



INDEPENDENT ELECTION COMMISSION

AUDIT CHECKLIST DATA ENTRY PROCEDURES

2014 Presidential Run-off Elections

INTRODUCTION

The Independent Election Commission (IEC or “Commission”) held the second round of the presidential election on 14 June 2014, following the first round on 5 April 2014. Based on the IEC Decision 20-1393, the IEC initially audited 299 polling stations. Following concerns expressed by stakeholders about the possible level of fraud in the run-off election, the IEC conducted an additional audit of 1,930 polling stations in 30 provinces based on the criteria: those polling stations where the total votes were 599 or more. The preliminary results announced on 7 July reflected these audits.

On 12 July, both candidates agreed to a Technical Framework for the conduct of credible and comprehensive audit of 100 percent of all polling stations which equates to 22,828 polling stations and 8,109,493 ballots. The audit will be conducted at the IEC Headquarters in Kabul in the presence of candidate agents, Media, national and international observers, UN advisors, as well as representatives of the Independent Electoral Complaints Commission (IECC).

The data entry off audit checklists will commence in National Tally Center (NTC). In case of recounts, recount results forms will be entered as per established NTC procedures for tallying of the result forms.

This procedure is developed to guide the staff involved in the data entry of the audit checklists.

Objectives

The key objective of the data entry of checklist, and recounted results forms where applicable in the NTC is to consolidate the audit checklist accurately and transparently, provide accurate reports to IEC Board of commissioners and to ensure access to the NTC for political party/candidate agents, observers and the media.

Data Security and Integrity Measures

In order to ensure the integrity of the audit checklists all NTC staff will have restricted and limited access to the Audit Database (see annex 1. for process flow). Each user group will be able to perform their own allocated task only in the system (e.g. the data entry group users cannot perform verification group task and vice versa).

Data Entry workstations will only have limited authenticated access to the data entry database through software modules and all data entry/changes will be tracked for audit purposes.

All workstations will also have disabled CD Rom and USB drives in order to protect results data security and unauthorized distribution.

Routine data backups will be taken on a daily basis during data entry operations and backup data will be kept at three different safe locations, including locations external to the IEC HQ.

Structure and Staffing

The National Tally Center for data entry of audit checklist will be operational in one shift from 08:00 AM to 16:00 PM. The NTC staff will be composed of NTC data entry staff, IEC senior staff and UN Advisors who are responsible for data entry, data processing for multiple stations and management and supervisory of overall process (see annex 2. for staffing organogram):

1. **Audit Checklist Data Entry Management Team:** IEC Head of ICT Department, IEC Head of Legal Department and UN Advisor

2. **Audit Checklist Data Entry Technical Team:** IEC ICT Staff including UN Advisor- Programmer
3. **Intake Team:** Responsible for the intake of audit checklists
4. **Scanning Team:** Responsible for scanning of audit checklists
5. **Data Entry Team A:** Responsible for data entry of audit checklists
6. **Data Entry Team B (Double Blind Data Entry):** Responsible for data entry of audit checklists
7. **Checklist Review and Correction Team:** Responsible for correcting discrepancy between data entry A and B
8. **Verification Team:** Responsible for reviewing results forms if there is data inconsistency.
9. **Quality Assurance Team:** Senior IEC staff responsible for selecting appropriate fields in software where descriptive text available in the questions of the checklist (e.g. question # 15 voter list available YES/NO)
10. **Archive Team:** Responsible for the storage of Audit Checklist

Overview

Each Station will have a supervisor who will be responsible for receipt and transfer of checklist between stations. The Intake Station will be charged with ensuring that all material is properly received from the Audit Centers. The Scanning team will be responsible for scanning of the Audit Checklist for data entry. The Data Entry Station will be responsible for the data entry of the Audit Checklist into the Audit Checklists database using their user ID and passwords. In order to reduce the data entry errors to zero, a double blind data entry model will be used. The Checklist Review and Correction station will be tasked to review the forms and correct the errors in accordance with the of Audit Checklist sheet. The Verification station will be charged to review the Audit Checklists entered into the Audit Database against actual audit checklist forms. The Quality Assurance station will be charged of selecting appropriate field in the Audit Software where descriptive text exist in the questions of the audit checklist (e.g. question 15 of the audit checklist does voter lists exits YES/NO, is voter list all blank YES/NO etc..). Archive station will be tasked to securely store all the original contents of all Audit Checklists at the NTC (see annex 1. for process flow).

At the end of each day the NTC Technical Team will provide the NTC Management Team with a detailed report of the process. This progress report will contain details of discrepancies of entries between the first and second data entry process and the corrections made later during the form correction and review and quality control.

During operational hours the National Tally Center premises will be open to accredited political party/candidate agents, observers and the media. Prior to the commencement of the tally operation political party/candidate agents, observers and the media will be invited to the National Tally Center to be briefed on how the center will operate.

Data Entry Process Step by Step

All polling station audit checklists will be entered into the audit checklist database through a specially designed application, in order to ensure maximum accuracy will utilize blind data entry (where the same information will be entered by two separate data entry operators) and with additional steps for correction and verification. Each step of the process will be performed at a separate station with dedicated IEC HQ staff or data entry staff and supervisors (see annex 1 for process workflow). All data entry staff and

supervisors will be provided with user IDs and passwords with the appropriate set of permissions to access the Audit Database through appropriate software modules. All users of the audit processing system will have restricted access for the integrity and protection of the data (e.g. data entry A user will have access only for data entry module, verification user will have only access to verification module etc...).

Station 1: Intake

The Intake team will initially check that all substantial questions are answered in the audit checklist if not that audit checklist will be sent back to audit centers for review and decision. Intake team will attach sticker with same preprinted barcode number on all three pages of audit checklist and on recount results form if available. The Polling Station Code for the Audit Checklist will be recorded in the system and select appropriate field for the recount results form if a recount results form is available. The Intake Team supervisor later will collect together in the batches of 20 audit checklists sets (checklist, results forms, voter list and recount form in case if recount conducted), record in the system for electronic handover and physically place all batches in an envelopes for transfer for station 2.

Station 2: Scanning of Audit Checklist

The Supervisor of Scanning team will record in the system receipt of the batch and will distribute received batches of audit checklist to scanner operators. Operators will scan the audit checklist and recount results forms (in case if recount conducted) and upon completion of batch will be given back to the supervisor, who will record into the system and transfer the batch of audit checklists to station 3.

Station 3: Data Entry (A) of Audit Checklist

The Supervisor of Data Entry team will record in the system receipt of the batch and will distribute received batches to data entry operators. The data entry input screen will be similar to the Audit Checklist to expedite the data entry process. The Data Entry Operator (DEO) will enter all information, numbers, binary data (yes/no) and descriptive text from the checklist into the system, once the system accepts the entry of the checklist the DEO will take another checklist from the batch for data entry. Upon completion of batch of audit checklists will be given to supervisor, who will record into the system and transfer batch of checklists to station 4.

Station 4: Double Blind Data Entry (B)

In order to reduce the data entry errors to zero, a double blind data entry model will be used. Therefore, a double blind entry station DEO will be tasked to re-enter the checklists without descriptive text which have passed through the data entry stage (station 3) into the system. The process will be similar as described at Station 3 (without entry of descriptive text fields) and same data validity checks will be performed at the software level before saving the data into the system. The data will be saved as a check data (parallel) for that particular polling station for quality control purposes.

In order to ensure the check data entry is carried out blind of the first entry, supervisor for double blind data entry will ensure that audit checklist are randomly distributed to the double blind data entry operators.

Once the entry for the audit checklist is finalized, supervisor will record into the system and transfer batch of checklists to station 5.

Station 5: Checklist Review and Correction

At this stage the audit checklist software system will compare the numerical and binary data but not descriptive text entered at *Station 3* (Data Entry) and *Station 4* (double blind data entry) and **mark those entries which do not match**. The forms review and correction team will be tasked to review the forms and correct the errors in accordance with the original audit checklists. The DEO will choose from two options – either the first data entry or the double blind data entry. They cannot enter a new figure, but will compare the two entries with the original checklist and select the correct entry.

In cases where both entries are found to be incorrect, the DEO will enter into the system that the checklist has to go back to Station 3 - Data Entry. Appropriate indication in the software that a checklist needs to go back to section 3 will be made and placed back on the Section 3 - Data Entry input queue. The audit checklist will then again move through the process as already outlined above.

Once the review and correction for the audit checklist is finalized, supervisor will record into the system and transfer the batch of checklists to station 6 or if there is discrepancy will be sent to station 3.

Station 6: Verification of data entry of Audit Checklist

This station will be charged to review all audit checklist processed. **All entries in the database will be checked again against the original audit checklist**. In cases where the verification officer finds that there is a discrepancy between the data in the database and the original audit checklist, the verification officer will indicate in the software that the form has to go back to Station 3 - Data Entry for reprocessing. The audit checklist will then move through the process as already outlined above.

Once the verification of the audit checklist is finalized, supervisor will record for transfer batch of audit checklist to the station 7 or if there is discrepancy will be sent to station 3

Station 7: Quality Assurance

This station will be charged to review descriptive text in the specific questions of the audit checklist and select appropriate field in the software for analyses as following.

Question 2:

- a. Is ballot box is broken to the extent that a hand can be placed inside the box YES/NO

Question 13:

- a) Is there evidence of tampering with the results form YES/NO
- b) Is there evidence of tampering with the ballot bundles YES/NO
- c) Is there discrepancy between the result sheet in the ballot box and that from the National Tally Center YES/NO
- d) Is there discrepancy in the number of ballots per candidate (by counting the bundles) to the results sheet totals YES/NO

Question 15:

- a) Voter's list is missing YES/NO.
- b) Voters list is blank YES/NO.
- c) Are there 10 or more sequential voter ID numbers YES/NO.

- d) Records in journal; IEC staff lost control of sensitive election material YES/NO
- e) Records in journal; violence at polling stations YES/NO,
- f) Records in journal; threats of violence YES/NO.
- g) Is there 50% discrepancy between the number of voters on the results sheet and the number of voters on the voters' list

Question 16:

- a) Is this special case Ballot Box YES/NO

Additional comments

- 17 a) Abdullah Abdullah agents agreed on the checklist YES/NO
- 17 b) Ashraf Ghani agents agreed on the checklist YES/NO
- 17 c) UN advisor recommended YES/NO

Once the quality assurance of the audit checklist is finalized, supervisor will record into the system and transfer batch of checklists to station 8.

Station 8: Archive

At this station original Audit Checklist will be physically stored in safe storage together with the Voters List and recount results forms if recount commenced.

Audit Checklist Data Entry NTC Management Team:

The Audit Checklist Data Entry Systems at National Tally Center will produce audit reports which will be reviewed by the NTC Management Team before being provided to the IEC Board of Commissioners. They will also advise audit coordination committee if it appears additional investigations need to be carried out with regards to any Audit Checklist received, NTC Management team will be able to return any checklist for reentry in case of inaccuracy of entered data.

Party Agents/Observers

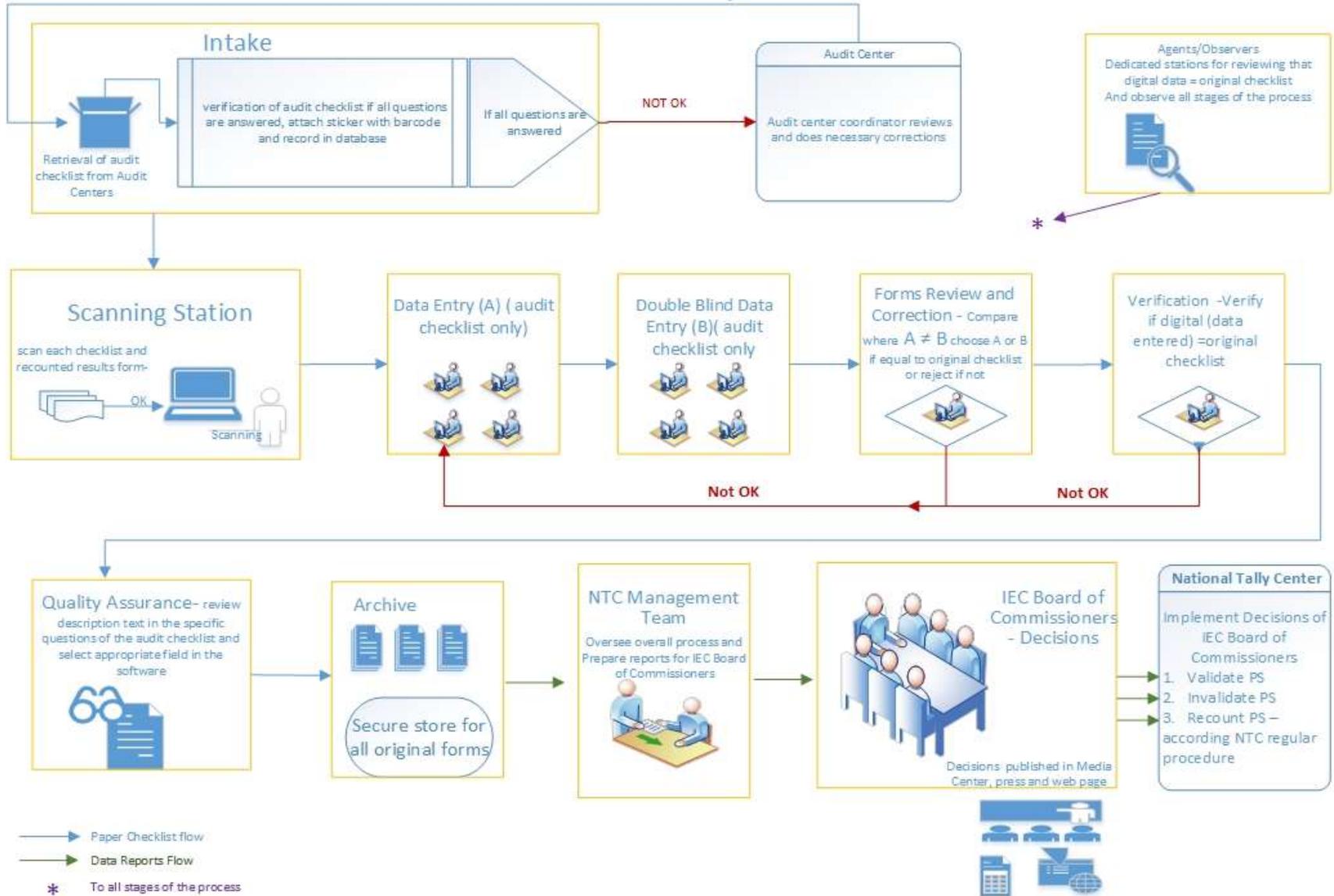
They will also have the same level of access as during the second round of the election results tabulation. IEC will also provide computer terminals with **read-only** access for party agents and observers so they can observe data entry of audit checklist into Audit Database in case they find discrepancy will note number of polling station and inform NTC management for action

Reports

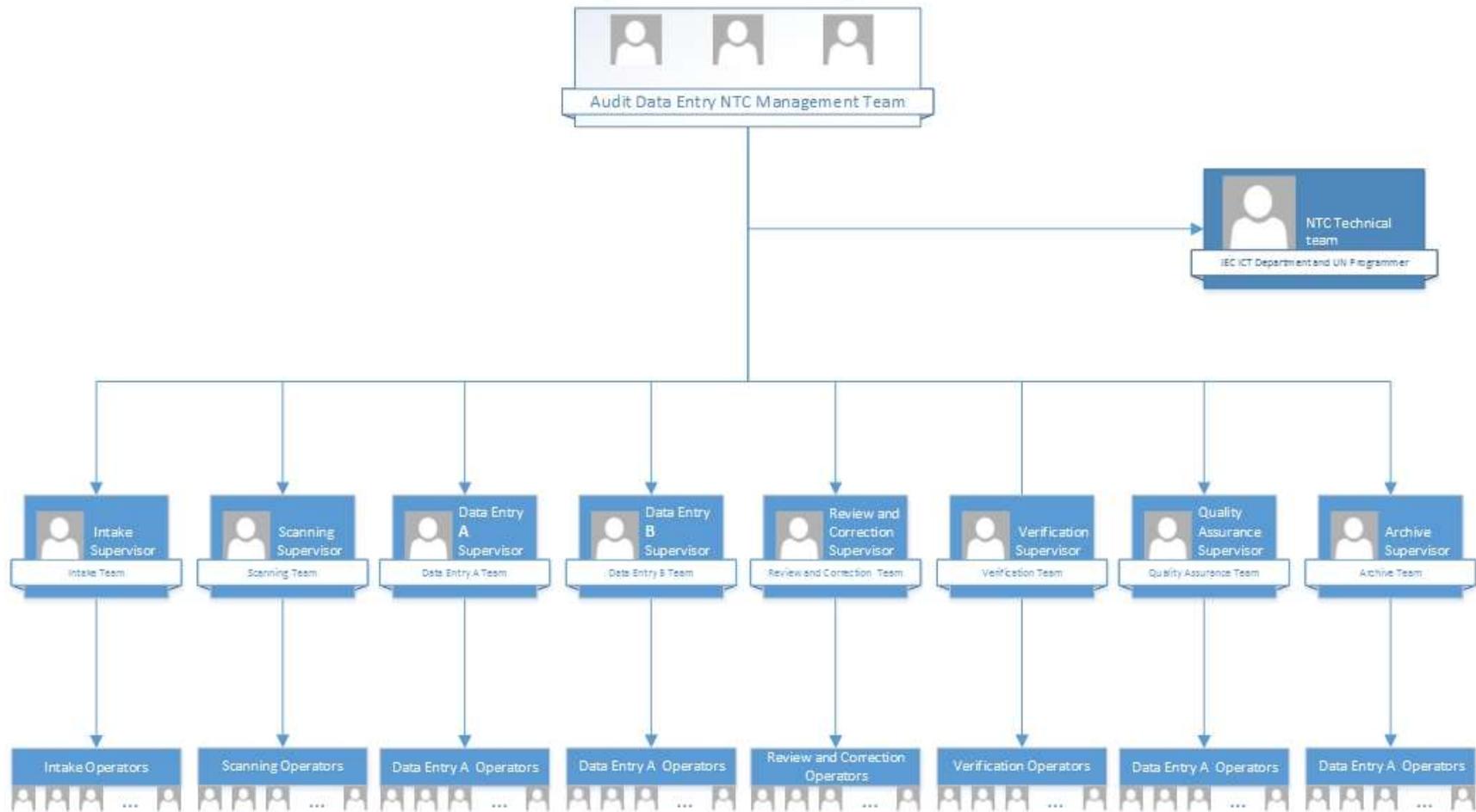
Audit Checklist Data Entry Management Team will provide reports to Audit Management Team as per Recount and Invalidation framework approved by IEC Board of Commissioners as well status reports on progress of audit.

Reports will be described in more details in the "Reporting and Adjudication Procedures"

AUDIT Checklist data Entry Process flow



Audit Data Entry at NTC - Staff Organizational Chart



Audit Checklist Data Entry / Tally Center Physical Layout

