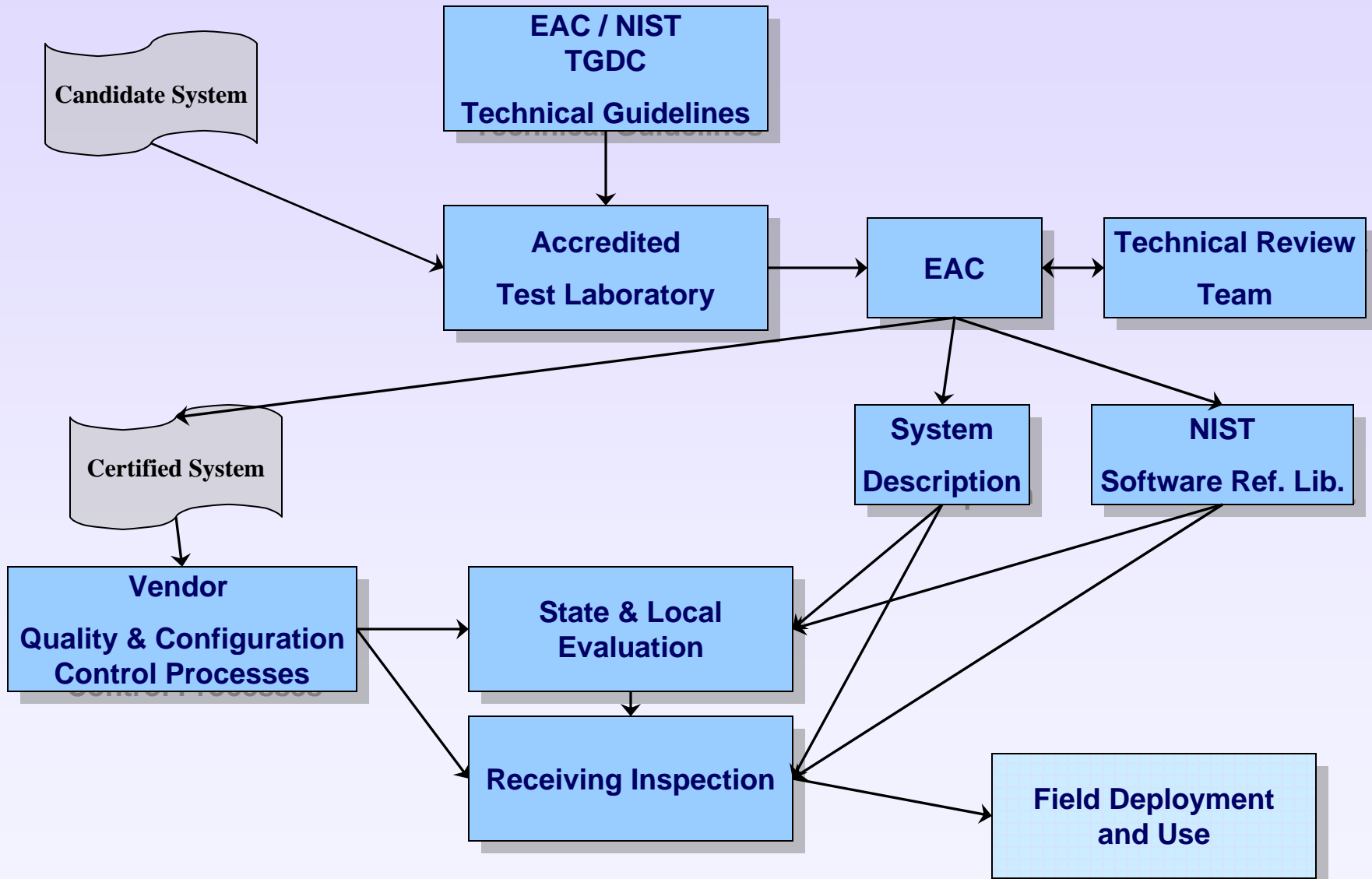
Processes

- **User Involvement**
 - *Communication to election officials & others*
 - *Feedback to guidelines, testing & review processes*
 - *Feedback to vendors and Voting System Test Laboratories*
- **Interpretations / Petitions / Appeals / Complaints**
 - *Processes for getting clarification or initiating change*
 - *These processes allow for participation by all parties*
- **Field Information & Feedback**
 - *Methods of data collection, investigation & analysis*
 - *Methods of response*

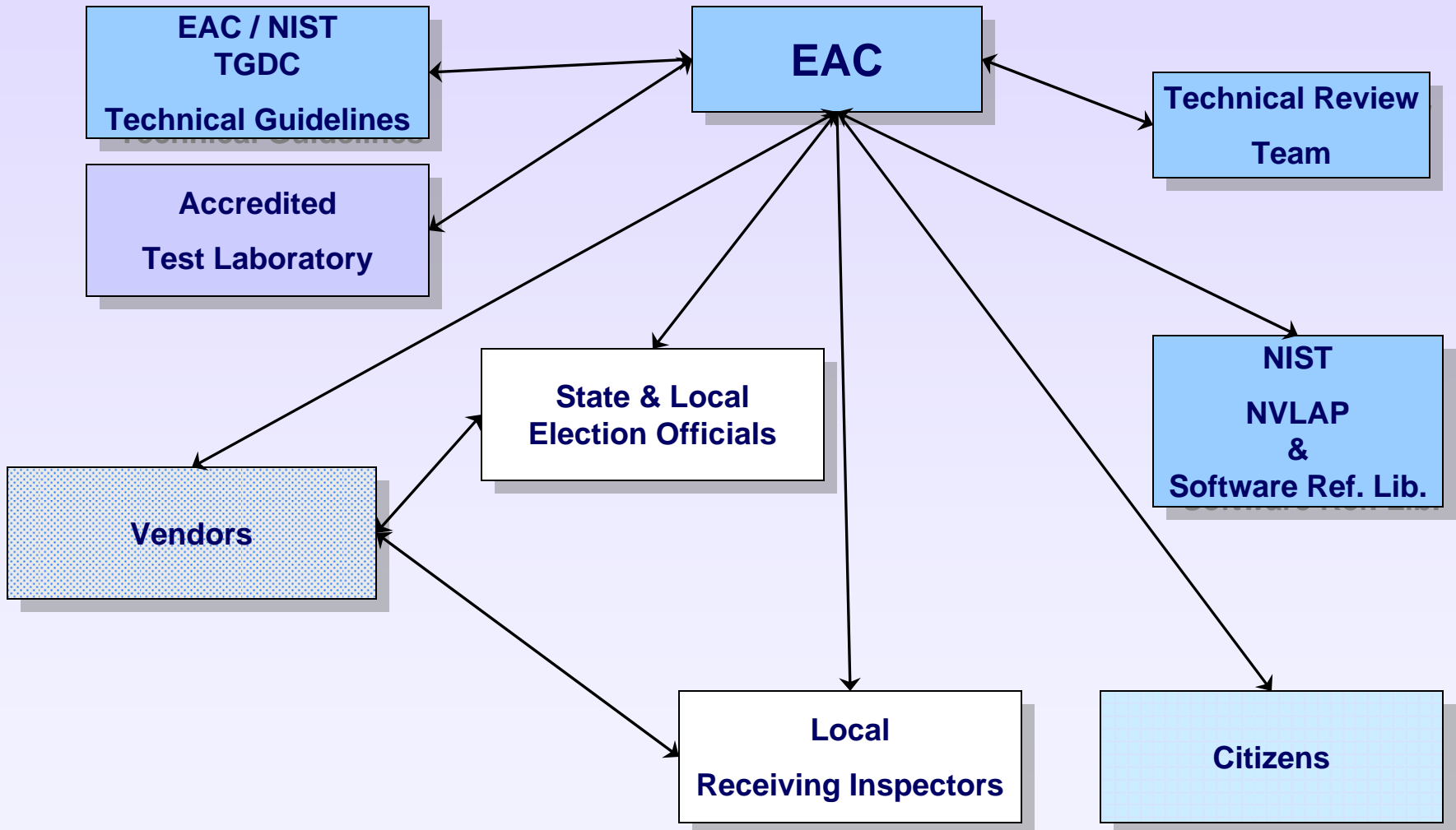
Processes

- **Product Evaluation**
 - *Test plan development*
 - *Testing and test report*
 - *Witness testing may be part of the process*
 - *Test report review and system certification*
- **Interpretations / Petitions / Appeals / Complaints**
 - *Processes for getting clarification or initiating change*

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Conclusion

A well constructed certification system provides satisfactory answers to central issues:

- What is a minimal acceptable system?*
- Are the testing lab/testers/lab assessors qualified?*
- Will the vendor deliver units within manufacturing tolerances to those tested?*
- Will the election officials know if non-compliant units are delivered and what actions can they take?*
- Will election officials and poll workers use the systems as intended?*