



## Electronic Poll Book System

### Vendor Upgrade Report

KNOWiNK

PollPad 4.0.1

iOS 18.5/18.6/18.6.2

40 North Pearl Street, Suite 5

Albany, NY 12207-2729

September 5, 2025

**Version History**

*09.04.2025– Original Version drafted*

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**Appendix 1 – Election System Application:**

**Electronic Poll Book System Change Request**

## Update Description & Recommendation

Electronic Poll Book System (EPBS) vendor KNOWiNK expressed interest in submitting updated versions of their software and Apple's iPadOS software to be added to the list of approved configurations for use in New York State.

KNOWiNK submitted an Election System Application for a Change/Modification to ePoll Book System Approval (Appendix 1) to NYSBOE to include updates to:

- Software application:
  - Pollpad 4.0.1
  - iOS 18.5, 18.6, & 18.6.2
  - Pollsync

The hardware remains the same as previously approved configuration:

- Hardware:
  - 7<sup>th</sup> Generation iPad
  - 8<sup>th</sup> Generation iPad
  - 9<sup>th</sup> Generation iPad
  - 10<sup>th</sup> Generation iPad
  - 11<sup>th</sup> Generation iPad
  - Mac Mini desktop workstation

Due to the iOS requirements, 6<sup>th</sup> Generation iPads will no longer be supported on this app version.

The software updates were classified into the following issue types:

- Minor Bug Fixes – minor fixes to resolve bugs that affected NYS counties EPBs functionality specifically.
- Minor feature changes and implementation, designed to address needs for NYS KNOWiNK clients in New York State as well as needs found in other areas of the country.

In addition to functional and security testing, NYSBOE requested KNOWiNK to review and complete the following as part of the evaluation and approval process:

- EPBS Vendor Attestation (Appendix 2): vendor shall attest to the overall compliance and usability of the system.
- ePoll Book Requirements Update Attestation Spreadsheet (Appendix 3): vendor shall review each functional, challenge report and security requirements used in the EPBS approval process. If the proposed update/change to the EPBS will not change how the requirement

was implemented for the approved version, then the vendor shall attest to such fact. If the proposed update/change to the EPBS will change how the requirement was implemented for the approved version, then the vendor shall attest to such fact. For each change, the vendor shall provide a description of how they have met the requirement in the proposed update. The vendor will be required to provide updated Technical Data Package (TDP) documentation/narrative with associated artifacts that offers evidence of meeting the requirement.

- EPBS Vendor Operating System Update Attestation: vendor shall attest to the operating system does not cause or introduce any issues or problems with the EPBS configurations already evaluated and approved by the State Board and does not cause or introduce any issues or problems with the EPBS configurations under evaluation by the State Board.
- Risks associated with change: vendor shall provide risks associated with making and not making the proposed changes.

Staff from NYSBOE’s Secure Election Center (SEC) performed the following tasks:

- SEC performed non-authenticated vulnerability scanning of ePoll Book hardware devices, using a laptop connected to the Wi-Fi used by the ePoll Books.
- SEC captured (or “sniffed”) the traffic coming from the Wi-Fi devices to ensure it is not cleartext.
- SEC used Nessus and OWASP ZAP vulnerability scanners to scan the internet facing portal that the ePoll Books connect to.

Staff from NYSBOE’s Election Operations Unit (EOU) performed the following task:

- Reviewed the revised TDP information (Appendix 4)
- Functional testing to confirm that the update to the software performed as expected. Functional testing confirmed no apparent anomalies were introduced into the software and regression testing confirmed peer-to-peer connectivity and voter data check-in data was transmitted successfully between all the device types.

After completing its evaluation of the Pollpad version submitted by KNOWiNK as described in this document, the Election Operations Unit has determined that this system has shown compliance with all mandatory functional and security requirements through security testing, review of submitted documentation, attestations, and functional testing. Therefore, we are recommending the updated application version (4.0.1) submitted by KNOWiNK for approval.



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Albany, N.Y. 12207-2109

## Election System Application

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### Application Instructions

New York State Board of Elections Election System Application is for the following submission types:

- Voting System Certification
- ePoll Book System Approval
- Automated Audit Tool Authorization
- Change/Modification to Voting System Certification
- Change/Modification to ePoll Book System Approval
- Change/Modification to Automated Audit Tool Authorization

### Background:

Pursuant to New York State Election Law, Rules and Regulations, election system technologies must be examined by the New York State Board of Elections (NYSBOE) before any certifications, approvals or authorizations are granted by the Commissioners.

### Application Instructions:

Vendor applicants shall follow the instructions below for submission of an election system application. An application is considered complete only when all appropriate forms and supplemental materials are provided to the New York State Board of Elections (NYSBOE). Each section is considered mandatory unless otherwise indicated by specific system identification (e.g. (this section only used for Voting System Certification)).

**Section 1 – Submission Type:** select one of the six (6) allowable choices

**Section 2 – Description of System:** select the choice(s) that most accurately describe(s) the system being submitted

**Section 3 – Application Date:** enter the date application is submitted to NYSBOE

**Section 4 – System Name and Version:** enter the official name and version of the submitted system

**Section 5 – Vendor Details:** complete all fields

**Section 6 – General Information:** complete all fields and questions

**Section 7 – Representative Contacts:** complete all fields for Management Contact and Technical Contact

**Section 8 – Identification of System Components:** see detailed instructions provided on the application form

**Section 9 – EAC Certifications:** see detailed instructions provided on the application form (this section only used for Voting System Certifications/Automated Audit Tool Authorizations submissions)

**Section 10 – Support Languages:** select the language(s) your system supports

**Section 11 – Certification/Approval/Authorizations in Other States:** see detailed instructions provided on the application form

**Section 12 – Certification/Approval/Authorizations Revoked in Other States:** see detailed instructions provided on the application form

**Section 13 – Technical Data Package (TDP):** see detailed instructions provided on the application form

**Section 14 – Attestation and Signature:** application must be signed by applicant with binding authority

**Appendix 1 – Submission Checklist for Voting System Certification/Automated Audit Tool Authorization:**

Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task. (this section only used for Voting System Certifications/Automated Audit Tool Authorizations submissions – *\*Note the \$5,000 requirement is only for Voting System Certifications*)

**Appendix 2 – Submission checklist for Change Modification to a Certified Voting System/Authorized**

**Automated Audit Tool:** Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task. (this section only used for Voting System Certifications/Automated Audit Tool Authorizations submissions)

**Appendix 3 – Voting System/Automated Audit Tool Attestation:** attestation must be signed by applicant with binding authority (this section only used for Voting System Certifications/Automated Audit Tool Authorizations submissions)

**Appendix 4 – Submission Checklist for ePoll Book Systems Approval:** Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task. (this section only used for Electronic Poll Book Systems)

**Appendix 5 – Submission Checklist for Change/Modification to an Approved ePoll Book System:** Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task (this section only used for Electronic Poll Book Systems)

**Appendix 6 – ePoll Book Attestation:** attestation must be signed by applicant with binding authority (this section only used for Electronic Poll Book Systems)

**Appendix 7 – ePoll Book System Operating System Attestation:** attestation must be signed by applicant with binding authority (this section only used for Electronic Poll Book Systems submitting a change/modification)

**Appendix 8 – System Change Notes:** see detailed instructions provided on the application form in appendix 8

**Appendix 9 – Application Reference Information:** reference documentation for submissions

The application shall be submitted to the NYSBOE utilizing write-once media (CD-R or DVD-R) protected by a password. Password shall be communicated to NYSBOE using an out-of-band method (not with the CD-R/DVD-R). The application shall be in the root directory of the submitted write-once media. The technical data package (TDP) file(s) should be in a sub-directory named "Technical\_Data\_Package". All other required documentation or artifacts shall be placed in a sub-directory named accordingly to the submission type (e.g. ePoll Book Requirements Matrix).

Upon receipt of an application, the submitted documentation will undergo review by the NYSBOE. You will be contacted if any parts of the application are determined to be insufficient. If the submitted documentation is determined to be sufficient, you will be contacted by the NYSBOE to begin arrangements for the subsequent steps of the process. The NYSBOE reserves the right to determine the extent of testing necessary for evaluation and approval of any voting technology.

In addition, a hard copy of the application must be printed, signed and submitted with the electronic submission.

Submissions shall be sent to:

NEW YORK STATE BOARD OF ELECTIONS  
ATTN: ELECTION OPERATIONS UNIT  
40 NORTH PEARL STREET, SUITE 5  
ALBANY, NEW YORK 12207

Should you have any questions, please do not hesitate to contact the Election Operations Unit of the State Board of Elections at [Election\\_Ops@elections.ny.gov](mailto:Election_Ops@elections.ny.gov) or 518-473-5086



40 North Pearl Street, Suite 5  
Albany, N.Y. 12207-2109

## Election System Application

### 1 - Submission Type

Select One:

- Application for Voting System Certification  Change/Modification to Voting System Certification
- Application for ePoll Book System Approval  Change/Modification to ePoll Book System Approval
- Application for Automated Audit Tool Authorization  Change/Modification to Automated Audit Tool Authorization

### 2 - Description of System

Select all that apply:

- Direct Record Electronic (DRE)  Precinct (Optical Scan)  Central Count Absentee
- Ballot Marking Device (BMD)  Automated Audit Tool  ePoll Book System (EPBS)

### 3 - Application Date

Date the complete application is submitted to the New York State Board of Elections:

### 4 - System Name and Version

Official name and version of the submitted system:

### 5 - Vendor Applicant Details

Full Legal Name of Vendor:	KNOW iNK, LLC		
Contact Person:	Mitch Milleville		
Address of Company:	460 N Lindbergh Blvd., St. Louis, MO 63141		
Phone Number:	855-765-5723	Fax Number:	
E-Mail:	mitch@knowink.com	Cell Phone:	618-972-6338
Federal Tax ID Number:	45-4011089		

### 6 - General information

Do you own all rights to this equipment/system? Yes  No

If not, please explain:

Date when voting systems will be delivered to the New York State Board of Elections and Independent Testing Authority (ITA) for examination:

Type of business\organization:

- Corporation  Subchapter S Corporation  Privately held Corporation  LLC
- Partnership  Sole Proprietorship  Other

Date Established:

If a corporation, State of Incorporation:

- 1) Authorized to do business in NYS? Yes  No
- 2) Maintain an office in NYS? Yes  No
- 3) Independently owned? Yes  No

If not independently owned, name and address of parent company:

Are any electronic components of the system manufactured or assembled by another company? Yes  No

If "yes," name & address:

Apple Inc  
One Apple Park Way, Cupertino, CA 95014

## 7 - Representative Contacts

### Management

First Name:	Kevin	Last Name:	Schott
Title:	CFO		
Address:	460 N Lindbergh Blvd		
City:	St. Louis	State:	Missouri
Zip Code:	63141	Email:	kevin@knowink.com
Phone Number:	855-765-5723	Fax Number:	

### Technical

First Name:	Mitch	Last Name:	Milleville
Title:	Certification Mgr		
Address:	460 N Lindbergh Blvd		
City:	St. Louis	State:	MO
Zip Code:	63141	Email:	mitch@knowink.com
Phone Number:	855-765-5723	Fax Number:	

## 8 - Identification of System Components

**8a - Hardware Information** - Identify the following for each hardware component submitted:

- *Name (Model #)* - Provide the official name of the hardware component and, if applicable, the model number assigned to that hardware component.
- *Version* - Provide the exact version number of any firmware that runs on the hardware component. Software applications that run on a hardware component should be separately listed in the software section.
- *Type* - Indicate whether the hardware component is:
  - *New* - No version of the component has previously been certified or approved for use in New York State (NYS)
  - *Updated* - Other versions of the component have been previously been certified or approved for use in NYS
  - *No Change* - This exact version of the component has already been certified or approved for use in NYS
- *Description* - Provide a brief description of the hardware component. In addition, indicate whether the hardware component is third-party, Commercial Off The-Shelf (COTS) or vendor developed. If third-party or COTS developed, list the name of the company.
- Enter 'NA' if there are no hardware components submitted.

Name (Model #)	Version	Type	Description
See System Hardware Specifications in the TDP Submission			

**8b - Software Information** - Identify the following for each software component submitted:

- *Name* - Provide the official name of the software component.
- *Version* - Provide the exact version number of the software component. Software applications that run on a hardware component but are not firmware should be separately listed in this section.
- *Type* - Indicate whether the software component is:
  - *New* - No version of the component has previously been certified or approved for use in New York State (NYS)
  - *Updated* - Other versions of the component have been previously been certified or approved for use in NYS
  - *No Change* - This exact version of the component has already been certified or approved for use in NYS
- *Description* - Provide a brief description of the software component. In addition, indicate whether the software component is third-party, COTS or vendor developed. If third-party or COTS developed, list the name of the company.
  - Note: If the software is an election management system (EMS) with multiple modules or sub-components, list the overall system name and version number, then list each sub-component application in the lines immediately following, indicating each subcomponent in the "Name (Model #)" field.
- Enter 'NA' if there are no software components submitted.

Name (Model #)	Version	Type	Description
Pollpad	4.0.1	Updated	Pollpad Electronic Poll Book Application
iOS Firmware	18.5	Updated	iOS Operating System

**9 - Election Assistance Commission (EAC) Certifications**

The New York State Board of Elections (NYSBOE) will consider any EAC certification documentation as part of the review process. For EAC certified voting systems, provide all applicable federal qualification numbers for this system, the date qualified and all related certification documentation:

VEPBCR 1.0 - Poll Pad v.3.6  
 Poll Pad v.4.0.1 currently pending

**10 - Supported Languages**

If applicable, select all languages which will be accommodated by the system being submitted:

- English  Spanish  Chinese  Korean  Bengali

**11 - Certification/Approval/Authorization in Other States**

For each state where this exact version of the system is already certified, approved, authorized or application has been made provide the following information:

- (a) The name of the state.
- (b) The date on which the application for certification or approval of this exact system was first submitted to the state.
- (c) Current status of that application
  - Pending
  - Denied
  - Certified
  - Approved

- Authorized

(d) Provide the date the system was certified, approved, authorized or denied, otherwise, leave the field blank.

(e) If the status is denied, provide the reason given by the state for that denial.

(f) Provide the name, mailing address, telephone number and email address of the government employee in that state who is most knowledgeable about the actual testing and evaluation of the system.

(a) State	(b) Date submitted	(c) Status	(d) Date	(e) Reason for Denial (if applicable)	(f) State Contact Information (Mailing address, Telephone #, Email)
California	July 2020	Approved	October 2020		Rodney Rodriguez rrodriguez2@sos.ca.gov
Georgia	August 2020	Approved	August 2020		Michael Barnes mbarnes@sos.ga.gov
Illinois	May 2020	Approved	September 2020		Montney, Mike <MMontney@elections.il.gov>
Indiana	December 2019	Approved	February 2020		VSTOPvstop@bsu.edu
Ohio	Jan 2020	Approved	February 2020		Tlachac, Matthew <mtlachac@ohiosos.gov>
Pennsylvania	May 2020	Approved	September 2020		Ramachandran, Sindhu <sramachand@pa.gov>
Virginia	May 2020	Approved	May 2020		"Hoyt-Stewart, Karen" <karen.hoyt-stewart@elect

## 12 - Certification/Approval/Authorization Revoked in Other States

If state certification, approval or authorization has ever been revoked on any version of this system, identify all states in which certification, approval or authorization of any version or component of this system has been revoked or denied. If more than one version or component has been revoked or denied by a state, list each instance on a separate line. If necessary, either add additional lines to the table or list all additional instances in a separate and clearly identified document, providing the required information for each.

For each revocation or denial listed, provide the following information:

- The name of the state.
- The version of the system or component for which certification, approval or authorization was revoked or denied.
- The date on which that approval was revoked or denied.
- The reason given by the state for revoking or denying certification, approval or authorization.
- Identify the State employee who is most knowledgeable about the circumstances regarding that revocation or denial. For this person, provide the mailing address, telephone number and email address.

(a) State	(b) System Version	(c) Date Revoked	(d) Reason for Revocation	(e) State Contact Information (Mailing address, Telephone #, Email)
N/A				

## 13 – Technical Data Package (TDP)

Vendors must submit a complete Technical Data Package (TDP) with the submission of this application. The TDP shall include all of the items listed within this section according to application type. If the TDP is incomplete, or if the NYSBOE cannot clearly identify each of the items listed within this section, the entire application may be rejected or placed on hold until made satisfactory by the applicant.

All documents supplied must be current for the version for which certification or approval is being requested. Documents must be titled and submitted according to the subcategories and order outlined below. All documentation must be submitted in a directory titled "(System Name and Version) - Technical Data Package".

Information disclosed in this section is a matter of public record. The vendor shall provide, either at the time of submission or no later than the completion of testing by the NYSBOE, a list of system proprietary and non-proprietary documentation, consumables, extended warranties, services, and other such items. The NYSBOE considers all items to be considered public unless there is a valid reason as not to disclose (e.g. security). The vendor shall identify all documents, or portions of documents, which the vendor asserts contain proprietary information not approved for public release. The vendor cannot include blanket statements that describes all items are proprietary or confidential. or its designee shall agree to use any proprietary information contained therein solely for the purpose of analyzing and testing the software and shall refrain from disclosing proprietary information to any other person or agency without the prior written consent of the vendor or a court order.

The content of the TDP is intended to provide clear, complete descriptions of the following information about the system:

- Overall system design, including subsystems, modules and the interfaces among them;
- Specific functional capabilities provided by the system;
- Performance and design specifications;
- Design constraints, applicable standards, and compatibility requirements;
- Personnel, equipment, and facility requirements for system operation, maintenance, and logistical support;
- Vendor practices for assuring system quality during the system's development and subsequent maintenance; and
- Vendor practices for managing the configuration of the system during development and for modifications to the system throughout its life cycle.

At minimum, the TDP shall contain but not limited to the following required documentation. Check-off each document for confirmation of submission.

- System overview:** Provide information that identifies the functional and physical components of the system, how the components are structured, and the interfaces between them.
- System functionality description:** Provide the scope of the system's functional capabilities that will assist in establishing the performance, design, test, manufacture, and acceptance context for the system.
- System hardware specifications:** Provide detailed specifications of all hardware components required of the system.
- Software design and specifications:** Provide detailed specifications of all software components (non-COTS and COTS) required of the system. Provide documentation describing the logical design of the software. This documentation shall clearly indicate the various modules of the software, their functions, and their interrelationships with each other. This shall include the data format(s) for which the system can import and export. Provide detailed specifications of all included non-COTS software, firmware, and hardwired logic. In addition, provide precise identification of all included COTS software, firmware, and hardwired logic. This may include an overview, standards and conventions, the operating environment, functional and programming specifications, system databases, interfaces, etc.
- System test and verification specifications:** Provide plans, procedures, and data used during software development and system integration to verify system logic correctness, data quality, and security. The vendor shall also provide specifications for verification and validation of overall software performance.
- System security specifications:** Provide detailed descriptions of all system security specifications (design/interface specifications, security architecture, development environment specifications, security threat controls, security testing, vulnerability analysis documentation, etc.)
- User/system operations procedures:** Provide all information necessary for system use by all personnel who support all election activities, as applicable, about all system functions and operations identified. This may include operational environment and features, system installation and test specification, operating procedures, documentation for poll workers, operations support, transportation and storage, etc.
- System maintenance procedures:** Provide maintenance procedure information in enough detail to support election workers, information systems personnel, or maintenance personnel in the adjustment or removal and replacement of components or modules in the field.
- Personnel deployment and training requirements:** Provide details on the personnel resources and training required for a jurisdiction to operate and maintain the system.

- Configuration management plan:** Provide detail on the configuration management processes and procedures.
- Quality assurance program:** Provide detail on the quality assurance program processes and procedures for its initial development and release and for subsequent modifications and releases.
- Systems change notes:** If a revision of a previous system, supply detailed specifications of the changes. (see Appendix 8 below for minimum content required).

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## 14 – Attestation and Signature

Vendor representative signing the application certifies that the information contained in the application is true and accurate. The vendor representative must be a person legally authorized to sign and submit the application on behalf of the vendor organization.

*"I hereby certify that the information submitted on this form, as well as all attachments, attestations and submitted documentation is true, accurate and complete. I further certify that all hardware and software changes from previously certified, approved or authorized versions of system components have been clearly identified in the submitted detailed change notes. I certify that I am legally authorized to sign and submit this application on behalf of the vendor organization."*

6/26/25

Date



Signature of Vendor Representative

Mitch Milleville

Print Name

Certification Manager

Title

KNOW iNK

Company Name

## Appendix 1: Submission Checklist for Voting System Certification/Automated Audit Tool Authorization

Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task.

- Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority
- A check made payable to the State Board of Elections in the amount of \$5,000 to cover the cost of certification shall be deposited in a state special revenue account. Notice shall be provided to vendor when additional funds are required to be deposited ***\*see note from page 2 – voting system certification only***
- Vendor shall submit full face ballot with the application: for a DRE submit a screen shot showing the ballot layout; for op-scan submit a paper ballot
- Vendor shall submit a complete Technical Data Package (TDP)
- Vendor shall submit all attestations on their company letterhead. The attestations shall meet the following requirements of New York regulations: 6209.4(h)1-4, 6209.4(i) and 6209.5(g) (See Appendix 3)

## Appendix 2: Submission checklist for Change/Modification to a Certified Voting System/Authorized Automated Audit Tool

Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task.

- Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority
- Vendor shall submit detailed system change notes including but not limited to: Unique ID#, Type of Change (Cosmetic, Minor Bug Fixes, Major Bug Fixes, New Feature, Performance Enhancement), Description of Symptom/Issue, Version Discovered, Describe the Fix/Modification/Enhancement (See Appendix 8)
- Vendor shall provide detailed references to the specific sections of the documentation that are to be changed
- Vendor shall submit other information relevant to the evaluation of the system change, such as test documentation, and records of the system's performance history, failure analysis and corrective actions
- Vendor shall provide risks associated with making and not making the proposed changes
- Vendor shall submit a complete Technical Data Package (TDP)
- Vendor shall submit all attestations on their company letterhead. The attestations shall meet the following requirements of New York regulations: 6209.4(h)1-4, 6209.4(i) and 6209.5(g) (See Appendix 3)

## Appendix 4: Submission Checklist for ePoll Book Systems Approval

Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task.

- Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority
- Vendor shall submit a complete ePoll Book application checklist: used to confirm that all required items are included in the submission
- Vendor shall submit a complete ePoll Book Requirements matrix with the required documentation/narrative artifacts that provides evidence of meeting the requirement
- Vendor shall provide a complete and working iteration of their EBPS including, but not limited to:
  - o At least three (3) electronic poll book devices
  - o Any equipment, as defined in the configuration submitted, necessary to network the devices either together or to a backend software system
  - o URL and credentials to access any hosted or cloud-based backend software system configured to work with any hardware components submitted
- Vendor shall submit all attestations on their company letterhead

## Appendix 5: Submission Checklist for Change/Modification to an Approved ePoll Book System

Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections. Place a 'Check' to indicate completion of task.

- Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority
- Vendor shall submit detailed system change notes including but not limited to: Unique ID#, Type of Change (Cosmetic, Minor Bug Fixes, Major Bug Fixes, New Feature, Performance Enhancement), Description of Symptom/Issue, Version Discovered, Describe the Fix/Modification/Enhancement (See Appendix 8)
- Vendor shall provide detailed references to the specific sections of the documentation that are to be changed
- Vendor shall submit other information relevant to the evaluation of the system change, such as test documentation, and records of the system's performance history, failure analysis and corrective actions
- Vendor shall provide risks associated with making and not making the proposed changes on their company letterhead
- Vendor shall submit a completed ePoll Book Requirements Update Attestation Spreadsheet
- Vendor shall submit all attestations on their company letterhead
- Vendor shall submit any new hardware that is referenced in the application
- Vendor shall provide the new software that is referenced in the application by 1) remote installation or 2) secure file transfer

## **Appendix 2 – Electronic Poll Book System Vendor Attestation**

INNOVATIVE ELECTION SOLUTIONS

9/19/24

I hereby attest to the following:

That the submitted EPBS complies with all applicable requirements and standards adopted by the state board and is suitable for use by County Board of Elections.

That the submitted EPBS software does not contain any code, procedures or other material (including but not limited to 'viruses', 'worms', 'time bombs', and 'drop-dead' devices that may cause the EPBS to cease functioning at a future time), which may disable, damage, disarm or otherwise affect the proper operation of the EPBS, any hardware, or any system or other property of state board or county board.

That the implementation of the requirements identified as 'YES' in the 'Attestation Column' of the ePoll Book Requirements Update Attestation spreadsheet remain unchanged from all other configurations already evaluated and approved.

Vendor consents to vulnerability and penetration testing on their electronic poll book system as allowed by Public Law 105-304 - Digital Millennium Copyright Act, §1201(j) Security Testing.

All update submissions are subject to New York's Freedom of Information Law. It is the policy of the New York State Board of Elections, in relation to changes for approval of EPBS, that the State Board shall make available to the public all non-proprietary documentation submitted by the Vendor. The Vendor must designate those portions of the proposal that contain trade secrets or other proprietary data that must remain confidential. Blanket statements that either attempt to cover all information in a document, or which allows for a reactive assertion of exemption by the Vendor upon a future request for disclosure, will not be accepted.



Mitch Millville  
W iNK, LLC  
460 N Lindbergh Blvd., St. Louis, MO 63141

**Appendix 3 – EPBS Attestation Spreadsheet**

Vendor Instructions:

Electronic poll book system (EPBS) vendors are required to respond to each requirement which are presented in the following three tabs:

- Functional Requirements
- Challenge Report Requirements
- Security Requirements

If the proposed update/change to the Electronic Poll Book System (EPBS) will **NOT** change how the requirement was implemented for the approved version, then the vendor shall attest to such fact by typing '**YES**' in the attestation column.

If the proposed update/change to the Electronic Poll Book System (EPBS) will change how the requirement was implemented for the approved version, then the vendor shall attest to such fact by typing '**NO**' in the attestation column.

For each '**NO**' present in the 'Attestation' column, the vendor shall provide a description of how they have met the requirement in the proposed update. The vendor will be required to provide updated Technical Data Package (TDP) documentation/narrative with associated artifacts that offers evidence of meeting the requirement. Example artifacts include but are not limited to screenshots, logs, etc. that will be used in determining requirement compliance. When making references to documentation, the **reference shall state the specific sections and pages** where the requirement is met.

Term	Definition
<b>Electronic poll book system (EPBS)</b>	Includes all software (e.g. operating systems, vendor applications, etc.) and connected hardware (e.g. electronic poll books, laptops, and peripherals including scanners, printers, signature pads, routers, servers, removable media devices, chargers, batteries, etc.) configured to support the creation of Computer Generated Registration List of voters for use during elections.
<b>Electronic poll book system - Poll Site (EPBS-PS)</b>	The parts of the electronic poll book system to be used at the poll site (EPBS-PS).

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Attestation	Vendor Attestation Response 'NO' Provide a description of how you have met the requirement in the proposed update/change. For documentation, provide the Name and Location (Section and Page Number) where requirement is met.
F-1	The parts of the electronic poll book system to be used at the poll site (EPBS-PS) shall have the capability to be labelled, locked and sealed in carrying cases with tamper-evident security seals when transported to and from the county board of elections.	Mandatory	Security	§4-134(2)	Yes	
F-2	The EPBS-PS shall have the capability to be labelled, locked and sealed in carrying cases with tamper-evident security seals when not in use at the poll site.	Mandatory	Security	§4-134(2)	Yes	
F-3	The EPBS-PS shall support a dual authentication feature where the coordinated action of (2) election inspectors who are not members of the same political party is required to enable use of the electronic poll books when poll sites open.	Mandatory	Security	§8-202	Yes	
F-4	The EPBS-PS shall display the date of the election being conducted on each screen.	Mandatory	Functional	§6212.9	Yes	
F-5	The EPBS-PS shall be capable of utilizing an "appropriate marking device" to capture the signature as signed by the registered voter.	Mandatory	Functional	§4-128(1), §4-132(c)	Yes	
F-6	The EPBS-PS shall conceal the voter's facsimile signature until after the voter has completed signing their signature, at which point both signatures will be displayed for inspector comparison.	Mandatory	Functional	§8-304(3)	Yes	
F-7	The EPBS-PS shall have the ability to display an electronic list of voters in alphabetical order for a: - single election district or - poll site.	Mandatory	Functional	§1-104(38)	Yes	
F-8	The EPBS electronic list of voters shall be generated from a computer registration file for each election.	Mandatory	Functional	§1-104(38)	Yes	
F-9	When used at a primary election, the EPBS-PS shall have the ability to display the names of the voters enrolled in a particular political party.	Mandatory	Functional	§5-506(3)(c)	Yes	

<p>F-10</p> <p>The EPBS shall display, for each voter record, at least the following:</p> <ul style="list-style-type: none"> <li>- County Voter ID</li> <li>- Name</li> <li>- Street Address</li> <li>- Town, City or Ward</li> <li>- Election District</li> <li>- Assembly District, where appropriate</li> <li>- Date of Birth</li> <li>- Date of Registration (Month/Day/Year)</li> <li>- Party enrollment</li> <li>- Facsimile of the voter's signature or an indication that the voter is unable to sign his/her name</li> <li>- A notation indicating if the voter's identity was not yet verified as required by the federal Help America Vote Act.</li> </ul>	Mandatory	Functional	<p>§5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)</p>	Yes	
<p>F-11</p> <p>The EPBS-PS shall include for each voter listed the following:</p> <ul style="list-style-type: none"> <li>- Place where a voter can sign his/her name or where it can be indicated by the inspectors that a voter is unable to sign his/her name</li> <li>- For voters requiring assistance, a place to enter the name of each officer or person rendering such assistance</li> <li>- Place for inspectors to record the number appearing on the stub of any election day paper ballot given to the voter, or other information to allow for ballot reconciliation</li> <li>- Place for inspectors to sign their names or initials after satisfaction of signature comparison and by comparison of his/her appearance with the descriptive material in the poll record</li> <li>- Place for inspectors to indicate that a voter has produced one of the required types of identification if ID has not been verified.</li> </ul>	Mandatory	Functional	<p>§5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)</p>	Yes	
<p>F-12</p> <p>For voters requiring assistance, the EPBS-PS should display the assistance oath.</p>	Optional	Functional	<p>§8-306(5)</p>	Yes	
<p>F-13</p> <p>For the canvass of absentee, military or special ballots, or ballots cast by voters with registration poll records missing, or for voters that have not had their identity previously verified or who have moved after registering, the EPBS shall provide an ability for the inspectors to place their initials in a space provided if the person is found to be registered and signatures are found to correspond.</p>	Optional	Functional	<p>§9-209(2)(a)(i)(C)</p>	Yes	

F-14	For voters described in F-13, the EPBS shall provide an ability for the inspectors to record information including but not limited to the following items: - absentee vote, - military vote, - year of election, - month of election	Optional	Functional	§9-209(2)(a)(i)(D)	Yes	
F-15	The EPBS-PS shall enable a poll worker to search for a voter's record. Search criteria must include either a complete or partial match to one or more of the following: - Last Name - First Name - Date of Birth - Address	Mandatory	Functional	§8-302	Yes	
F-16	For primary elections, the search criteria should include all items from F-15, as well as Party Enrollment.	Optional	Functional	§8-302	Yes	
F-17	The EPBS-PS shall have the ability to display the names of special federal voters separate and apart from other voters contained in the list.	Mandatory	Functional	§11-206	Yes	
F-18	The EPBS-PS may provide a street finder or other tool that would enable election inspectors and/or poll site coordinators to determine the correct election district and polling place for a voter who is in an incorrect poll site.	Optional	Functional	§8-302	Yes	
F-19	The EPBS shall indicate whether a voter has already cast a ballot.	Mandatory	Functional		Yes	
F-20	In addition to alphabetical order, the EPBS-PS should be configurable to provide a list of voters in some other order defined by an administrative user.	Optional	Functional		Yes	
F-21	The vendor shall describe how their EPBS shall be configurable to allow for the importing of voter registration data from voter registration systems in use by a County Board of Elections in New York State.	Mandatory	Functional		Yes	
F-22	The EPBS shall provide the ability for county board of elections staff to verify the import of any and all data previously exported from the county board's voter registration system (voter records, poll site files, etc.).	Mandatory	Functional		Yes	
F-23	The EPBS shall be configurable to allow for the exporting of election data (both early and election day) in a format that can be imported into any voter registration system in use by a County Board of Elections in New York State.	Mandatory	Functional		Yes	

F-24	The EPBS shall be capable of exporting voter history in a format that can be used to transfer such information into any voter registration system in use by a County Board of Elections in New York State.	Mandatory	Functional		Yes	
F-25	The vendor shall describe the process by which maintenance and diagnostic activities of EPBSs, when performed by an entity other than a CBOE, is coordinated with a CBOE, and what allowances the CBOE has to monitor and control these activities.	Mandatory	Functional		Yes	
F-26	The EPBS shall have the ability to export any voter signature captured by a EPBS-PS in a well established, non-proprietary format.	Mandatory	Functional		Yes	
F-27	The EPBS must guarantee that a voter can be checked in at most once during normal connectivity.	Mandatory	Functional		Yes	
F-28	The EPBS shall identify voters that have been checked in at two or more different electronic poll books.	Mandatory	Functional		Yes	
F-29	In the event of a temporary interruption of connectivity within an EPBS, the EPBS-PS must permit the continuation of the voter check-in process.	Mandatory	Functional		Yes	
F-30	In the event of a temporary interruption of connectivity within an EPBS, the EPBS must automatically restore voter list consistency across the EPBS-PS after connectivity is restored.	Mandatory	Functional		Yes	
F-31	In the event of a temporary interruption of connectivity within an EPBS, the EPBS must indicate that there has been an interruption of connectivity by entering relevant event information into the audit log.	Mandatory	Functional		Yes	
F-32	The vendor shall describe the process by which they will develop and provide training options and materials to each County Board of Elections under contract which will allow CBOE staff and polling inspectors to be trained in the use of the EPBS/EPBS-PS, where appropriate.	Mandatory	Training		Yes	

F-33	The vendor shall provide help-desk support to each County Board of Elections under contract and describe the following: - Help-desk ticket submission process - Help-desk ticket response time standards (follow-up and resolution). - Help-desk ticket escalation and resolution model - Help-desk ticket status reporting - Schedule of Help-desk hours of operation and availability (at minimum help-desk support must be provided from 9:00 a.m. to 5:00 p.m. – Eastern Time – Monday to Friday.	Mandatory	Technical Support		Yes	
F-34	The vendor shall provide enhanced help desk services to support CBOE during the following peak timeframes: - For the period of Early Voting Day 1 to Early Voting Day 9, telephone support shall be provided between the hours of 5:00 am and 10:00 pm Eastern Time. - For the period including Election Day minus 1, Election Day and Election Day plus 1, telephone support must be available during this entire 72-hour period. - For the post election period, which is defined as Election Day plus 1 through Election Day plus 15, phone support shall be provided by the vendor, on each of said days, between the hours of 7:00 am until 7:00 pm, EST.	Mandatory	Technical Support		Yes	
F-35	The EPBS shall have the ability to generate reports based on any defined data fields.	Mandatory	Reporting		Yes	
F-36	Vendor shall provide a list of data fields which the EPBS is capable of generating a bar code for in a report.	Mandatory	Reporting		Yes	
F-37	The EPBS should allow authorized users the capability to create, modify and save custom reports and queries.	Optional	Reporting		Yes	
F-38	The EPBS shall generate reports in a well established, non-proprietary format including, but not limited to, one of the following: - Hypertext Markup Language (.html) - Microsoft Excel (.xlsx) - Microsoft Excel (.csv) - Adobe Acrobat Portable Document Format (.pdf) - Microsoft Word (.docx) - Rich Text Format (.rtf)	Mandatory	Reporting		Yes	
F-39	The EPBS should allow authorized users to select from a list of available report templates and enter report criteria prior to generating the report.	Optional	Reporting		Yes	

F-40	The EPBS shall allow authorized users to view reports before saving or printing them.	Mandatory	Reporting		Yes	
F-41	The EPBS should allow including the name of the report, the date generated, and the page number on each page of a report.	Optional	Reporting		Yes	
F-42	The vendor shall describe the required electrical supply specifications for the EPBS-PS in polling places.	Mandatory	Power/Battery		Yes	
F-43	The vendor shall describe the EPBS-PS battery specification including but not limited to: - Hours of continual use by inspectors - Hours of stand-by (when not being used to check in a voter)	Mandatory	Power/Battery		Yes	
F-44	The vendor shall describe how to: - Charge the EPBS-PS battery before deployment to a poll site - Charge the EPBS-PS battery at the poll site both during voting hours and when the polls are closed (include specification on power plug length)	Mandatory	Power/Battery		Yes	
F-45	The vendor shall describe how the EPBS-PS retains its data when power to the device is exhausted.	Mandatory	Power/Battery		Yes	
F-46	In the event of a temporary loss of power, the EPBS-PS must permit a voter to check-in. The electronic poll book system's battery supply must allow for at least two (2) hours of operation without external power supply.	Mandatory	Power/Battery		Yes	
F-47	The EPBS-PS shall be configured in such a way that the operator is provided with a continuous visual indication of whether the device is operating on battery or AC power and, if the former, a visual indication of how much battery power remains.	Mandatory	Power/Battery		Yes	
F-48	The EPBS-PS shall be capable of automatically switching to a backup power source (e.g. battery) and not interrupt the operation or integrity of the data.	Mandatory	Power/Battery		Yes	
F-49	The EPBS shall concurrently support all connected devices from all poll site locations within the county.	Mandatory	Non-Functional		Yes	
F-50	The vendor shall attest that they will have the ability to deliver the contracted number of EPBS-PS. If the vendor contracts with all CBOE, the estimated number is between 18,000 and 20,000 EPBS-PS.	Mandatory	Non-Functional		Yes	

F-51	As of the date of the vendor's application for approval of the EPBS by the NYSBOE, the vendor must provide a complete and working iteration of their EPBS to NYSBOE including, but not limited to: - At least three (3) EPBS-PS devices - Any equipment, as defined in the configuration submitted, necessary to network the devices either together or to a backend software system - URL and credentials to access any hosted or cloud-based backend software system configured to work with any hardware components submitted	Mandatory	Non-Functional		Yes	
F-52	The vendor must provide a list of customers who are using, or have previously used, the vendor's EPBS. This list must be current as of the date of the vendor's application for approval of the EPBS by NYSBOE.	Mandatory	Non-Functional		Yes	
F-53	The vendor must provide a description of any known anomalies in the function of the EPBS as well as a description of the method for resolving those anomalies. This list must be current as of the date of the vendor's application for approval of the EPBS by NYSBOE.	Mandatory	Non-Functional		Yes	
F-54	The vendor shall provide instructions and materials sufficient for the CBOE to carry out a pre-election test of the EPBS (including EPBS-PS) to verify the integrity of the system components before their use in an election.	Mandatory	Non-Functional		Yes	
F-55	The EPBS shall provide means for the integration of an additional EPBS-PS into its configuration at any point throughout the election without requiring a shutdown or a restart of the EPBS. This system event must be documented in the audit log.	Mandatory	Technical		Yes	
F-56	The EPBS shall provide means for the exclusion of an existing EPBS-PS from its configuration at any point throughout the election without requiring a shutdown, or restart of the EPBS. This action does not require physical access to the EPBS-PS that is to be excluded. This system event must be documented in the audit log.	Mandatory	Technical		Yes	
F-57	Each EPBS-PS within an EPBS configuration must have a unique identifier. Any component within an EPBS configuration must be able to uniquely identify said EPBS-PS by its identifier.	Mandatory	Technical		Yes	
F-58	The EPBS must be designed to tolerate any single point of failure scenarios.	Mandatory	Technical		Yes	

F-59	The EPBS-PS shall have the capability to display a prompt or warning if an individual cannot be found in the list of voters during the check in process.	Mandatory	Functional		Yes	
F-60	An EPBS-PS must provide a user interface through which authorized users can verify an individual's voting eligibility and document the voter's election related activity.	Mandatory	User Interface		Yes	
F-61	The EPBS-PS should provide election inspectors with access to on-screen support, configurable by administrative users and relevant to the action being executed at a given time.	Optional	User Interface		Yes	
F-62	The EPBS must provide a user interface through which authorized users can configure the system. This includes the initial setup of the system, reconfiguration, viewing the current configuration, as well as adding or removing an EPBS-PS device.	Mandatory	User Interface		Yes	
F-63	The EPBS must provide a user interface through which authorized users can manage user accounts. This includes adding and disabling and managing their access privileges.	Mandatory	User Interface		Yes	
F-64	The EPBS-PS may include a bar code reader.	Optional	Barcode		Yes	
F-65	The EPBS-PS should display a voter's record based on the processing of information contained within a bar code when scanned by a bar code reader.	Optional	Barcode		Yes	
F-66	The vendor shall describe how their EPBS supports existing Section 203 Language Provisions of the Voting Rights Act and the ability to add languages if designated by the Director of Census.	Mandatory	Functional		Yes	
F-67	The vendor shall describe how their EPBS provides accessibility functionality for voters with disabilities (e.g. high contrast, large font or audio).	Mandatory	Functional		Yes	
F-68	The EPBS should be capable of importing ballot schema that will enable the printing of a receipt with the voter's ballot style or be used in conjunction with a ballot on demand printer solution.	Optional	Functional		Yes	
F-69	Vendor shall provide the results and supporting documentation related to any 3rd party or internal usability testing performed on the EPBS. Supporting documentation shall include, but not be limited to, test plans, test cases and results from all usability testing that was conducted.	Mandatory	Functional		Yes	

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Attestation	Vendor Attestation Response 'NO' Provide a description of how you have met the requirement in the proposed update/change. For documentation, provide the Name and Location (Section and Page Number) where requirement is met.
CR-1	<p>County Board of Elections are required to complete a challenge report based on the criteria set forth in New York State Election Law §8-508. Challenge report; preparation.</p> <p>The vendor shall describe if and how their solution implements the requirements for each section of the challenge report. If the vendor's solution does not meet the challenge report requirements, the vendor shall document 'solution does not implement this functionality' in their response. Please see attached appendices required to complete the challenge process (Challenge Report, Challenge Report Inspector Certification, Challenge Poll Site Oaths)</p>	Mandatory	Functional	§8-508	Yes	
CR-2	<p>Section One – change of name or address The EPBS-PS may provide inspectors of election the ability to enter the name, address and registration serial number of each person who claims a change in name, or a change of address within the election district, together with the new name or address of each such person. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section one' or provide a separate section for the inspectors of election to enter such information in the EPBS-PS.</p>	Optional	Functional	§8-508	Yes	
CR-3	<p>Section Two – voters challenged The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each person who is challenged on the day of election, together with the reason for the challenge. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section two' or provide a separate section for the inspectors to enter such information in the EPBS-PS. If no voters are challenged, the EPBS-PS shall provide inspectors the ability to enter the words "No Challenges" in the space reserved for such names in the EPBS-PS.</p>	Optional	Functional	§8-508	Yes	

CR-4	<p>Section Three – voters requiring assistance and who assisted</p> <p>The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each voter given assistance, together with the reason the voter was allowed assistance, the name of the person giving such assistance and his address if not an inspector. The EPBS-PS may provide a place next to the voter’s name for the inspectors to record the information required to be entered in such ‘section three’ or provide a place for the inspectors to enter such information in the EPBS-PS. If no voters are given assistance, the EPBS-PS shall provide inspectors the ability to enter the words “No Assistance” in the space reserved for such names in the EPBS-PS.</p>	Optional	Functional	§8-508	Yes
CR-5	<p>Section Four – voters pursuant to court order or affidavit</p> <p>The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each person who was permitted to vote pursuant to a court order, or to vote on a paper ballot which was inserted in an affidavit envelope. The EPBS-PS may provide a place in the voter’s record for the inspectors to record the information required to be entered in such ‘section four’ or provide a place for the inspectors to enter such information in the EPBS-PS. If there are no such names, the EPBS-PS shall provide inspectors the ability to enter the word “None” in the space provided for such names in the EPBS-PS.</p>	Optional	Functional	§8-508	Yes

CR-6	<p>The EPBS-PS may be capable of printing a challenge report which contains the names of:</p> <ul style="list-style-type: none"> <li>- All persons who were reported a name or address change (section 1);</li> <li>- All persons who were challenged on the day of election, and that each voter so reported as having been challenged took the oaths as required (section 2);</li> <li>- All voters to whom such board gave or allowed assistance and lists the nature of the disability which required such assistance to be given and the names and family relationship, if any, to the voter of the persons by whom such assistance was rendered; that each such assisted voter informed such board under oath that he required such assistance and that each person rendering such assistance took the required oath (section 3);</li> <li>- All voters who were permitted to vote although their registration poll records were missing (affidavit ballots / court orders) (section 4)</li> </ul>	Optional	Functional	\$8-508	Yes	
CR-7	<p>The EPBS-PS may be capable of printing a certification at the end of the challenge report stating that the entries made are a true and accurate record of its proceedings with respect to the persons named in such report.</p>	Optional	Functional	\$8-508	Yes	
CR-8	<p>The EPBS-PS may be capable of printing additional information on the challenge report including but not limited to:</p> <ul style="list-style-type: none"> <li>- City / town</li> <li>- Ward</li> <li>- Election District</li> <li>- Assembly district</li> <li>- Oath</li> <li>- Space for signatures of the board of inspectors of election</li> <li>- Space for notes</li> </ul>	Optional	Functional	\$8-508	Yes	

Req #	Electronic Poll Book System Security Requirements	Status	Category	Is control implemented at poll endpoint device, network, or backend system or all of the above	Attestation	Vendor Attestation Response 'NO' Provide a description of how you have met the requirement in the proposed update/change. For documentation, provide the Name and Location (Section and Page Number) where requirement is met.
S-1	Vendor shall provide a system overview and functional diagram of the entire EPBS and how each component integrates into it. The description shall include how the entire system is administered, configured and managed.	Mandatory	Documentation	Entire ePoll Book System	Yes	
S-2	Vendor shall provide a system architecture diagram for their proposed solution that includes a description of how the solution is architected addressing on-prem and cloud or hosted or any hybrid combination thereof. If customer systems are needed to host software, information on how those systems must be configured and hardened shall be provided.	Mandatory	Documentation	Vendor	Yes	
S-3	Vendor shall provide software system design documentation describing the logical design of the software. This documentation shall clearly indicate the various modules of the software, their functions, and their interrelationships with each other. This shall include the data format(s) the system is capable of importing and exporting.	Mandatory	Documentation	Vendor	Yes	
S-4	Vendor should provide, for any cloud hosted components, proof that those components have achieved a FedRAMP compliance and are hosted by a FedRAMP authorized cloud service provider. Vendor should provide proof of FedRAMP compliance as well as documentation of who is responsible for each required security control.	Optional	Documentation	Vendor	Yes	
S-5	All EPBS data shall remain in the Continental United States (CONUS). Any EPBS data stored, or acted upon, must be located solely in data centers in CONUS. Services which directly or indirectly access EPBS data shall only be performed from locations within CONUS. Vendor shall provide proof of compliance.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-6	All EPBS data in transit shall remain in CONUS and be encrypted in accordance with requirement #S-55 below. Vendor shall provide proof of compliance.	Mandatory	Encryption	Entire ePoll Book System	Yes	
S-7	Vendor shall provide, for any non-cloud hosted components, evidence of any third party validation of security controls or assessments that have been completed.	Mandatory	Documentation	Vendor	Yes	

S-8	Vendor shall develop, document and maintain the baseline configuration of the EPBS hardware and software components. The vendor documentation shall describe all maintenance activities that are necessary to ensure the EPBS remains in the desired configuration and functioning in a secure manner. This baseline configuration and maintenance procedures document shall be provided and shall clearly identify the software versions that must be in place to maintain the baseline configuration.	Mandatory	Documentation	Entire ePoll Book System	Yes	
S-9	Vendor shall provide documentation on how the poll book solution and its related components have been hardened to any applicable Center for Internet Security (CIS) benchmarks, or to other standards (e.g., DoD DISA STIGs). Name all standards used and to which component they apply to (e.g., servers, mobile devices, wireless).	Mandatory	Documentation	Entire ePoll Book System	Yes	
S-10	The EPBS shall support the use of multi-factor authentication for all privileged and administrator access other than at the poll site.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-11	The EPBS shall incorporate protections to prevent fraudulent manipulation of the voter check-in process. Vendor shall describe both the preventative and detective controls within the system.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-12	The EPBS shall employ the principle of least privilege for each permitted role within the system, allowing only authorized accesses for users (or processes acting on behalf of users) that are necessary to accomplish assigned tasks such as poll worker and voter roles as well as administrators. Vendor shall document how incorporated role based access controls accomplish this.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-13	The EPBS shall require the coordinated action of (2) election inspectors who are not members of the same political party to enable use of the electronic poll books for poll site operation.	Mandatory	Access Control	ePoll Book/Poll Site	Yes	
S-14	Vendor shall describe what configuration item changes can be made by authorized individuals through system defined Administration role(s).	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-15	Vendor shall describe the capabilities of the EPBS related to automated timeout of inactive sessions (e.g. poll devices, remote admin connections, account login sessions, etc.).	Mandatory	Access Control	Entire ePoll Book System	Yes	

S-16	The EPBS shall prevent unauthorized or unrecognized electronic poll book device communication with known and trusted components, including poll book backend servers, peer poll book devices and/or wireless access points.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-17	The EPBS shall not require a direct connection to any other election system or election system component (i.e. voter registration system, voting machines, etc.).	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-18	The EPBS shall support: a. The ability to define groups and role-based access b. The ability to create, enable, modify, disable, and archive EPBS accounts c. The ability to monitor the use of EPBS accounts	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-19	The EPBS shall: a. Enforce a configurable limit of consecutive invalid login attempts by a user b. Automatically disable or lock an account until released by an administrator or after a configurable time period when the maximum number of unsuccessful attempts is exceeded	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-20	The EPBS shall: a. Prevent access to the system by initiating a session lock after a configurable number of minutes of inactivity <u>or</u> upon receiving a request from a user b. Retains the session lock until the user reestablishes access using established identification and authentication procedures c. Conceals via the session lock, information previously visible on the display	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-21	The EPBS shall: a. Monitor for and prevent all unauthorized remote access, including wireless where relevant, to the EPBS b. Allow and monitor all authorized connection(s) for all privileged and non-privileged accounts, including usage restrictions, configuration/connection requirements and implementation guidance for each type of remote access allowed c. Employ cryptographic mechanisms to protect the confidentiality and integrity of remote access sessions	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-22	The EPBS shall support the use of unique user IDs.	Mandatory	Access Control	Entire ePoll Book System	Yes	

S-23	The EPBS shall support industry best practices regarding passwords (e.g. password length, password aging, password complexity, etc.).	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-24	The EPBS shall support mutual device authentication.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-25	Vendor shall describe how the EPBS components can be tracked, recovered, or disabled if stolen or removed from the polling location. Vendor shall describe any preventative, corrective or detective controls that are present in the system to handle such a scenario.	Mandatory	Access Control	Entire ePoll Book System	Yes	
S-26	The EPBS shall be capable of providing comprehensive audit logs that can be exported in non-proprietary, human readable format.	Mandatory	Audit	Entire ePoll Book System	Yes	
S-27	Vendor shall provide a listing and description of what messages and events generated by the EPBS (including poll book devices) become part of the audit record.	Mandatory	Audit	Entire ePoll Book System	Yes	
S-28	The EPBS shall support capturing, at a minimum, date and time-stamped records for the following actions performed by any user on the EPBS, including but not limited to: a. All related operating system events b. All user related events c. All system administration activities d. All network activity	Mandatory	Audit	Entire ePoll Book System	Yes	
S-29	The EPBS shall support the generation of alerts to responsible staff (by role) when a log processing error occurs (e.g. lack of space, logging stops unexpectedly, etc.). Vendor shall describe what alerting thresholds are configurable and what alerting methods can be used (page, email, text, phone call, etc.).	Mandatory	Audit	Entire ePoll Book System	Yes	
S-30	The EPBS shall manage and allocate audit record storage capacity and configure auditing to reduce the likelihood of such capacity being exceeded.	Mandatory	Audit	Entire ePoll Book System	Yes	

S-31	The EPBS shall provide the capability to review and analyze EPBS audit records regularly for indications of inappropriate or unusual activity. The EPBS shall not alter the original content or date/time marking of audit records. Vendor shall describe what alerting thresholds are configurable and what alerting methods can be used (page, email, text, phone call, etc.) if any activity described is identified.	Mandatory	Audit	Entire ePoll Book System	Yes	
S-32	The EPBS shall: a. Use internal system clocks to generate time stamps for audit records b. Record time stamps for audit records that can be mapped to Coordinated Universal Time (UTC) or Greenwich Mean Time (GMT) and is accurate to within 30 seconds	Mandatory	Audit	Entire ePoll Book System	Yes	
S-33	The EPBS shall protect audit information and audit tools from unauthorized access, modification, and deletion.	Mandatory	Audit	Entire ePoll Book System	Yes	
S-34	The EPBS shall: a. Support the back up of audit records onto a physically different system or system component other than the system or component being audited b. Export data into a format that can be used to reconstruct the backend database on another server	Mandatory	Backup & Recovery	Backend System	Yes	
S-35	The EPBS shall support a hot-swappable feature to be configured in such a manner to automatically replicate and securely encrypt a copy of the data at any time to a removable/relocatable memory device or via obtaining configuration data from another electronic poll book device. The saved or imported data will be sufficient to restore another electronic poll book in the event of a malfunction. This functionality shall not require a network connection beyond connections to other poll books at the poll site.	Mandatory	Backup & Recovery	Entire ePoll Book System	Yes	
S-36	The EPBS shall be able to recover from the following events: a non-catastrophic failure of an electronic poll book, a power failure, or from any error or malfunction that is within the poll worker's ability to correct. Recovery from a non-catastrophic failure will mean the restoration of the electronic poll book to the operating condition existing prior to the error or failure, without loss or corruption of data previously stored in the device.	Mandatory	Backup & Recovery	Entire ePoll Book System	Yes	

S-37	The EPBS shall: a. Conduct backups of user and system level information contained in the EPBS in a configurable frequency b. Protect the confidentiality, integrity, and availability of backup information	Mandatory	Contingency Planning	Entire ePoll Book System	Yes	
S-38	Vendor shall provide documentation on how their Software Development Life Cycle (SDLC): a. Aligns with industry standard SDLC practices to incorporate information security control considerations b. Identifies individuals having information system security roles and responsibilities c. Integrates the organizational information security risk management process into system development life cycle activities	Mandatory	Documentation	Vendor	Yes	
S-39	Vendor shall describe how it employs best practices and methodologies for protecting against supply chain threats to the EPBS and its system components. The vendor shall indicate whether any components of the EPBS have been previously reviewed by other government entities (e.g., National Information Assurance Partnership (NIAP)) as part of a comprehensive, defense-in-breadth information security strategy.	Mandatory	Documentation	Vendor	Yes	
S-40	Vendor shall describe what capabilities the EPBS has to detect, alert and or prevent any suspicious software behavior in any part of the EPBS.	Mandatory	Documentation	Vendor	Yes	
S-41	Vendor shall provide documentation and testing results showing that the electronic poll book solution does not exhibit vulnerabilities and weaknesses from sources such as Open Web Application Security Project (OWASP) and the Common Weakness Enumeration (CWE).	Mandatory	Documentation	Vendor	Yes	

S-42	<p>Vendor shall provide all the documentation necessary for the identification of the full system configuration submitted for evaluation and for the development of an appropriate test plan for conducting system testing, collectively referred to as the Technical Data Package (TDP).</p> <p>Minimum TDP documentation: system configuration overview, system functionality description, system hardware specifications, software design and specifications, system maintenance, system test and verification specifications, system security specifications, user/system operations procedures, system maintenance procedures, personnel deployment and training requirements, configuration management plan, quality assurance program, and system change notes.</p>	Mandatory	Documentation	Vendor	Yes	
S-43	<p>Vendor shall provide documentation from other election jurisdictions (other states) that have:</p> <ol style="list-style-type: none"> <li>Certified/approved/authorized the proposed EPBS</li> <li>Denied certification/approval/authorization of the proposed EPBS</li> <li>Withdrawn certification/approval/authorization of the proposed EPBS</li> </ol>	Mandatory	Documentation	Vendor	Yes	
S-44	Vendor documentation shall include recommendations for protecting all electronic poll books from electrical damage related to power surges, brownouts, lightning and other transient current and voltage spikes.	Mandatory	Documentation	Vendor	Yes	
S-45	Vendor shall provide detailed information concerning all consumables used by the EPBS and the vendor's supply chain for those consumables.	Mandatory	Documentation	Vendor	Yes	
S-46	Vendor shall describe encryption and other security measures in place to protect data if the proposed system involves internet or Cloud based transmission of data to and from local electronic poll book components.	Mandatory	Documentation	Vendor	Yes	
S-47	Vendor shall describe recommended or included, internet intrusion detection / intrusion prevention and control protocols for any part of the system which involves network connections.	Mandatory	Documentation	Network	Yes	

S-48	Vendor shall provide documentation on a system's non-functional qualities including, but not limited to, Accessibility, Performance, Availability, Reliability, Safety, Security, Usability and Auditability.	Mandatory	Documentation	Entire ePoll Book System	Yes	
S-49	Vendor shall describe the security controls used in the development of the system. Such controls include code management to ensure no unauthorized code is entered into the system, coding standards used by developers to give assurance that the code is not subject to known security errors, QA processes during the development cycle and any security testing standards.	Mandatory	Documentation	Vendor	Yes	
S-50	Vendor shall provide "User Guide" documentation for each user role that specifies how each user can utilize the system in a secure and functional manner.	Mandatory	Documentation	ePoll Book/Poll Site	Yes	
S-51	Vendor shall describe all recommended controls, processes and procedures, relevant to the EPBS, available to a county BOE to assist them in developing: a. Policy and supporting procedures to facilitate the implementation of the security and privacy awareness training b. Associated security and privacy awareness and training controls	Optional	Documentation	Vendor	Yes	
S-52	Vendor shall describe, when cryptography is required and used within the EPBS, the capabilities of the EPBS to establish and manage cryptographic keys including, but not limited to, key generation, distribution, storage, access, and destruction.	Mandatory	Encryption	Entire ePoll Book System	Yes	
S-53	Vendor shall describe, when cryptographic mechanisms are used, the encryption products used have been validated under the Cryptographic Module Validation Program (see <a href="http://csrc.nist.gov/cryptval/">http://csrc.nist.gov/cryptval/</a> ) to confirm compliance with FIPS 140-2, in accordance with applicable federal laws, executive orders, directives, policies, regulations, and standards. The vendor shall provide the certificate number.  When Cryptographic Module Validation Program (CMVP) validated modules are not used, vendor shall describe details on the encryption that is used, in a manner sufficient to determine how closely the solution adheres to the principles espoused in the CMVP.	Mandatory	Encryption	Entire ePoll Book System	Yes	

S-54	The EPBS shall support non-repudiation and protection against an individual (or process acting on behalf of an individual) falsely denying having performed a particular action.	Mandatory	Encryption	Vendor	Yes	
S-55	The EPBS shall encrypt all data at rest and in transit utilizing FIPS 140-2 validated modules compliant encryption. For data in transit, only secure protocols shall be used (e.g., TLS, IPSEC, HTTPS, SFTP).	Mandatory	Encryption	Entire ePoll Book System	Yes	
S-56	The EPBS shall utilize cryptographic hashing and storage for all system credentials.	Mandatory	Encryption	Vendor	Yes	
S-57	Vendor shall describe how it protects and controls digital (e.g., CD, DVD, USB drive etc.) and non-digital media (e.g., paper), defined within NIST SP 800-88 (Guidelines for Media Sanitization), containing sensitive information during transport outside of controlled areas (e.g., delivery to SBOE or CBOE) through the use of digital signatures, cryptography (FIPS 140-2 encryption) and/or tamper evident packaging.	Mandatory	Evaluation	Entire ePoll Book System	Yes	
S-58	Vendor shall provide the results and supporting documentation related to any 3rd party or internal testing performed on the EPBS. Supporting documentation shall include, but not be limited to, test plans, test cases and results from all security testing (vulnerability, penetration, etc.) that was done on the system. Vendor shall also provide how any vulnerabilities were mitigated and any which are outstanding.	Mandatory	Evaluation	Vendor	Yes	
S-59	The EPBS shall uniquely identify and authenticate defined types of devices that require authentication mechanisms before establishing a connection that, at a minimum, use shared information (i.e., MAC or IP address) and access control lists to control remote network access.	Mandatory	Identification & Authorization	Entire ePoll Book System	Yes	
S-60	Vendor shall describe, for hosted solution offerings, how their incident response plan documentation aligns with NIST SP 800-61.	Mandatory	Incident Response	Vendor	Yes	
S-61	Vendor shall describe how any file to be used within the EPBS, (e.g., for information exchange with other election systems, audit purposes, etc.) can be hashed and/or cryptographically signed before it is exported from the EPBS. Vendor shall describe if their solution achieves this in compliance with Federal Information Processing Standard (FIPS) 186-4, Digital Signature Standard.	Mandatory	Integrity	Vendor	Yes	

S-62	The EPBS shall be protected against malware. The vendor shall provide documentation of controls within the system and procedural recommendations relevant to this.	Mandatory	Integrity	Vendor	Yes	
S-63	Vendor shall describe how they: a. Identify, report, and correct EPBS flaws b. Test software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation c. Install security-relevant software and firmware updates as required d. Incorporate flaw remediation into the organizational configuration management process	Mandatory	Integrity	Vendor	Yes	
S-64	Vendor shall describe how remote system administration, software package deployment and system updates are done securely (e.g. secure protocols such as TLS, IPSEC, etc.).	Mandatory	Integrity	Entire ePoll Book System	Yes	
S-65	Vendor shall describe how their EPBS solution verifies the integrity of the code base and future software updates (e.g. hashing algorithms, digital signatures, etc.).	Mandatory	Integrity	Vendor	Yes	
S-66	Vendor shall describe how EPBS-PS are synchronized/networked with other EPBS-PS within the same polling place/county (including any diagrams or flow charts).	Mandatory	Network	ePoll Book/Poll Site	Yes	
S-67	Vendor shall describe how all voter activity shall be securely captured and protected during an interruption in network connectivity of an EPBS-PS. The EPBS-PS shall have the capacity to securely transmit that voter activity upon connectivity being restored.	Mandatory	Network	Entire ePoll Book System	Yes	

S-68	Vendor shall describe, if an electronic poll book device be enabled or installed with wireless technology, the wireless security controls that are in place to include, but not be limited to, the following: a. Encryption type and strength: Wi-Fi Protected Access II (WPA2) / Wi-Fi Protected Access III (WPA3) – Advanced Encryption Standard (AES) must be utilized and a minimum 256-bit key encryption length b. Use of personal firewall on wireless client devices c. What default factory settings have been changed (e.g., SSIDS, pass phrases) d. What wireless settings/options are configurable by CBOE (e.g., SSIDS, pass phrases, transmission power) e. How the wireless access points are physically protected against tampering f. Type of authentication used between access point and connected devices g. Use of static IP address, no DHCP utilized h. What wireless settings/options cannot be changed i. Capability to disable wireless j. Built-in wireless intrusion detection system, if any	Mandatory	Network	Network	Network	Yes	
S-69	The EPBS shall enable WPA3 for all wireless connections, if available. If WPA3 is not available, WPA2 shall be used.	Mandatory	Network	Network	Network	Yes	
S-70	Vendor shall provide a detailed list of system error messages one might see while using the EPBS, definition of what the message means, and actions which shall be taken to address each error.	Mandatory	Operational	Operational	ePoll Book/Poll Site	Yes	
S-71	Vendor shall describe how the EPBS protects against unauthorized use. Vendor shall describe what physical or logical controls are in place to lock down or disable unused EPBS hardware interfaces (e.g. tamper evident seals, physical locks, disabled via secure configuration baseline) during use.	Mandatory	Physical	Physical	Vendor	Yes	
S-72	Vendor shall describe what options are available to protect the EPBS-PS devices from theft or destruction during transport and voting (e.g. sealed case or enclosure).	Mandatory	Physical	Physical	ePoll Book/Poll Site	Yes	
S-73	Vendor shall describe for EPBS-PS, what security risks are mitigated through the use of and verification upon removal of tamper evident seals.	Mandatory	Physical	Physical	ePoll Book/Poll Site	Yes	

S-74	Vendor shall describe how redundancy is built into the EPBS to minimize risk of failure or data loss and to ensure high availability.	Mandatory	Server	Entire ePoll Book System	Yes	
S-75	Vendor shall document how the EPBS protects the integrity and confidentiality of transmitted information.	Mandatory	System and Communication	Vendor	Yes	
S-76	Vendor shall describe how, if utilized, public key certificates are issued under an appropriate certificate policy or public key certificates are obtained from an approved service provider.	Mandatory	System and Communication	Network	Yes	
S-77	Vendor shall describe how the EPBS fails to a known secure state for all failures, while preserving the maximum amount of system state information.	Mandatory	System and Communication	Entire ePoll Book System	Yes	
S-78	Vendor shall produce security patches within the service-level agreement (SLA) timelines and shall provide instructions on how to keep the hardware and software up to date.	Mandatory	Network	Entire ePoll Book System	Yes	
S-79	Vendor shall describe how software and devices meet the least functionality principle and disable unneeded services such as telnet, SNMP and remote administration (Web Mode) etc.	Mandatory	Network	Network	Yes	

## **Appendix 4 – KNOWiNK TDP Review 4.0.1**

#	Application Requirements	WVG Vol. 2 Mapping	Requirement Type (WVG Category)	Guidance	Documentation Provided
1	System Configuration Overview	WVG Vol 2: 2.2		In the system overview, the vendor shall provide information that enables identification the functional and physical components of the system, how the components are structured, and the interfaces between them. The vendor shall include system description and details of the system performance.	0007_SystemConfigurationOverview.pdf (TDP) 0007_SystemFunctionalityDescription.pdf (TDP) 0011_ConfigurationManagementPlan.pdf (TDP) 001 Poll Pad New York Diagram.pdf (S-1) 002 ePulse New York Diagram.pdf (S-1) 011 Vaco Risk Solutions application security assessment.pdf (F-69) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad) 0009_AdministratorOperations_Guide_PollPad_4.29.19.pdf (F-32 - Poll Pad)
2	System functionality description	WVG Vol 2: 2.3	System Description	The vendor shall declare the scope of the system's functional capabilities, thereby establishing the performance, design, test, manufacture, and acceptance context for the system. The vendor shall provide a listing of the system's functional processing capabilities, encompassing capabilities required by the Guidelines and any additional capabilities provided by the system. This listing shall provide a simple description of each capability. Detailed specifications shall be provided in other documentation required for the TDP.	0001_SystemConfigurationOverview.pdf (TDP) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad) 0002_AdvancedFunctions_ePulse_4.29.19.pdf (F-32 - ePulse)
3	System hardware specifications	WVG Vol 2: 2.4	System Hardware Specification	The vendor shall expand on the system overview by providing detailed specifications of the hardware components of the system, including specifications of hardware used to support the telecommunications capabilities of the system, if applicable.	011 Vaco Risk Solutions application security assessment.pdf (F-69) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad) 0002_SystemHardwareSpecificationsFinal.pdf (TDP)
4	System hardware specifications	WVG Vol 2: 2.4.2	Design and Construction	The vendor shall provide sufficient data, or references to data, to identify unequivocally the details of the system configuration submitted for testing. The vendor shall provide a list of materials and components used in the system and a description of their assembly into major system components and the system as a whole.	011 Vaco Risk Solutions application security assessment.pdf (F-69) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad)
5	System hardware specifications	WVG Vol 2: 2.4.1	System Hardware Characteristics	The vendor shall provide a detailed discussion of the characteristics of the system including: -Performance characteristics: basic system performance attributes and operational scenarios that describe the manner in which system functions are invoked, describe environmental capabilities, describe life expectancy, and describe any other essential aspects of system performance. -Physical characteristics: This discussion addresses suitability for intended use, requirements for transportation and storage, health and safety criteria, security criteria, and vulnerability to adverse environmental factors. -Reliability: This discussion addresses system and component reliability stated in terms of the system's operating functions, and identification of items that require special handling or operation to sustain system reliability. -Maintainability: Maintainability represents the ease with which maintenance actions can be performed based on the design characteristics of equipment and software and the processes the vendor and election officials have in place for preventing failures and for reacting to failures. Maintainability includes the ability of equipment and software to self-diagnose problems and make non-technical election workers aware of a problem. Maintainability also addresses a range of scheduled and unscheduled events. -Environmental conditions: This discussion addresses the ability of the system to withstand natural environments, and operational constraints in normal and test environments, including all requirements and restrictions regarding electrical service, telecommunications services, environmental protection, any additional facilities or resources required to install and operate the system.	0002_SystemHardwareSpecificationsFinal.pdf (TDP) 0008_SoftwareDesignandSpecifications.pdf (TDP)
6	Software design and specifications	WVG Vol 2: 2.5	Software Design and Specification	The vendor shall expand on the system overview by providing detailed specifications of the software components of the system, including software used to support the telecommunications capabilities of the system, if applicable. This includes software overview, software standards and conventions, software operating environment, hardware environment and constraints, software environment, software functional specifications, configurations and operating modes, software functions, programming specifications with overview and details, system database, interfaces, and interface identification and description.	0002a_SystemSoftwareSpecificationsFinal.pdf (TDP) 0008_Software Design and Specifications.pdf page 2 - 6 (TDP) 011 Vaco Risk Solutions application security assessment.pdf (F-69) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad)
7	System security specifications	WVG Vol 2: 2.6	System Security Specification	Vendors shall submit a system security specification that addresses the level of security provided by the system in terms of the specific security risks addressed by the system, the means by which each risk is addressed, the process used to test and verify the effective operation of security capabilities and, for systems that use public telecommunications networks the means used to keep the security capabilities of the system current to respond to the evolving threats against these systems.	ePoll Book Requirements Update Attestation Spreadsheet.xlsx 0009_SystemSecuritySpecifications.pdf (S-42) (TDP)

#	Application Requirements	WVSG Vol. 2 Mapping	Requirement Type (WVSG Category)	Guidance	Documentation Provided
8	System security specifications	WVSG Vol 2: 2.6.1	Access Control Policy	The vendor shall specify the features and capabilities of the access control policy recommended to purchasing jurisdictions to provide effective EPBS security. The access control policy shall address the general features and capabilities and individual access privileges.  The vendor shall provide a detailed description of all system access control measures and mandatory procedures designed to permit access to system states in accordance with the access policy, and to prevent all other types of access. The vendor also shall define and provide a detailed description of the methods used to preclude unauthorized access to the access control capabilities of the system itself.	ePoll Book Requirements Update Attestation Spreadsheet.xlsx 0009_SystemSecuritySpecifications.pdf (S-42) (TDP) 011 Vaco Risk Solutions application security assessment.pdf (F-69)
9	System security specifications	WVSG Vol 2: 2.6.2	Access Control Measures	The vendor shall provide a detailed description of system capabilities and mandatory procedures for purchasing jurisdictions to prevent disruption of the voting process and corruption of voting data. This information shall address measures for polling place security.	ePoll Book Requirements Update Attestation Spreadsheet.xlsx 0009_SystemSecuritySpecifications.pdf (S-42) (TDP) (12. Email - Updated Apple Documents) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad)
10	System security specifications	WVSG Vol 2: 2.6.3	Equipment and Data Security	The vendor shall provide a detailed description of system capabilities and mandatory procedures for purchasing jurisdictions to ensure secure software installation to meet the specific requirements. This information shall address software installation for all system components.	ePoll Book Requirements Update Attestation Spreadsheet.xlsx 0009_SystemSecuritySpecifications.pdf (S-42) (TDP) (12. Email - Updated Apple Documents) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad)
11	System security specifications	WVSG Vol 2: 2.6.4	Software Installation	The vendor shall provide a detailed description of the system capabilities and mandatory procedures for purchasing jurisdictions to ensure secure data transmission. For all systems, this information shall address access control, and prevention of data interception.	0010 - System Maintenance, page 2 (S-42) 0008 - Software Design and Specification pages 3, 5, (S-42)
12	System security specifications	WVSG Vol 2: 2.6.5	Telecommunications and Data Transmission Security	The vendor shall provide a detailed description of the system capabilities and mandatory procedures for purchasing jurisdictions to ensure secure data transmission. For all systems, this information shall address access control, and prevention of data interception.	0009_SystemSecuritySpecifications.pdf (S-42) (TDP) (12. Email - Updated Apple Documents)
13	System test and verification specifications	WVSG Vol 2: 2.7	System Test and Verification Specification	The vendor shall provide test and verification specifications for development test specifications. The vendor shall describe the plans, procedures, and data used during software development and system integration to verify system logic correctness, data quality, and security.	0003_SystemTestandVerificationspecification.pdf (S-42)
14	User/system operations procedures	WVSG Vol 2: 2.8	System Operations Procedures	This documentation shall provide all information necessary for system use by all personnel who support pre-election and election preparation, polling place activities and central counting activities, as applicable, with regard to all system functions and operations identified in Subsection 2.3 above. The nature of the instructions for operating personnel will depend upon the overall system design and required skill level of system operations support personnel. The system operations procedures shall contain all information that is required for the preparation of detailed system operating procedures, and for operator training. This includes details describing the operational environment, system installation and test specification, operational features, operating procedures, and operations support.	0004_User and System Operations Procedures.pdf (S-42) 0001_SystemUserErrorMessageMessages.pdf (S-70) 0001_NewYorkState_Guide_CURRENT.pdf (F-32 - Poll Pad) 0007_SystemFunctionalityDescription.pdf (S-42)
15	System maintenance procedures	WVSG Vol 2: 2.9	System Maintenance Manual	The system maintenance procedures shall provide information in sufficient detail to support election workers, information systems personnel, or maintenance personnel in the adjustment or removal and replacement of components or modules in the field. Technical documentation needed solely to support the repair of defective components or modules ordinarily done by the manufacturer or software developer is not required. Recommended service actions to correct malfunctions or problems shall be discussed, along with personnel and expertise required to repair and maintain the system, and equipment, materials, and facilities needed for proper maintenance. This manual shall include maintenance procedures, preventative maintenance procedures, corrective maintenance procedures, identification of maintenance equipment as well as parts and materials, common standards, maintenance facilities and support.	0010_SystemMaintenanceProcedures.pdf (S-42) F-54_PP3_PreDeploymentChecklist(2).pdf (F-54) (13. Email - Updated Deployment Checklist)(no change) 0004 User and System Operations manual (S-42)
16	Personnel deployment and training requirements	WVSG Vol 2: 2.10	Personnel Deployment and Training Requirements	The vendor shall specify the number of personnel and skill levels required to perform each of the following functions:  Pre-election or election preparation functions (e.g., entering an election, generating pre-election reports, System operations for voting system functions performed at the polling place, System operations for voting system functions performed at the central count facility, Preventive maintenance tasks, Diagnosis of faulty hardware or software, Corrective maintenance tasks, Testing to verify the correction of problems.	0005_PersonnelDeploymentandTrainingRequirements.pdf (S-42)

#	Application Requirements	WVG Vol. 2 Mapping	Requirement Type (WVG Category)	Guidance	Documentation Provided
17	Configuration management plan	WVG Vol 2: 2.11	Configuration Management Plan	<p>Vendors shall submit a Configuration Management Plan that describes all policies, processes, and procedures employed by the vendor to carry out these requirements. Information submitted by the vendor shall be used by to assist in developing and executing the test plan. This information is particularly important to support the design of test plans for system modifications. A well-organized, robust and detailed Configuration Management Plan will enable testers to more readily determine the nature and scope of tests needed to fully test the modifications.</p> <p>The Configuration Management Plan shall contain Configuration Management Policy, Configuration Identification, Baseline and Promotion, Configuration Control Procedures, Release Process, Configuration Audits, and Configuration Management Resources.</p>	0011_ConfigurationManagementPlan.pdf (S-42)
18	Quality assurance program	WVG Vol 2: 2.12	Quality Assurance Program	<p>Vendors shall submit a Quality Assurance Program that addresses the quality assurance policies, processes, and procedures employed by the vendor to ensure the overall quality of the system for its initial development and release and for subsequent modifications and releases. This information is particularly important to support the design of test plans by the accredited test lab. A well-organized, robust and detailed Quality Assurance Program will more readily determine the nature and scope of tests needed to test the system appropriately. The Quality Assurance Program shall, at a minimum, address Quality Assurance Policy, Parts and Materials Tests, and Quality Conformance Inspections.</p>	0006_QualityAssuranceProgram.pdf (S-42)
19	System change notes	WVG Vol 2: 2.13	System Change Notes	<p>Vendors submitting modifications for a system that has been previously approved by NYSBOE shall submit system change notes. These will be used to assist in developing and executing the test plan for the modified system. The an example of the system change notes shall include the following information: Summary description of the nature and scope of the changes, reasons for each change, a listing of the specific changes made, citing the specific system configuration items changed, providing detailed references to the documentation sections changed, a detail of the specific sections of the documentation that are changed (or completely revised documents, if more suitable to address a large number of changes), documentation of the test plan and procedures executed by the vendor for testing the individual changes, and the system as a whole, and records of test results.</p>	<p>2. Poll Book Affidavit.pdf                      3. Operating System Affidavit .pdf                      3.5. Change Notes                      0008 Software Design and Specification (S-42)</p>