



Electronic Poll Book System

Vendor Upgrade Report

Version 7.2.8.0

Windows 11 Enterprise 2024 LTSC IOT

ES&S

40 North Pearl Street, Suite 5

Albany, NY 12207-2729

April 23, 2025

Version History

04.23.2025– Original Version

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Update Description & Recommendation

Election Systems & Software (ES&S) submitted an Election System Application for a Change/Modification to ePoll Book System Approval to the State Board of Elections (Appendix 1). This application includes updates to:

- Software application:
 - ExpressPoll 7.2.8.0
- Operating system:
 - Windows 11 Enterprise 2024 LTSC IOT

The hardware adds the Microsoft Surface Go 4 to the pre-existing surface go 3:

- Hardware:
 - Microsoft Surface Go 3
 - Microsoft Surface Go 4

The software updates were classified into the following issue types:

- Enhancement – improved and built upon existing features

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

- EPBS Vendor Change Request 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 of the functional, security, and challenge report 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 an 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 Electronic Pollbook Systems (EPBS) configurations under evaluation by the State Board.

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

- SEC performed non-authenticated vulnerability scanning of e-Poll Book hardware devices, using a laptop connected to the Wi-Fi used by the e-Poll 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 e-Poll Books connect to.

Staff from NYSBOE's Election Operations Unit (EOU) performed the following tasks:

- 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 software updates submitted by ES&S 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 applications (ExpressPoll 7.2.8.0) and Windows OS versions (Windows 11 2024 LTSC IOT) submitted by ES&S for approval.

Appendix 1 - Election System Application: Electronic Poll Book System Change Request



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

Election System Application

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 NYSEBOE

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 or 518-473-5086



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

Election System Application

1 - Submission Type

Select all that apply:

Application for Voting System Certification	<input type="checkbox"/>	Change/Modification to Voting System Certification	<input type="checkbox"/>
Application for ePoll Book System Approval	<input type="checkbox"/>	Change/Modification to ePoll Book System Approval	<input checked="" type="checkbox"/>
Application for Automated Audit Tool Authorization	<input type="checkbox"/>	Change/Modification to Automated Audit Tool Authorization	<input type="checkbox"/>

2 - Description of System

Select all that apply:

Direct Record Electronic (DRE)	<input type="checkbox"/>	Precinct (Optical Scan)	<input type="checkbox"/>	Central Count Absentee	<input type="checkbox"/>
Ballot Marking Device (BMD)	<input type="checkbox"/>	Automated Audit Tool	<input type="checkbox"/>	ePoll Book System (EPBS)	<input checked="" type="checkbox"/>

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:	Election Systems & Software, LLC		
Contact Person:	TJ Burns		
Address of Company:	11208 John Galt Blvd. Omaha, NE 68137		
Phone Number:	(402) 970-1129	Fax Number:	
E-Mail:	tj.burns@essvote.com	Cell Phone:	(248) 513-0480
Federal Tax ID Number:	47-0617567		

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	<input type="checkbox"/>	Subchapter S Corporation	<input type="checkbox"/>	Privately held Corporation	<input type="checkbox"/>	LLC	<input checked="" type="checkbox"/>
Partnership	<input type="checkbox"/>	Sole Proprietorship	<input type="checkbox"/>	Other	<input type="checkbox"/>		

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:

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7 - Representative Contacts

Management

First Name:	Tim	Last Name:	Hallett
Title:	Vice President, Certification		
Address:	11208 John Galt Blvd.		
City:	Omaha	State:	NE
Zip Code:	68137	Email:	tim.hallett@essvote.com
Phone Number:	(402) 938-1411	Fax Number:	(402) 970-1275

Technical

First Name:	TJ Burns	Last Name:	
Title:	Sr. State Certification Manager		
Address:	11208 John Galt Blvd.		
City:	Omaha	State:	NE
Zip Code:	68137	Email:	tj.burns@essvote.com
Phone Number:	(402) 970-1129	Fax Number:	(402) 970-1275

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
Microsoft Surface Go	3	No Change	The tablet used to run the ExpressPoll application.
Flip Stand	97-10037-00	No Change	Securely houses the tablet and integrates all necessary peripheral devices.
ExpressVote Activation Card Printer	4200	No Change	Used to print ballot style information on ExpressVote activation cards.
Brother BOD9310 Compact Color Printer	HL-L9310CDW	No Change	Used for direct ballot printing.
Brother BOD6400 Compact Printer	HL-L6400DW	No Change	Used for direct ballot printing.
Epson TM-T20III Thermal Receipt Printer	M267D	No Change	Used for thermal receipt printing.
Star Micronics TSP654IIS Thermal Printer	39449670	No Change	Used for thermal receipt printing.
Seiko SLP 650 Thermal Label Printer	SLP 650	No Change	Used for thermal label printing.
Brother BODEX415 Printer	HL-EX415DW	New	Used for direct ballot printing, successor to BOD6400.
Microsoft Surface Go 4	4	New	The tablet used to run the ExpressPoll application.

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
ExpressPoll	7.2.8.0	New	Electronic pollbook software.
Windows 11 Enterprise 2024 LTSC IOT	2024 LTSC IOT	New	Operating System
Firewall	Microsoft Corporation	No Change	Network security solution
ExpressPoll Connect	ES&S	New	Network security solution
Meraki	Cisco	No Change	Mobile Device Management (MDM) supporting security
Camera license	N/A	No Change	License for camera use
SEMM	Microsoft Corporation	No Change	Surface Enterprise Management Mode supporting security

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:

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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:

- The name of the state.
- The date on which the application for certification or approval of this exact system was first submitted to the state.
- 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)
N/A					

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:

(a) The name of the state.

(b) The version of the system or component for which certification, approval or authorization was revoked or denied.

(c) The date on which that approval was revoked or denied.

(d) The reason given by the state for revoking or denying certification, approval or authorization.

(e) 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. NYSBOE considers all items to be considered public unless there is a valid and specific reason as not to disclose (e.g. security). The vendor shall conservatively 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. NYSBOE 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:

- 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).

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."

3/3/2025

Date

Burns, TJ

Digitally signed by Burns, TJ
Date: 2025.02.28 13:05:41 -06'00'

Signature of Vendor Representative

TJ Burns

Print Name

Sr. State Certification Manager

Title

Election Systems & Software, LLC

Company Name

Appendix 2 - EPBS Vendor Change Request Attestation

Appendix 6: ePoll Book Attestation

Vendor shall submit attestation:

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.

Burns, TJ

Digitally signed by Burns, TJ
Date: 2025.02.28 13:07:53 -06'00'

3/3/2025

Signature

Date

TJ Burns

Print Name

Election Systems & Software, LLC

Company Name

11208 John Galt Blvd.

Address

Omaha

NE

68137

City

State

Zip

Appendix 3 - ePoll Book Requirements Update 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
Electronic poll book system (EPBS)	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.
Electronic poll book system - Poll Site (EPBS-PS)	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)	✓	Confirmed, ES&S will demonstration physical security while on-site during the certification testing.
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)	✓	Confirmed, ES&S will demonstration physical security while on-site during the certificaiton testing.
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	✓	ExpresPoll allows for a dual sign in.
F-4	The EPBS-PS shall display the date of the election being conducted on each screen.	Mandatory	Functional	§6212.9	✓	Use static header from PA.
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)	✓	The registered voter's signature is captured on the pollbook itself and stored in the voter's record.
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)	✓	Confirmed, the voter's stored signature is not displayed until after captureing voter's signature then both signatures are diusplayed side by side for signatrue comparison.
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)	✓	Voter List displays voters in alphabetical order amd can be filtered/grouped by Election District. Additionally, from Voter Search voters can be searched in alphabetical order by Election District or county. Precinct Polling location only).
F-8	The EPBS electronic list of voters shall be generated from a computer registration file for each election.	Mandatory	Functional	§1-104(38)	✓	Confirmed.
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)	✓	Advanced Search - REP or DEM

F-10	<p>The EPBS shall display, for each voter record, at least the following:</p> <ul style="list-style-type: none"> - County Voter ID - Name - Street Address - Town, City or Ward - Election District - Assembly District, where appropriate - Date of Birth - Date of Registration (Month/Day/Year) - Party enrollment - Facsimile of the voter's signature or an indication that the voter is unable to sign his/her name - A notation indicating if the voter's identity was not yet verified as required by the federal Help America Vote Act. 	Mandatory	Functional	\$5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)	✓	<p>Per Colin 9.9.2024 email Assembly district in vote field: If there's spare space in the voter screen where additional fields can be added, it would be good to have, as New York City is heavily dependent on Assembly districts. However, if it appears on the main screen, along with other polling place info, then there is no legal need for assembly district to appear on the voter screen.</p> <p>HAVA Voters/Voters with ID required: After reviewing the law and regs, I believe we've largely come down on the side of the pollbook being fine, so long as it is providing notice, and if there is not a place to record the provided ID, then it would just be recorded in the paper challenge report.</p>
F-11	<p>The EPBS-PS shall include for each voter listed the following:</p> <ul style="list-style-type: none"> - 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 - For voters requiring assistance, a place to enter the name of each officer or person rendering such assistance - 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 - 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 - Place for inspectors to indicate that a voter has produced one of the required types of identification if ID has not been verified. 	Mandatory	Functional	\$5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)	✓	<ul style="list-style-type: none"> - 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 - Voter unable to sign is enabled - For voters requiring assistance, a place to enter the name of each officer or person rendering such assistance - Assistant's Name and Address is input as part of the Voter Assistance Oath workflow. - 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 - Capture Ballot Number is enabled on the Capture Vote Verificaiton Page - 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 - Place for inspectors to indicate that a voter has produced one of the required types of identification if ID has not been verified. (Per Colin, this is the HAVA ID required workflow)
F-12	For voters requiring assistance, the EPBS-PS should display the assistance oath.	Optional	Functional	§8-306(5)	✓	NYSBOE provided verbiage to be included in next database provided.
F-13	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.	Optional	Functional	§9-209(2)(a)(i)(C)	✓	Do not need to demonstrate. These changes are not made on the pollbook themselves.

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)	✓	Do not need to demonstrate. These changes are not made on the pollbook themselves.
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	✓	Voters are able to be searched by Last Name, First Name, DOB, Voter ID, and Address. . 38 Clifford Ave
F-16	For primary elections, the search criteria should include all items from F-15, as well as Party Enrollment.	Optional	Functional	§8-302	✓	Advanced Party Search
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	✓	Through the Advanced Party Search, voters can be filtered listed y their status (fed___ being one of said status')
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	✓	Find Voter Poll Place - allows poll workers to search for a polling locaiton using the voter's address. GEN - Browncrost Community Church / 38 Clifford Ave
F-19	The EPBS shall indicate whether a voter has already cast a ballot.	Mandatory	Functional		✓	The voter's history for the current election event is provided on the Voter History tab. Poll workers can select View Details to see additional details related to the event included in their Voter History.
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		✓	Voter List can be filtered or grouped by Election District. Voters can be seaerched and sorted by Last Name, First Name, DOB, Voter ID, ED, County, Address, and Party.
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		✓	To prepare the ExpressPoll system for an election, voter data files for each participating jurisdiction are provided to ES&S from Voter Central Software. Additionally, information related to the election type, ballot style information, specific workflows for any exception processes, polling location information and user logins will be provided from to ensure the system configurations are correct. This information, along with the voter data files, will be converted into a data format used by the ExpressPoll system and loaded onto the ExpressPoll electronic pollbooks via USB flash drive. Once poll data is loaded, users will be able to test the data and validate that voter status information, precinct assignment, required workflows and all other configurations are correct. After testing is complete and the data is approved, any updates to voter information can be made to the existing data on the pollbook via Incremental Update files, which are created from any supplemental or delta files provided from Voter Central Software. These Incremental Updates loaded on all pollbooks via USB flash drive, ensuring voter data is always up to date.

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		✓	<p>The Monitor Poll page allows the poll worker to check the following prior to opening polls - poll place, device name and serial number, poll open and close time, ballots, and voters.</p> <p>Additionally, the Options menu, located on the home screen of the ExpressPoll application, allows users to review important information and perform additional actions from one location. This includes Updates (last sync), configuration update (last applied) System Information (Device Name, serial number, SSID, Database version, and app version), signed in user, connected peers, local transactions and transactions sent to server.</p>
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		✓	<p>ExpressPoll allows for early voting and election day, both of which can be exported in a format that can be imported into any VR system in use by a County Board of Elections in New York State.</p> <p>Provide a report of what a report to mega would look like.</p>
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		✓	ExpressPoll Connect allows election officials to monitor polling place activity from connected ExpressPoll devices across the jurisdiction all from the convenience of the election office. The application provides the ability to filter by precinct, location, time, type or election period. This information can also be exported in multiple file formats on demand, making post-election reporting a breeze!
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		✓	The following document (ExpressPoll Maintenance Manual), which is included in the submitted TDP provides information about maintaining the ExpressPoll system. This includes how to inspect and clean the ExpressPoll Unit, Electronic Cable Checks, check the battery charge.
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		✓	ExpressPoll can export any voter signature captured on the pollbook in a well established non-proprietary format - encoded PNG black and white.
F-27	The EPBS must guarantee that a voter can be checked in at most once during normal connectivity.	Mandatory	Functional		✓	Supervisor password is required to reissue any type of ballot. Reissue ballot reason is a configurable option and allows for three configurable options.
F-28	The EPBS shall identify voters that have been checked in at two or more different electronic poll books.	Mandatory	Functional		✓	The pollbook keeps an audit log of all activity completed by a voter. When a voter is checked in, the date and timestamp, pollworker performing the check in, signature, and all other pertinent information. That information is shared with all connected pollbooks and ExpressPoll Connect (Host). Of note, if a voter is checked in, then said voter would have to be reissued a ballot as their voter status already indicates that they have been checked in.
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		✓	Voter can be checked in during an interruption of connectivity of Pollbooks. Once connectivity resumes, the pollbooks will sync back up automatically.
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		✓	Confirmed, in the event of a temporary interruption of connectivity, the EPBS will automatically restore voter list consistency across the EPBS-PS after connectivity is restored.

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		<div>✓</div>	<div>This is recorded in the encrypted audit log, see below</div> <div><table><tr><td>15</td><td>113</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook disconnected to host.</td><td>638590837545515723</td><td>638590627545515723</td></tr><tr><td>16</td><td>123</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook disconnected to host.</td><td>638590838145508056</td><td>638590658145508056</td></tr><tr><td>17</td><td>124</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook disconnected to host.</td><td>638590838145518034</td><td>638590658145518034</td></tr><tr><td>18</td><td>127</td><td>System</td><td>Host connectivity changed. Pollbook connected to host.</td><td>638590838937644750</td><td>638590658937644750</td></tr><tr><td>19</td><td>132</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook connected to host.</td><td>638590938217649923</td><td>638590658217649923</td></tr><tr><td>20</td><td>134</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook disconnected to host.</td><td>638590938331211137</td><td>638590658331211137</td></tr><tr><td>21</td><td>135</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook connected to host.</td><td>638590940410994154</td><td>638590660410994154</td></tr><tr><td>22</td><td>136</td><td>POLLWORKER1, POLLWORKER2 System</td><td>Host connectivity changed. Pollbook connected to host.</td><td>638590941013567005</td><td>638590661013567005</td></tr></table></div>	15	113	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook disconnected to host.	638590837545515723	638590627545515723	16	123	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook disconnected to host.	638590838145508056	638590658145508056	17	124	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook disconnected to host.	638590838145518034	638590658145518034	18	127	System	Host connectivity changed. Pollbook connected to host.	638590838937644750	638590658937644750	19	132	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook connected to host.	638590938217649923	638590658217649923	20	134	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook disconnected to host.	638590938331211137	638590658331211137	21	135	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook connected to host.	638590940410994154	638590660410994154	22	136	POLLWORKER1, POLLWORKER2 System	Host connectivity changed. Pollbook connected to host.	638590941013567005	638590661013567005
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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		<div>✓</div>	<div>ES&S understands that a successful transition to new election technology depends on more than executing a logistics plan. A key element to success is ensuring that NY is empowered with the knowledge to administer the new system and achieve a trouble-free election. To make this transition successful, we emphasize on-site training as a critical component of our overall implementation plan. Our training goal is to ensure a strong level of comfort and competency for election staff and poll workers. ES&S is committed to maintaining our flexible approach in tailoring the right mix of products, training, support and service.</div> <div>The ES&S curriculum is based on our decades of experience in implementing new systems. Our customized approach to training NY election teams anticipates the wide range of skills needed to conduct a successful election. Our courses are tailored to specific audiences and incorporate a high degree of hands-on instruction and simulations, increasing the relevancy of every minute your election workers spend in the classroom.</div> <div>ES&S has carefully selected our training staff to provide the very best training experience for NY’s election staff. We require all personnel on our Operations Training team to be certified ES&S trainers. This begins with a minimum of two (2) years of experience as an instructor and continues with customized product certification. Additionally, each of our training staff members has personally supported elections using ES&S voting equipment. Our trainers have firsthand knowledge of the challenges NY's election workers could face with your new equipment. We can anticipate staff concerns and appreciate the challenges of using a new voting system.</div>																																																

F-33	<p>The vendor shall provide help-desk support to each County Board of Elections under contract and describe the following:</p> <ul style="list-style-type: none"> - 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		✓	<p>The ES&S Help Desk offers multiple support channels to assist customers with issues and concerns ranging from simple “how-to” questions to complex functional inquiries. Customers who purchase and maintain ES&S hardware maintenance and software license support services through ES&S agreements automatically receive on-call telephone support.</p> <p>Your call to the Help Desk during our hours of operation will immediately be answered by an expert hardware or software technician who will answer your questions and/or begin resolution of your issue. ES&S uses remote support tools like Microsoft Teams to provide over-the-shoulder assistance when needed. We track all questions or concerns and their resolutions in our ticket database and knowledge base to provide continuity of service.</p> <p>ISSUE RESOLUTION</p> <p>During Election Day activities, our Help Desk is ready to help on its extended-hour schedule (for a 24-hour period beginning at 5 a.m. Eastern) to meet the various poll open and closing times for our customers across the U.S. During any General Election, ES&S augments our technical support team to further ensure that your issue will receive an immediate response when you contact the Help Desk.</p> <p>During non-election periods, the Help Desk can be reached on weekdays between 8 a.m. to 8 p.m. Eastern Time. After hours, a representative will return your call as soon as possible, but no later than the next business day.</p> <p>When a planned system maintenance event is scheduled on evenings, weekends or holidays, ES&S recommends that the the customer notify their account manager, who can inform the Help Desk to expect potential service calls, ensuring the most rapid response possible.</p> <p>TOLL-FREE PHONE SUPPORT</p> <p>Our dedicated toll-free customer support telephone number is 877-ESS-VOTE (877-377-8683). The support line is open 24 hours a day, seven (7) days a week. Help Desk hardware and software technicians will immediately respond to your call during our business hours from 8 a.m. to 8 p.m. (Eastern Time), Monday through Friday. After hours or during weekend/holidays, you can leave a message 24/7 and a representative will return your call as soon as possible, but no later than the next business day.</p> <p>If time is of the essence, your account manager and regional sales manager are on call 24 x 7 x 365 and may be contacted on their mobile phones. These on-call individuals will provide [clientname] with redundant sources to help you resolve any issue you may have during after-hours, weekends and holidays.</p> <p>EMAIL SUPPORT</p> <p>Customers can communicate directly with specialized ES&S support and technical representatives via email.</p>
F-34	<p>The vendor shall provide enhanced help desk services to support CBOE during the following peak timeframes:</p> <ul style="list-style-type: none"> - 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		✓	Confirmed, ES&S Help Desk will abide.
F-35	The EPBS shall have the ability to generate reports based on any defined data fields.	Mandatory	Reporting		✓	ExpressPoll Connect allows for multiple options to view data and generate reports related to Voters, Ballots, and Turnout.
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		✓	Per Colins's email on 8/15 is strictly a "you need to tell us if you can", with no actual requirement that any of the reports (namely, voter history) be generated in that format.
F-37	The EPBS should allow authorized users the capability to create, modify and save custom reports and queries.	Optional	Reporting		✓	Reports on the pollbook can be filtered, viewed and printed by authorized users.

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		✓	Reports can be generated in a CSV or PDF format.
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		✓	Reports on the pollbook can be filtered, viewed and printed by authorized users.
F-40	The EPBS shall allow authorized users to view reports before saving or printing them.	Mandatory	Reporting		✓	Reports can be viewed on the pollbook prior to being printed or exported.
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		✓	The name of the report and date generated is included on printed reports as well as the page number.
F-42	The vendor shall describe the required electrical supply specifications for the EPBS-PS in polling places.	Mandatory	Power/Battery		✓	The ExpressPoll Flip Stand utilizes the tablet's native Microsoft Surface Link charger to provide power to the system. Ensure the 24W Surface Link magnetic port is firmly connected to the tablet and through the cord channel located on the side of the Flip Stand, and plug the power supply into a grounded, three-pronged 120-volt AC wall outlet.
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		✓	When connected to power, the tablet's internal battery will charge, and power will be supplied to the tablet. When disconnected from power, the tablet's internal battery will provide up to four hours of battery backup to the tablet.
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		✓	Storage and Maintenance is in 8.3 of the Admin Guide Completely charge the batteries for all tablets in advance of an election. Verify the tablet battery charge percentage before delivering the tablets to the polls. The battery charge percentage on the tablet is displayed on the ExpressPoll application interface. The power plug length will be dependent on the setup of the pollbooks at the polling location. The power plug length will not impact the pollbook but if at all possible, the closer you are to an outlet the better, to avoid any potential trip hazards.
F-45	The vendor shall describe how the EPBS-PS retains its data when power to the device is exhausted.	Mandatory	Power/Battery		✓	All data is stored locally on the tablet's internal storage and is encrypted by way of onboard TPM chip with Microsoft Windows Bitlocker enabled. When in a Host connected setup, those transactions are shared via a secure WAN connection to ExpressPoll Connect. Once power resumes on said device and the device gains network connectivity it will sync back up with any transactions it may have missed.
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		✓	When connected to power, the tablet's internal battery will charge, and power will be supplied to the tablet. When disconnected from power, the tablet's internal battery will provide up to four hours of battery backup to the tablet.

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		✓	
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		✓	When connected to power, the tablet's internal battery will charge, and power will be supplied to the tablet. When disconnected from power, the tablet's internal battery will provide up to four hours of battery backup to the tablet.
F-49	The EPBS shall concurrently support all connected devices from all poll site locations within the county.	Mandatory	Non-Functional		✓	Confirmed, ExpressPoll 7.2.8.0 shall concurrently support all connected devices from all poll site locations within the county.
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		✓	Confirmed
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		✓	ES&S will provide and be on-site to help with the demonstration.
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		✓	This release is pending certification approval in TX and will be taken for certification in all other states that require certification.
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		✓	There are no known anomalies.

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		✓	ExpressPoll Acceptance Testing is in 6.1 of the Admin Guide. Acceptance test procedures must be performed upon receipt of the ExpressPoll electronic pollbooks and may also be performed before each election. These test procedures are designed to ensure that the ExpressPoll application version you have received is the software you expected to receive and that the physical hardware and tablets function as expected. For more information on performing acceptance testing, see 3.3: System Testing. Logic and accuracy (L&A) testing is an end-to-end test of the entire voter check-in process and is more involved than acceptance testing. ES&S recommends that before using the ExpressPoll in a live election, you complete L&A testing to validate that the election has been coded correctly, voter searches can be performed correctly, the check-in workflow has the correct pages and issues the correct ballot for the selected voter, and all peripheral devices function as expected. Each jurisdiction will need to work with local election officials and with ES&S to develop the particular testing protocols to be followed. For the most current version of the L&A Checklist, contact your Account Manager.
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		✓	Pollbooks can be added to the existing configuration and will automatically sync up with any existing peers in network.
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		✓	From ExpressPoll Connect, a device can be deactivated that is host connected.
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		✓	Information related to the specific/unique ExpressPoll device is displayed in the Options menu, including: <ul style="list-style-type: none"> • Device Name • Serial Number of the tablet
F-58	The EPBS must be designed to tolerate any single point of failure scenarios.	Mandatory	Technical		✓	Pollbook has a high fault tolerance and is able to work online and in disconnected modes interoperating between both of them. In the event of an application error the Expresspoll tablet will will prompt the user with a notification that an error occurred and will force the user to restart the system in order to recover from the error. The Expresspoll tablet will log the error to the application log and the audit log will record the actions the user performed prior to error occurring.
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		✓	The pollbook will display a prompt saying 'Matching Results - No Results'.
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		✓	Authorized users can verify an individual's voting eligibility by searching their name. Once the individual appears in the search process it will indicate to the quthorized user the voters Status by text as well as by color (green, yellow, red)

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		✓	ExpressPoll is pre-configured with poll data and all necessary files when it arrives at the polling location. Election officials perform all duties on the ExpressPoll's touch screen. Screen instructions are customized to guide the Election Official through every process. Additionally,
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		✓	Pre-Election tasks, including conducting acceptance and/or Logic and Accuracy testing, preparing for the data conversion process and loading files onto the pollbooks, and configuring peer-to-peer LAN connections, if applicable, are detailed in Chapter 6: Pre-Election Tasks of the Administrators Guide.
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		✓	This is accomplished through ExpressPoll Connect > Users
F-64	The EPBS-PS may include a bar code reader.	Optional	Barcode		✓	The ExpressPoll Flip Stand is a compact hardware option that integrates all necessary peripheral devices into the stand. This enclosure securely houses the tablet. It includes two external USB ports and utilizes the tablet's rear-facing camera to read barcodes.
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		✓	Confirmed, ExpressPoll grabs the first three letters of First Name, Last Name, and DOB from the barcode to populate the voter(s) on the pollbook.
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		✓	ExpressPoll 7.2.8.0 supports any required language(s) provided by the jurisdiction on voter-facing screen(s). Including but not limited to required languages: English, Spanish, Chinese, Korean, and Bengali.
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		✓	ExpressPoll 7.2.8.0 uses colors, prompts, shapes and all facets of the screen to promote the highest level of usability and accessibility. For example, voter records displayed in search results use actionable color coding, making it easy for poll workers to understand the relevant action they need to take and reducing the time it takes to process what should be a simple decision.
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		✓	Confirmed, the pollbook can print a voter receipt document on any of the three optional thermal printers included (Epson TM-T20III, Star Micronics TSP654IIS, or Seiko SLP 650). Additionally, the Brother 6400, 9310, and EX415 Direct Ballot Printers are included in the release.
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		✓	Per Colin's email on 8/15 F-69: If you've done any usability testing, it must be provided. There is no requirement that you have done so.

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		<p>Solution does not implement this functionality.</p> <p>Do we need to detail our outside of the pollbook recommended procuedre?</p>
CR-2	<p>Section One – change of name or address</p> <p>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		<p>Solution does not implement this functionality.</p>
CR-3	<p>Section Two – voters challenged</p> <p>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		<p>Solution does not implement this functionality.</p>

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		Solution does not implement this functionality.
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		Solution does not implement this functionality.

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"> - All persons who were reported a name or address change (section 1); - 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), - 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); - All voters who were permitted to vote although their registration poll records were missing (affidavit ballots / court orders) (section 4) 	Optional	Functional	§8–508		Solution does not implement this functionality.
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		Solution does not implement this functionality.
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"> - City / town - Ward - Election District - Assembly district - Oath - Space for signatures of the board of inspectors of election - Space for notes 	Optional	Functional	§8–508		Solution does not implement this functionality.

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	✓	TDP Location 01-01
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	✓	TDP Location 01-01
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	✓	TDP Location 04-01, 07-01, 07-02
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	✓	The ExpressPoll system does not include any cloud hosted components.
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	✓	ExpressPoll_Security_Facts document, excerpt below. ExpressPoll Connect server infrastructure is custom built and co-located in multiple datacenters · Primary facility in Lenexa, KS · Identically configured facility in Papillion, NE
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	✓	ExpressPoll_Security_Facts document, excerpt below. ExpressPoll Connect server infrastructure is custom built and co-located in multiple datacenters · Primary facility in Lenexa, KS · Identically configured facility in Papillion, NE

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	✓	TierPoint Documents
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	✓	TDP Location 06-04, 10-01
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	✓	<p>TDP Location 06-02, 99-06-01</p> <p>ExpressPoll utilizes cryptography that meets the Federal Information Processing Standard (FIPS) 140-2. ExpressPoll cryptography also employs NIST-approved algorithms with a security strength of at least 112 bits.</p> <p>NETWORK ENCRYPTION</p> <p>In-transit data is encrypted with Secure Sockets Layer (SSL) certificates and utilizes Transport Layer Security (TLS) 1.2 or higher communication protocols. The SSL certificates and TLS 1.2+ protocol safeguards data against eavesdropping while operating in a local area network (LAN) or wide area network (WAN) configuration.</p> <p>Peer-to-peer communication between ExpressPoll devices utilizes AES with Galois Counter Mode (GCM), a 256-bit encryption algorithm introduced by NIST.</p> <p>Host Server data at rest is encrypted utilizing both hardware-level encryption (Encryption Standard: E-X4092B) and software-level encryption (Encryption Standard: XTS-AES-256). This subsystem is FIPS 140-2 certified on FIPS certified drives. Additionally, the use of Microsoft SQL Server provides the built-in capability to encrypt the database with AES encryption for all data at rest.</p> <p>Each ExpressPoll user account is assigned one password. Within the ExpressPoll application, all passwords follow the guidelines in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-63B and are hashed with a SHA-256 algorithm and salted. The passwords are also stored in an encrypted database.</p>

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	✓	ExpressPoll Connect requires the use of Multifactor Authentication for all users, regardless of privilege level
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	✓	The ExpressPoll tablet utilizes the TPM 2.0 chip that is enabled on-board the device to enable transparent AES256 encryption by way of Microsoft Bitlocker. Additionally, the ExpressPoll application only utilizes AES256-encrypted database files, and a valid encryption/decryption value must be provided by the end-user before the application can decrypt the underlying databases and use them.
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	✓	ES&S administrators comply with all applicable best practices for System and Network Administrators as listed in this requirement. Role-based access control is used for all ES&S systems, specifically the ExpressPoll system. The ExpressPoll system when utilized with a server requires authorization and utilizes zero trust identity security to authorize every device and all data it accesses. In conjunction with role-based security, the ExpressPoll system utilizes the principle of least privilege - the ExpressPoll user is by default an unprivileged user. ExpressPoll Connect also requires the use of Multifactor Authentication for all users, regardless of privilege level. Administrators of a jurisdiction are able to onboard and offboard users at their discretion. 06-04 -1.3 and 1.3.2
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	✓	Confirmed, with Dual Sign In, one poll worker signs in by entering their assigned User Name and Password on the Sign In #1 screen. The second poll worker will sign in by entering their assigned User Name and Password on the Sign In #2 screen, and selecting Sign In.
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	✓	From the ExpressPoll device, authorized jurisdiction-level users are able to modify printer and network connection configurations from the Maintenance menu on the individual pollbook devices. From ExpressPoll Connect, jurisdiction-level users are able to modify any non-ballot or voter related data within the poll data used for the election. All updates are sent from Connect to all devices configured to operate in a WAN configuration.

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	✓	The ExpressPoll Connect web application includes an automatic timeout of a signed in user after 10 minutes of inactivity. Additionally from Connect, jurisdiction-level users are able to manage ExpressPoll devices and authorize/deauthorize devices remotely to prevent unauthorized access to the system and its components.
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	✓	<p>Once the tablet has successfully paired with a Wi-Fi network, the connection to the network will now be automatically established and the connectivity status will be displayed in the status bar located on the ExpressPoll.</p> <p>ExpressPoll does not allow connecting to open wireless networks or networks utilizing WEP wireless standard.</p> <p>ExpressPoll doesn't allow any inbound connections other than from other ExpressPolls with the same election configuration, installed on the same local area network. ExpressPoll otherwise does not accept unsolicited incoming connections, regardless of IP address.</p> <p>The ExpressPoll system supports WPA2 wireless protocols, and is capable of supporting MAC address filtering, and also includes the Windows Defender anti-virus and threat protection system on by default.</p>
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	✓	The EPBS does not require a direct connection to any other election system or election system component.
S-18	<p>The EPBS shall support:</p> <ul style="list-style-type: none"> 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	✓	06,04 ESSPB_7280_SPC_SystemSecurity Section 1.3 Account Management
S-19	<p>The EPBS shall:</p> <ul style="list-style-type: none"> 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	✓	If a confirmed user attempts to log in with an incorrect password, an error message will appear. Users can retry logging in up to nine times. After 10 unsuccessful login attempts, the account will be locked. Locked accounts will require reactivation by a State or Jurisdiction Admin before users are able to reset their password and login.

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	✓	The ExpressPoll Connect web application includes an automatic timeout of a signed in user after 10 minutes of inactivity. Additionally from Connect, jurisdiction-level users are able to manage ExpressPoll devices and authorize/deauthorize devices remotely to prevent unauthorized access to the system and its components.
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 1.3 Account Management and 2.2 Encryption
S-22	The EPBS shall support the use of unique user IDs.	Mandatory	Access Control	Entire ePoll Book System	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 1.3 Account Management and 2.6.2 Security at the Polling Place Prior to Voting
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	✓	All passwords used by the EPB follow the NIST SP 800-63B Standard.
S-24	The EPBS shall support mutual device authentication.	Mandatory	Access Control	Entire ePoll Book System	✓	The Expresspoll tablet utilizes a least privilege security architecture that requires users to complete a series of authentication prompts in order to gain additional access into the system. Pollbook validates with the hosted environment that is authenticated with the jurisdiction and election it is trying to sign into.
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	✓	The MDM solution built into each ExpressPoll device, enables authorized users to provides the ability to remotely clean wipe the device and view system information and device location.

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	✓	After the election, all transaction and log files that were generated on ExpressPoll devices are backed up to a thumb drive or downloaded from Host if used in a WAN configuration and used for post-election processing and reports. The transaction log is AES 256 encrypted, contains records of election preparation, transactions in the polling place, human-readable logs, and the ability to identify any potential incidents and/or operational problems.
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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing
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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing Types of entries added to the log files include the following: • Sign Ins and Sign Outs • Open Poll or Close Poll • Search queries • Voter selections • Ballots issued, reissued, or canceled • Changes to network and connection status, such as connecting to or disconnecting from the Host • Updates • Report views and exports • Selections of buttons or other options
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	✓	The Expresspoll tablet records application logs, user level auditing, and Windows system level logs based on a per election event.
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	✓	The Expresspoll tablet records application logging, users auditing, and Windows system logging on a per election event.

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	✓	The Expresspoll tablet logs all user actions to an encrypted local audit log which can be exported to a USB drive for further review. TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing
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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing
S-33	The EPBS shall protect audit information and audit tools from unauthorized access, modification, and deletion.	Mandatory	Audit	Entire ePoll Book System	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing Maintenance passwords nad proper/secure care of usb containing audit logs.
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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing
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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing peer to peer coomunication replicates all transactions on the same network and same election and polling location. A pollbook can be added/repalced at any time and will sync up to current transactions with aformentioend setup.

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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 4.3 Secure Network Configurations
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity - 06-04 Section 4.3 Secure Network Configurations
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	✓	TDP Location 04-03, 06-01, 10-01
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	✓	TDP Location 99-01-01
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	✓	TDP Location 04-01, 06-04
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	✓	Security Report Documents Folder - TierPoint and SCOC2 documentation

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	✓	TDP Location 01_TDP\05_SYSTEM TEST AND VERIFICATION\02_QA Test Cases 01-01 - 12-01
S-43	<p>Vendor shall provide documentation from other election jurisdictions (other states) that have:</p> <p>a. Certified/approved/authorized the proposed EPBS b. Denied certification/approval/authorization of the proposed EPBS c. Withdrawn certification/approval/authorization of the proposed EPBS</p>	Mandatory	Documentation	Vendor	✓	ExpresPoll 7280 is the latest release, all certificaiton activity is pending at this point.
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	✓	TDP Location 07-01, Ch 2 Operational Environment
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	✓	TDP Location 07-02, 11-01, 99-01-01
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	✓	TDP Location 04-01, 06-01, 99-06-03
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	✓	TDP Location 04-01, 06-01, 06-03, 99-06-03

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	✓	TDP Location 01-01, 05-02, 06-01
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	✓	TDP Location 04-02, 04-03, 05-01, 06-03, 10-01, 11-02
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	✓	TDP Location 04-01, 07-01, 07-02, 06-01, 09-01
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	✓	TDP Location 06-01, 09-01
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2 Cryptography
S-53	Vendor shall describe, when cryptographic mechanisms are used, the encryption products used have been validated under the Cryptographic Module Validation Program (see http://csrc.nist.gov/cryptval/) 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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2 Cryptography

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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 1.1.1 ExpressPoll
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	✓	The ExpressPoll tablet utilizes the TPM 2.0 chip that is enabled on-board the device to facilitate transparent AES256 encryption by way of Microsoft BitLocker. Data is transmitted between ExpressPoll hardware and the Hosted ExpressPoll Connect environment over SSL and TLS 1.2 +. The Hosted ExpressPoll Connect underlying storage subsystem provides the capability to encrypt data at rest utilizing both hardware-level encryption (Encryption Standard: E-X4092B) and software-level encryption (Encryption Standard: XTS-AES-256). This subsystem is FIPS 140-2 certified on FIPS certified drives. Additionally, the use of Microsoft SQL Server provides the built-in capability to encrypt the database with AES encryption for all data at rest.
S-56	The EPBS shall utilize cryptographic hashing and storage for all system credentials.	Mandatory	Encryption	Vendor	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2 Cryptography
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	✓	The ExpressPoll tablet utilizes the TPM 2.0 chip that is enabled on-board the device to facilitate transparent AES256 encryption by way of Microsoft BitLocker. Data is transmitted between ExpressPoll hardware and the Hosted ExpressPoll Connect environment over SSL and TLS 1.2 +. The Hosted ExpressPoll Connect underlying storage subsystem provides the capability to encrypt data at rest utilizing both hardware-level encryption (Encryption Standard: E-X4092B) and software-level encryption (Encryption Standard: XTS-AES-256). This subsystem is FIPS 140-2 certified on FIPS certified drives. Additionally, the use of Microsoft SQL Server provides the built-in capability to encrypt the database with AES encryption for all data at rest.
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	✓	TDP Location 01_TDP\05_SYSTEM TEST AND VERIFICATION\02_QA Test Cases

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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 4. Network and Telecommunications Security
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	✓	Incident Response Plan for ES&S Hosted Environments document included for review.
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2 Cryptography
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 5.3 Protection Against Malicious Software
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 5.1.3 Software Updates and Patching 99-11Engineering Change Order PProcess
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 4.1 Network Encryption
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 5.4 Software Distribution
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 4.3 Secure Network Configurations

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	✓	TDP Location: ExpressPoll_7280_SOP_Admin Section 8.1 ExpressPoll Log Processing
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity 4.1 Network Encryption / a. The Pollbook will not operate on an open network but as a rule ESS does not dictate the security required on the customer managed network. b. The Windows firewall is enabled on Pollbook devices. c. WiFi Configuration is not managed by ESS we do encourage Hidden SSID and complex frequently changed Wifi Pass phrases. d. ESS does not manage the Pollbook network configuration would be the responsibility of the jurisdiction. e. Pollbook network security and configuration would be the responsibility of the jurisdiction. f. Pollbook network configuration would be the responsibility of the jurisdiction. g. Use of static IP address, no DHCP utilized- Pollbook network configuration would be the responsibility of the jurisdiction. h. Pollbook network configuration would be the responsibility of the jurisdiction. i. The ability to disable WiFi is configurable within the Pollbook device. j. Pollbook does not employ an on device IDS. The Pollbook is configured using application waitlisting only applications required to operate the pollbook software will run on the device. 4.2 Unapproved External Networks and Devices
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	✓	The ExpressPoll system supports WPA2 wireless protocols, and is capable of supporting MAC address filtering, and also includes the Windows Defender anti-virus and threat protection system on by default.
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	ePoll Book/Poll Site	✓	08-01, Appendix A System Messages

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	Vendor	✓	Included in the TDP submission is Security Best Practices: Physically Securing ExpressPoll System. This document illustrates best practices for using locks and seals to physically secure the ExpressPoll electronic pollbook hardware at rest and in transit.
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	ePoll Book/Poll Site	✓	Included in the TDP submission is Security Best Practices: Physically Securing ExpressPoll System. This document illustrates best practices for using locks and seals to physically secure the ExpressPoll electronic pollbook hardware at rest and in transit.
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	ePoll Book/Poll Site	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 1.2 Hardware Access Controls 06-01, Ch 3 Network Equipment Security Best Practices Ch 4 ExpressPoll Flip Stand Security Best Practices / Ch 5 ExpressPoll Storage Case Security Best Practices
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 4.3 Secure Network Configurations
S-75	Vendor shall document how the EPBS protects the integrity and confidentiality of transmitted information.	Mandatory	System and Communication	Vendor	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2.2 Digital Signatures
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	✓	TDP Location: ESSPB_7280_SPC_SystemSecurity Section 3.2 Cryptography
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	✓	In the event of an application error the Expresspoll tablet will will prompt the user with a notification that an error occurred and will force the user to restart the system in order to recover from the error. The Expresspoll tablet will log the error to the application log and the audit log will record the actions the user performed prior to error occurring.
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	✓	All upgrades and security patches will be provided to with release notes and instructions or assistance for deployment.
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	✓	Only required services and applications are allowlisted all others are expressly denied.

Appendix 4 - Technical Data Package Review

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided
1	System Configuration Overview	VVSG 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.	<i>Voting System Overview</i>
2	System functionality description	VVSG 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.	<i>System Functionality Description</i>
3	System hardware specifications	VVSG 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.	<i>System Operations Procedures – Administrator Guide</i>
4	System hardware specifications	VVSG 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.	<i>System Operations Procedures – Administrator Guide</i>
5	System hardware specifications	VVSG 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.	<i>System Operations Procedures – User Guide, System Operations Procedures – Administrator Guide</i>
6	Software design and specifications	VVSG 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.	<i>Software Design and Specification – ExpressPoll, ES&S Coding Standards, ES&S System Development Program, License Agreements for Procured Software</i>
7	System security specifications	VVSG 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.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>
8	System security specifications	VVSG 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.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided
9	System security specifications	VVSG Vol 2: 2.6.2	Access Control Measures	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.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>
10	System security specifications	VVSG 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 prevent disruption of the voting process and corruption of voting data. This information shall address measures for polling place security.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>
11	System security specifications	VVSG 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 software (including firmware) installation to meet the specific requirements. This information shall address software installation for all system components.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>
12	System security specifications	VVSG 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.	<i>System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview</i>
13	System test and verification specifications	VVSG 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.	<i>System Test Plan, Common Industry Format Usability Test Report – ExpressPoll</i>
14	User/system operations procedures	VVSG 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.	<i>System Operations Procedures – User Guide, System Operations Procedures – Administrator Guide</i>
15	System maintenance procedures	VVSG 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.	<i>System Maintenance Manual – ExpressPoll</i>
16	Personnel deployment and training requirements	VVSG 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.	<i>Training Program Description</i>
17	Configuration management plan	VVSG Vol 2: 2.11	Configuration Management Plan	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. 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.	<i>Configuration Management Program, Technical Documentation Program</i>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided
18	Quality assurance program	VVSG Vol 2: 2.12	Quality Assurance Program	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.	<i>Manufacturing Quality Assurance Program, Software Quality Assurance Program</i>
19	System change notes	VVSG Vol 2: 2.13	System Change Notes	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.	System Change Notes