



Electronic Poll Book System

Vendor Upgrade Report

Version 6.1.1

iOS 17.5.1

Tenex

40 North Pearl Street, Suite 5

Albany, NY 12207-2729

August 27, 2024

Version History

08.24.2024– Original Version

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Update Description & Recommendation

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

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

- Software application:
 - Precinct Central Touchpad: Version 6.1.1
 - Precinct Central Console: Version 24.1
- Operating system:
 - iPadOS 17.5.1

The operating system update was a result of Apple's release of new iPadOS versions. The iPadOS versions under consideration for approval are iPadOS 17.5.1.

The hardware remains the same as the previously approved configuration:

- Hardware:
 - 6th Generation iPad
 - 7th Generation iPad
 - 8th Generation iPad
 - 9th Generation iPad
 - 10th Generation iPad

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 Tenex to 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 functional, challenge report and security requirements used in the EPBS approval process. If the proposed update/change to the EPBS will not change how the requirement was implemented for the approved version, then the vendor shall attest to such fact. If the proposed update/change to the EPBS will change how the requirement was implemented for the approved version, then the vendor shall attest to such fact. For each change, the vendor

shall provide a description of how they have met the requirement in the proposed update. The vendor will be required to provide updated Technical Data Package (TDP) documentation/narrative with associated artifacts that offers evidence of meeting the requirement.

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

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

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

Staff from NYSBOE's Election Operations Unit (EOU) performed the following 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 Tenex 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 (Precinct Central Touchpad: Version 6.1.1 / Precinct Central Console: Version 24.1) and iPadOS versions (17.5.1) submitted by Tenex 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 NYSBOE

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

Section 5 – Vendor Details: complete all fields

Section 6 – General Information: complete all fields and questions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix 9 – Application Reference Information: reference documentation for submissions

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

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

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

Submissions shall be sent to:

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

Should you have any questions, please do not hesitate to contact the Election Operations Unit of the State Board of Elections at Election_Ops@elections.ny.gov 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 | Change/Modification to Voting System Certification |
| Application for ePoll Book System Approval | Change/Modification to ePoll Book System Approval |
| Application for Automated Audit Tool Authorization | Change/Modification to Automated Audit Tool Authorization |

2 - Description of System

Select all that apply:

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

3 - Application Date

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

4 - System Name and Version

Official name and version of the submitted system:

5 - Vendor Applicant Details

Full Legal Name of Vendor:			
Contact Person:			
Address of Company:			
Phone Number:		Fax Number:	
E-Mail:	lena.santiago@tenexsolutions.com	Cell Phone:	
Federal Tax ID Number:			

6 - General information

Do you own all rights to this equipment/system? **Yes** **No**
If not, please explain:

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

Type of business\organization:

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

Date Established:

If a corporation, State of Incorporation:

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

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

- 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)

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)

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.

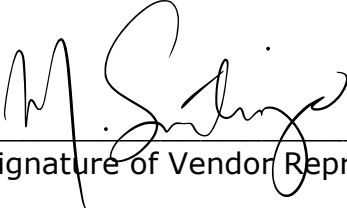
Systems change notes: If a revision of a previous system, supply detailed specifications of the changes. (see Appendix 8 below for minimum content required).

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."

Date



Signature of Vendor Representative

Print Name

Title

Company Name

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

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

Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority

A check made payable to the State Board of Elections in the amount of \$5,000 to cover the cost of certification shall be deposited in a state special revenue account. Notice shall be provided to vendor when additional funds are required to be deposited ****see note from page 2 – voting system certification only***

Vendor shall submit full face ballot with the application: for a DRE submit a screen shot showing the ballot layout; for op-scan submit a paper ballot

Vendor shall submit a complete Technical Data Package (TDP)

Vendor shall submit all attestations. The attestations shall meet the following requirements of New York regulations: 6209.4(h)1-4, 6209.4(i) and 6209.5(g) (See Appendix 3)

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

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

Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority

Vendor shall submit detailed system change notes including but not limited to: Unique ID#, Type of Change (Cosmetic, Minor Bug Fixes, Major Bug Fixes, New Feature, Performance Enhancement), Description of Symptom/Issue, Version Discovered, Describe the Fix/Modification/Enhancement (See Appendix 8)

Vendor shall provide detailed references to the specific sections of the documentation that are to be changed

Vendor shall submit other information relevant to the evaluation of the system change, such as test documentation, and records of the system's performance history, failure analysis and corrective actions

Vendor shall provide risks associated with making and not making the proposed changes

Vendor shall submit a complete Technical Data Package (TDP)

Vendor shall submit all attestations. The attestations shall meet the following requirements of New York regulations: 6209.4(h)1-4, 6209.4(i) and 6209.5(g) (See Appendix 3)

Appendix 3: Voting System/Automated Audit Tool Attestation

Vendor shall submit attestation:

I hereby agree to provide the voting system and to furnish all documentation required by part 6209 official compilation of codes, rules and regulations of the state board of elections or its designee upon demand and further agree to reimburse the state board for the cost of examination within thirty (30) days of receipt of notification of such cost. I understand that I may be required to place the voting system in the state board's possession for as long as such system is in use in New York state.

I hereby affirm the following obligations under section 6209.4:

(h)(1) the submitted voting system complies with all applicable rules adopted by the State Board, and with all applicable 2005 Federal Voting System Guidelines not inconsistent with State law or these regulations, and is suitable for use by voters.

(h)(2) the vendor will quote and provide a statewide, uniform price for each unit of the voting system's equipment.

(h)(3) the submitted voting system's 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 voting system to cease functioning at a future time), which may disable, damage disarm or otherwise affect the proper operation of the voting system, any hardware, or any computer system or other property of the State Board or county board.

(h)(4) any submitted voting system provides methods through security seals or device locks to physically secure against attempts to interfere with correct system operations. Such physical security shall guard access to machine panels, doors, switches, slots, ports, peripheral devices, firmware, and software.

(i) All vendors shall submit with their application forms, information regarding past or pending court cases involving their voting systems or its major components, any evidence of fraud, faulty systems, or failure to correct past problems.

I hereby affirm all obligations under section 6209.5, including the requirement for disclosure of any pecuniary interest in or any direct or indirect control over any testing laboratory which may be used in connection with the certification or acquisition of any voting system.

Signature

Date

Print Name

Company Name

Address

City

State

Zip

Appendix 4: Submission Checklist for ePoll Book Systems Approval

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

Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority

Vendor shall submit a complete ePoll Book application checklist: used to confirm that all required items are included in the submission

Vendor shall submit a complete ePoll Book Requirements matrix with the required documentation/narrative artifacts that provides evidence of meeting the requirement

Vendor shall provide a complete and working iteration of their EBPS including, but not limited to:

- At least three (3) electronic poll book 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

Vendor shall submit all attestations

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

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

Vendor shall submit a complete application: all information must be filled out, signed by applicant with binding authority

Vendor shall submit detailed system change notes including but not limited to: Unique ID#, Type of Change (Cosmetic, Minor Bug Fixes, Major Bug Fixes, New Feature, Performance Enhancement), Description of Symptom/Issue, Version Discovered, Describe the Fix/Modification/Enhancement (See Appendix 8)

Vendor shall provide detailed references to the specific sections of the documentation that are to be changed

Vendor shall submit other information relevant to the evaluation of the system change, such as test documentation, and records of the system's performance history, failure analysis and corrective actions

Vendor shall provide risks associated with making and not making the proposed changes

Vendor shall submit a completed ePoll Book Requirements Update Attestation Spreadsheet

Vendor shall submit all attestations

Vendor shall submit any new hardware that is referenced in the application

Vendor shall provide the new software that is referenced in the application by 1) remote installation or 2) secure file transfer

Appendix 6: ePoll Book Attestation

Vendor shall submit attestation:

I hereby attest to the following:

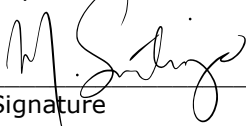
That the submitted EPBS complies with all applicable requirements and standards adopted by the state board and is suitable for use by County Board of Elections.

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.



Signature

Date

Print Name

Company Name

Address

City State Zip

Appendix 7 – ePoll Book System Operating System Attestation

Vendor shall submit attestation:

Updated Operating System Version #: _____

I hereby attest to the following:

That the updated operating system does not cause or introduce any issues or problems with the electronic poll book system (EPBS) configurations already evaluated and approved by the state board and is suitable for use by County Board of Elections.

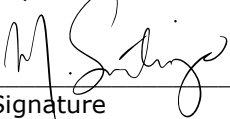
That the updated operating system does not cause or introduce any issues or problems with the electronic poll book system (EPBS) configurations under evaluation by the state board.

That the EPBS remains in full compliance with all applicable requirements and standards, including but not limited to, all security requirements and standards adopted by the state board when using the updated operating system.

That all relevant documentation related to the testing of EPBS configurations using the operating system aforementioned has been provided to the state board.

Vendor consents to vulnerability and penetration testing on their electronic poll book system using the updated operating 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.



Signature

Date

Print Name

Company Name

Address

City State Zip

Appendix 9 - Application Reference Information

Electronic Poll Book System

Requirement References:

New York State Election Law and Rules and Regulations

<https://www.elections.ny.gov/ElectionLaw.html>

Submitted Documents:

Application for ePoll Book System Approval

- Election System Application
- ePoll Book Application Vendor Checklist
- ePoll Book Requirements Matrix
- ePoll Book Attestation
- Technical Data Package (TDP)

Change/Modification to ePoll Book System Approval

- Election System Application
- ePoll Book Attestation
- ePoll Book Vendor Operating System Attestation
- ePoll Book Requirements Update Attestation Spreadsheet
- Risks associated with making and not making changes
- Technical Data Package (TDP)
- System Change Notes

Voting System/Automated Audit Tool

Submitted Documents:

Application for Voting System Certification

- Election System Application
- Full Face Ballot Examples
- Voting System/Automated Audit Tool Attestation
- Technical Data Package (TDP)

Change/Modification to Voting System Certification

- Election System Application
- Voting System/Automated Audit Tool Attestation
- Technical Data Package (TDP)
- System Change Notes

References

New York State Election Law and Rules and Regulations

<https://www.elections.ny.gov/ElectionLaw.html>

United States Election Assistance Commission

<https://www.eac.gov/voting-equipment/voluntary-voting-system-guidelines>

- 2005 Voluntary Voting System Guidelines :: Volume 1 :: Version 1
- 2005 Voluntary Voting System Guidelines :: Volume 2 :: Version 1

Appendix 2 - Electronic Poll Book System Vendor Attestation

Appendix 6: ePoll Book Attestation

Vendor shall submit attestation:

I hereby attest to the following:

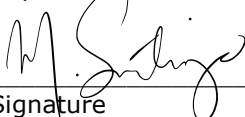
That the submitted EPBS complies with all applicable requirements and standards adopted by the state board and is suitable for use by County Board of Elections.

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.

 _____ Signature	July 29, 2024 _____ Date	
Lena Santiago _____ Print Name		
Tenex Software Solutions, Inc. _____ Company Name		
5021 W. Laurel Street _____ Address		
Tampa _____ City	FL _____ State	33607 _____ 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)	Yes	
F-2	The EPBS-PS shall have the capability to be labelled, locked and sealed in carrying cases with tamper-evident security seals when not in use at the poll site.	Mandatory	Security	§4-134(2)	Yes	
F-3	The EPBS-PS shall support a dual authentication feature where the coordinated action of (2) election inspectors who are not members of the same political party is required to enable use of the electronic poll books when poll sites open.	Mandatory	Security	§8-202	Yes	
F-4	The EPBS-PS shall display the date of the election being conducted on each screen.	Mandatory	Functional	§6212.9	Yes	
F-5	The EPBS-PS shall be capable of utilizing an "appropriate marking device" to capture the signature as signed by the registered voter.	Mandatory	Functional	§4-128(1), §4-132(c)	Yes	
F-6	The EPBS-PS shall conceal the voter's facsimile signature until after the voter has completed signing their signature, at which point both signatures will be displayed for inspector comparison.	Mandatory	Functional	§8-304(3)	Yes	
F-7	The EPBS-PS shall have the ability to display an electronic list of voters in alphabetical order for a: - single election district or - poll site.	Mandatory	Functional	§1-104(38)	Yes	
F-8	The EPBS electronic list of voters shall be generated from a computer registration file for each election.	Mandatory	Functional	§1-104(38)	Yes	
F-9	When used at a primary election, the EPBS-PS shall have the ability to display the names of the voters enrolled in a particular political party.	Mandatory	Functional	§5-506(3)(c)	Yes	

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)	Yes	
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)	Yes	
F-12	For voters requiring assistance, the EPBS-PS should display the assistance oath.	Optional	Functional	§8-306(5)	Yes	

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)	Yes	
F-14	For voters described in F-13, the EPBS shall provide an ability for the inspectors to record information including but not limited to the following items: - absentee vote, - military vote, - year of election, - month of election	Optional	Functional	§9-209(2)(a)(i)(D)	Yes	
F-15	The EPBS-PS shall enable a poll worker to search for a voter's record. Search criteria must include either a complete or partial match to one or more of the following: - Last Name - First Name - Date of Birth - Address	Mandatory	Functional	§8-302	Yes	
F-16	For primary elections, the search criteria should include all items from F-15, as well as Party Enrollment.	Optional	Functional	§8-302	Yes	
F-17	The EPBS-PS shall have the ability to display the names of special federal voters separate and apart from other voters contained in the list.	Mandatory	Functional	§11-206	Yes	
F-18	The EPBS-PS may provide a street finder or other tool that would enable election inspectors and/or poll site coordinators to determine the correct election district and polling place for a voter who is in an incorrect poll site.	Optional	Functional	§8-302	Yes	
F-19	The EPBS shall indicate whether a voter has already cast a ballot.	Mandatory	Functional		Yes	
F-20	In addition to alphabetical order, the EPBS-PS should be configurable to	Optional	Functional		Yes	
F-21	The vendor shall describe how their EPBS shall be configurable to allow	Mandatory	Functional		Yes	
F-22	The EPBS shall provide the ability for county board of elections staff to	Mandatory	Functional		Yes	
F-23	The EPBS shall be configurable to allow for the exporting of election data	Mandatory	Functional		Yes	
F-24	The EPBS shall be capable of exporting voter history in a format that can	Mandatory	Functional		Yes	
F-25	The vendor shall describe the process by which maintenance and	Mandatory	Functional		Yes	
F-26	The EPBS shall have the ability to export any voter signature captured by	Mandatory	Functional		Yes	

F-27	The EPBS must guarantee that a voter can be checked in at most once	Mandatory	Functional		Yes	
F-28	The EPBS shall identify voters that have been checked in at two or more	Mandatory	Functional		Yes	
F-29	In the event of a temporary interruption of connectivity within an EPBS,	Mandatory	Functional		Yes	
F-30	In the event of a temporary interruption of connectivity within an EPBS,	Mandatory	Functional		Yes	
F-31	In the event of a temporary interruption of connectivity within an EPBS,	Mandatory	Functional		Yes	
F-32	The vendor shall describe the process by which they will develop and	Mandatory	Training		Yes	
F-33	The vendor shall provide help-desk support to each County Board of	Mandatory	Technical		Yes	
F-34	The vendor shall provide enhanced help desk services to support CBOE	Mandatory	Technical		Yes	
F-35	The EPBS shall have the ability to generate reports based on any defined	Mandatory	Reporting		Yes	
F-36	Vendor shall provide a list of data fields which the EPBS is capable of	Mandatory	Reporting		Yes	
F-37	The EPBS should allow authorized users the capability to create, modify	Optional	Reporting		Yes	
F-38	The EPBS shall generate reports in a well established, non-proprietary	Mandatory	Reporting		Yes	
F-39	The EPBS should allow authorized users to select from a list of available	Optional	Reporting		Yes	
F-40	The EPBS shall allow authorized users to view reports before saving or	Mandatory	Reporting		Yes	
F-41	The EPBS should allow including the name of the report, the date	Optional	Reporting		Yes	
F-42	The vendor shall describe the required electrical supply specifications for	Mandatory	Power/Battery		Yes	
F-43	The vendor shall describe the EPBS-PS battery specification including but	Mandatory	Power/Battery		Yes	
F-44	The vendor shall describe how to:	Mandatory	Power/Battery		Yes	
F-45	The vendor shall describe how the EPBS-PS retains its data when power	Mandatory	Power/Battery		Yes	
F-46	In the event of a temporary loss of power, the EPBS-PS must permit a	Mandatory	Power/Battery		Yes	
F-47	The EPBS-PS shall be configured in such a way that the operator is	Mandatory	Power/Battery		Yes	
F-48	The EPBS-PS shall be capable of automatically switching to a backup	Mandatory	Power/Battery		Yes	
F-49	The EPBS shall concurrently support all connected devices from all poll	Mandatory	Non-Functional		Yes	
F-50	The vendor shall attest that they will have the ability to deliver the	Mandatory	Non-Functional		Yes	
F-51	As of the date of the vendor's application for approval of the EPBS by the	Mandatory	Non-Functional		Yes	
F-52	The vendor must provide a list of customers who are using, or have	Mandatory	Non-Functional		Yes	
F-53	The vendor must provide a description of any known anomalies in the	Mandatory	Non-Functional		Yes	
F-54	The vendor shall provide instructions and materials sufficient for the	Mandatory	Non-Functional		Yes	
F-55	The EPBS shall provide means for the integration of an additional EPBS-	Mandatory	Technical		Yes	
F-56	The EPBS shall provide means for the exclusion of an existing EPBS-PS	Mandatory	Technical		Yes	
F-57	Each EPBS-PS within an EPBS configuration must have a unique	Mandatory	Technical		Yes	
F-58	The EPBS must be designed to tolerate any single point of failure	Mandatory	Technical		Yes	
F-59	The EPBS-PS shall have the capability to display a prompt or warning if	Mandatory	Functional		Yes	
F-60	An EPBS-PS must provide a user interface through which authorized	Mandatory	User Interface		Yes	
F-61	The EPBS-PS should provide election inspectors with access to on-screen	Optional	User Interface		Yes	
F-62	The EPBS must provide a user interface through which authorized users	Mandatory	User Interface		Yes	
F-63	The EPBS must provide a user interface through which authorized users	Mandatory	User Interface		Yes	
F-64	The EPBS-PS may include a bar code reader.	Optional	Barcode		Yes	

F-65	The EPBS-PS should display a voter's record based on the processing of	Optional	Barcode		Yes	
F-66	The vendor shall describe how their EPBS supports existing Section 203	Mandatory	Functional		Yes	
F-67	The vendor shall describe how their EPBS provides accessibility	Mandatory	Functional		Yes	
F-68	The EPBS should be capable of importing ballot schema that will enable	Optional	Functional		Yes	
F-69	Vendor shall provide the results and supporting documentation related	Mandatory	Functional		Yes	

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Attestation	Vendor Attestation Response 'NO' Provide a description of how you have met the requirement in the proposed update/change. For documentation, provide the Name and Location (Section and Page Number) where requirement is met.
CR-1	<p>County Board of Elections are required to complete a challenge report based on the criteria set forth in New York State Election Law §8-508. Challenge report; preparation.</p> <p>The vendor shall describe if and how their solution implements the requirements for each section of the challenge report. If the vendor's solution does not meet the challenge report requirements, the vendor shall document 'solution does not implement this functionality' in their response. Please see attached appendices required to complete the challenge process (Challenge Report, Challenge Report Inspector Certification, Challenge Poll Site Oaths)</p>	Mandatory	Functional	§8-508	Yes	
CR-2	<p>Section One – change of name or address</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	Yes	
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	Yes	

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

CR-6	<p>The EPBS-PS may be capable of printing a challenge report which contains the names of:</p> <ul style="list-style-type: none"> - 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	Yes	
CR-7	<p>The EPBS-PS may be capable of printing a certification at the end of the challenge report stating that the entries made are a true and accurate record of its proceedings with respect to the persons named in such report.</p>	Optional	Functional	§8-508	Yes	
CR-8	<p>The EPBS-PS may be capable of printing additional information on the challenge report including but not limited to:</p> <ul style="list-style-type: none"> - 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	Yes	

Req #	Electronic Post-Book System Security Requirements	Status	Category	Is control implemented at pull request device, network, or hosted system or all of the above	Attestation	Vendor Attestation Response 'NO'
S-1	Vendor shall provide a system overview and functional diagram of the entire EPSS and how each component integrate into it. The description shall include how the entire system is administered, configured and managed.	Mandatory	Documentation	Entire ePost Book System	Yes	
S-2	Vendor shall provide a system architecture diagram for their proposed solution that includes a description of how the solution is architected addressing gaps and load or tested or a hybrid construct if needed. If customer systems are needed to host software, information on how these systems must be configured and hardened shall be provided.	Mandatory	Documentation	Vendor	Yes	
S-3	Vendor shall provide software system design documentation describing the logical design of the software. This documentation shall clearly indicate the logical flow of the software, flow functions, and their interrelationships with other. This shall include the data format(s) the system is capable of receiving and reporting.	Mandatory	Documentation	Vendor	Yes	
S-4	Vendor shall provide, for any cloud-hosted components, proof that these components have achieved a FedRAMP compliance and are hosted in a FedRAMP authorized cloud service provider. Vendor shall provide proof of FedRAMP compliance as well as documentation of who is responsible for each required security control.	Optional	Documentation	Vendor	Yes	
S-5	All EPSS data shall remain in the Continental United States (CONUS). Any EPSS data stored, or which can be, must be located either in data centers in CONUS. Services which directly or indirectly access EPSS data shall only be performed from locations within CONUS. Vendor shall provide proof of compliance.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-6	All EPSS data in transit shall remain in CONUS and be encrypted in accordance with requirement S-5. Vendor shall provide proof of compliance.	Mandatory	Encryption	Entire ePost Book System	Yes	
S-7	Vendor shall provide, for any non-cloud-hosted components, evidence of any third party validation of security controls or assessments that have been conducted.	Mandatory	Documentation	Vendor	Yes	
S-8	Vendor shall develop, document and maintain the baseline configuration of the EPSS software and software components. The vendor documentation shall describe all maintenance activities that are necessary to ensure the EPSS remains in the desired configuration and functioning in a secure manner. This baseline configuration and maintenance procedure document shall be provided and shall clearly identify the software services that must be in place to maintain the baseline configuration.	Mandatory	Documentation	Entire ePost Book System	Yes	
S-9	Vendor shall provide documentation on how the post-book solution and its related components have been hardened to any applicable Center for Internet Security (CIS) benchmarks, or other standards (e.g., DHS ISAC STIG). Name all standards used and to which component they apply to (e.g., servers, mobile devices, wireless).	Mandatory	Documentation	Entire ePost Book System	Yes	
S-10	The EPSS shall support the use of multi-factor authentication for all privileged and administrator access other than at the post site.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-11	The EPSS shall incorporate precautions to prevent fraudulent manipulation of the user clock to prevent. Vendor shall describe both the preventative and detective controls within the system.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-12	The EPSS shall employ the principle of least privilege for each permitted user within the system, allowing only the minimum privileges for users (or processes acting on behalf of users) that are necessary to accomplish assigned tasks such as post service and user access and other administrative tasks. Vendor shall document how incorporated role based access controls accomplish this.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-13	The EPSS shall require the coordinated action of (2) decision makers who are not members of the same public party to enable use of the electronic post-book system capabilities.	Mandatory	Access Control	ePost Book/Post Site	Yes	
S-14	Vendor shall describe what configuration item changes can be made by authorized individuals through system (without administrator login).	Mandatory	Access Control	Entire ePost Book System	Yes	
S-15	Vendor shall describe the capabilities of the EPSS related to automated removal of inactive sessions (e.g. post devices, remote admin connections, persistent sessions, etc.)	Mandatory	Access Control	Entire ePost Book System	Yes	
S-16	The EPSS shall prevent unauthorized or unapproved electronic, post-book device communication with user and control components, including post-book backend servers, peer post-book devices and/or wireless access points.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-17	The EPSS shall not require a direct connection to any other electronic system or decision component (i.e. user registration system, billing capabilities, etc.).	Mandatory	Access Control	Entire ePost Book System	Yes	
S-18	The EPSS shall support: 1. The ability to define groups and role-based access 2. The ability to create, modify, modify, enable, and archive EPSS accounts 3. The ability to monitor the user of EPSS accounts	Mandatory	Access Control	Entire ePost Book System	Yes	
S-19	The EPSS shall: a. Offer a configurable limit of consecutive invalid login attempts by a user b. Automatically disable or lock an account with identifying an administrator or after a configurable time period when the maximum number of consecutive attempts is exceeded	Mandatory	Access Control	Entire ePost Book System	Yes	
S-20	The EPSS shall:	Mandatory	Access Control	Entire ePost Book System	Yes	
S-21	The EPSS shall support the use of wireless LANs.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-22	The EPSS shall support internal host protection capabilities (e.g. malware).	Mandatory	Access Control	Entire ePost Book System	Yes	
S-23	The EPSS shall support mobile device authentication.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-24	Vendor shall describe how the EPSS connects users to the system.	Mandatory	Access Control	Entire ePost Book System	Yes	
S-25	The EPSS shall be capable of providing comprehensive audit logs that can:	Mandatory	Audit	Entire ePost Book System	Yes	
S-26	Vendor shall provide a time and date stamp of all messages sent.	Mandatory	Audit	Entire ePost Book System	Yes	
S-27	The EPSS shall support logging of:	Mandatory	Audit	Entire ePost Book System	Yes	
S-28	The EPSS shall support logging of:	Mandatory	Audit	Entire ePost Book System	Yes	
S-29	The EPSS shall support the generation of alerts to responsible staff like:	Mandatory	Audit	Entire ePost Book System	Yes	
S-30	The EPSS shall support and generate alerts to responsible staff and:	Mandatory	Audit	Entire ePost Book System	Yes	
S-31	The EPSS shall provide the capability to review and archive EPSS logs.	Mandatory	Audit	Entire ePost Book System	Yes	
S-32	The EPSS shall provide audit information and audit logs from:	Mandatory	Audit	Entire ePost Book System	Yes	
S-33	The EPSS shall:	Mandatory	Backup & Restore System	Yes		
S-34	The EPSS shall support a high-availability feature to be configured in such a manner that:	Mandatory	Backup & Restore System	Entire ePost Book System	Yes	
S-35	The EPSS shall be able to recover from the following events:	Mandatory	Backup & Restore System	Entire ePost Book System	Yes	
S-36	The EPSS shall:	Mandatory	Continuity	Entire ePost Book System	Yes	
S-37	Vendor shall provide documentation on how their Software Development Lifecycle (SDLC) process is managed.	Mandatory	Documentation	Vendor	Yes	
S-38	Vendor shall describe what capabilities the EPSS has to detect, alert and respond to security events.	Mandatory	Documentation	Vendor	Yes	
S-39	Vendor shall provide documentation and facts from the design of the EPSS that demonstrate how the system is designed to detect and respond to security events.	Mandatory	Documentation	Vendor	Yes	
S-40	Vendor shall provide all the documentation necessary for this:	Mandatory	Documentation	Vendor	Yes	
S-41	Vendor shall provide documentation, after all testing is complete, that demonstrate that the system meets the requirements for this:	Mandatory	Documentation	Vendor	Yes	
S-42	Vendor shall provide detailed information concerning the system's:	Mandatory	Documentation	Vendor	Yes	
S-43	Vendor shall describe encryption and other security measures to protect:	Mandatory	Documentation	Vendor	Yes	
S-44	Vendor shall describe the system's ability to detect, alert and respond to security events.	Mandatory	Documentation	Vendor	Yes	
S-45	Vendor shall describe documentation of system security functions.	Mandatory	Documentation	Vendor	Yes	
S-46	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-47	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-48	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-49	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-50	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-51	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-52	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-53	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-54	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-55	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-56	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-57	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-58	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-59	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-60	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-61	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-62	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-63	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-64	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-65	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-66	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-67	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-68	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-69	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-70	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-71	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-72	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-73	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-74	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-75	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-76	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-77	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-78	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	
S-79	Vendor shall describe how the security controls were in the development of the system.	Mandatory	Documentation	Vendor	Yes	

Appendix 4 - Technical Data Package Review

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided?	Documentation Provided
1	System Configuration Overview	VVSG Vol 2: 2.2	System Overview	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.	Yes	<i>Admin Operating Manual.pdf</i> <i>State of New York Poll Worker Guide.pdf</i> <i>Configuration Mangement Plan.pdf</i> <i>Technical Data Package.pdf</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.	Yes	<i>Hardware Specifications.pdf</i> <i>State of New York Poll Worker Guide.pdf</i> <i>Technical Data Package.pdf</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.	Yes	<i>Hardware Specifications.pdf</i> <i>Compatible Peripherals.pdf</i> <i>Configuration Mangement Plan.pdf</i> <i>Technical Data Package.pdf</i> <i>Support and Maintenance.pdf</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.	Yes	<i>Compatible Peripherals.pdf</i> <i>Consumables.pdf</i> <i>Hardware Specifications.pdf</i> <i>Technical Data Package.pdf</i>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided?	Documentation Provided
5	System hardware specifications	VVSG Vol 2: 2.4.1	System Hardware Characteristics	<p>The vendor shall provide a detailed discussion of the characteristics of the system including:</p> <ul style="list-style-type: none"> -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. 	Yes	<p><i>Hardware Specifications.pdf</i> <i>Technical Data Package.pdf</i> <i>Compatible Peripherals.pdf</i> <i>Configuration Mangement Plan.pdf</i> <i>Support and Maintenance.pdf</i></p>
6	Software design and specifications	VVSG Vol 2: 2.5	Software Design and Specification	<p>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.</p>	Yes	<p><i>Software System Design.pdf</i> <i>Admin Operating Manual.pdf</i> <i>Technical Data Package.pdf</i></p>
7	System security specifications	VVSG Vol 2: 2.6	System Security Specification	<p>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.</p>	Yes	<p><i>RecommendedSecurityPractices.pdf</i> <i>Technical Data Package.pdf</i> <i>Apple Platform Security-February 2021,</i> <i>Admin Operating Manual.pdf</i></p>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided?	Documentation Provided
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.	Yes	<i>RecommendedSecurityPractices.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</i>
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.	Yes	<i>RecommendedSecurityPractices.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual</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.	Yes	<i>RecommendedSecurityPractices.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual</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.	Yes	<i>Software System Design.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</i> <i>Devices are delivered pre-installed</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.	Yes	<i>RecommendedSecurityPractices.pdf</i> <i>Admin Operating Manual.pdf</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.	Yes	<i>Internal and External Testing.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</i>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided?	Documentation Provided
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.	Yes	<i>Admin Operating Manual.pdf</i> <i>Personnel Deployment and Training.pdf</i> <i>State of New York Poll Worker Guide.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</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.	Yes	<i>Support and Maintenance.pdf</i> <i>Storage and Warehouse Requirements.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</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.	Yes	<i>Personnel Deployment and Training.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</i>

#	Application Requirements	VVSG Vol. 2 Mapping	Requirement Type (VVSG Category)	Guidance	Documentation Provided?	Documentation Provided
17	Configuration management plan	VVSG Vol 2: 2.11	Configuration Management Plan	<p>Vendors shall submit a Configuration Management Plan that describes all policies, processes, and procedures employed by the vendor to carry out these requirements. Information submitted by the vendor shall be used by to assist in developing and executing the test plan. This information is particularly important to support the design of test plans for system modifications. A well-organized, robust and detailed Configuration Management Plan will enable testers to more readily determine the nature and scope of tests needed to fully test the modifications.</p> <p>The Configuration Management Plan shall contain Configuration Management Policy, Configuration Identification, Baseline and Promotion, Configuration Control Procedures, Release Process, Configuration Audits, and Configuration Management Resources.</p>	Yes	<p><i>Configuration Management Plan.pdf</i> <i>Technical Data Package.pdf</i> <i>Admin Operating Manual.pdf</i></p>
18	Quality assurance program	VVSG Vol 2: 2.12	Quality Assurance Program	<p>Vendors shall submit a Quality Assurance Program that addresses the quality assurance policies, processes, and procedures employed by the vendor to ensure the overall quality of the system for its initial development and release and for subsequent modifications and releases. This information is particularly important to support the design of test plans by the accredited test lab. A well-organized, robust and detailed Quality Assurance Program will more readily determine the nature and scope of tests needed to test the system appropriately. The Quality Assurance Program shall, at a minimum, address Quality Assurance Policy, Parts and Materials Tests, and Quality Conformance Inspections.</p>	Yes	<p><i>Internal Quality Assurance Procedures.pdf</i> <i>Internal and External Testing.pdf</i> <i>Technical Data Package.pdf</i></p>
19	System change notes	VVSG Vol 2: 2.13	System Change Notes	<p>Vendors submitting modifications for a system that has been previously approved by NYSBOE shall submit system change notes. These will be used to assist in developing and executing the test plan for the modified system. The an example of the system change notes shall include the following information: Summary description of the nature and scope of the changes, reasons for each change, a listing of the specific changes made, citing the specific system configuration items changed, providing detailed references to the documentation sections changed, a detail of the specific sections of the documentation that are changed (or completely revised documents, if more suitable to address a large number of changes), documentation of the test plan and procedures executed by the vendor for testing the individual changes, and the system as a whole, and records of test results.</p>	Yes	<p><i>TENEX - 6.0.2 Change Log</i></p>