PROPOSED RESOLUTION 24-18

APPROVAL OF ELECTRONIC POLL BOOK SYSTEM

WHEREAS, Part XX of Chapter 55 of the New York Laws of 2019 authorizes the use of Electronic Poll Book Systems (EPBS) in New York State during elections; and

WHEREAS, said chapter law provides that the State Board of Elections "shall promulgate minimum security standards" for EPBSs being used in New York State; and

WHEREAS, said chapter law provides that the State Board shall "promulgate a list of devices that are approved for use" as EPBSs during elections; and

WHEREAS, one vendor has submitted a system configuration to be considered for approval as an EPBS for use in New York State; and

WHEREAS, the Election Operations Unit is tasked with evaluating the systems to ensure they meet security standards and other relevant standards; and

WHEREAS, the Election Operations Unit has conducted an evaluation of said systems, and has provided summary reports for the consideration of the Board; and

WHEREAS, vulnerability scanning was performed on the systems submitted, to the extent practicable, by staff of the State Board's Secure Election Center (SEC), and reports of their findings have been provided for the consideration of the Board; and

WHEREAS, having considered the reports and the results of evaluation conducted by the Election Operations Unit and the SEC, we do hereby recommend the approval of the system configuration submitted by the following vendor for use:

- ES&S ExpressPoll Version 7.2.7.0 with Windows 10 Enterprise 2019 LTSC IOT

NOW THEREFORE BE IT RESOLVED that the Commissioners of the New York State Board of Elections, at their meeting convened on December 9, 2024, do hereby approve the EPBS configuration submitted by the vendor above. Such approval is based on the specific EPBS hardware and software submitted by the vendor and reviewed by the State Board of Elections. Should the vendor make, or plan to make, any modifications or alterations to the EPBS configuration approved, such modifications or alterations shall be reviewed by the State Board of Elections for approval, consistent with all change management procedures and the use of such systems shall comply with all related State Board procedures and requirements.

Electronic Poll Book System

Vendor Submission Report

ExpressPoll Version 7.2.7.0

Windows 10 Enterprise 2019 LTSC IOT

ES&S

40 North Pearl Street, Suite 5

Albany, NY 12207-2729

November 25, 2024

Version History

11.25.2024– Original Version

Table of Contents

Description & Recommendation

ES&S expressed interest in submitting a new electronic pollbook (EPB) system to be added to the list of approved configurations for use in New York State.

ES&S submitted an application for a new ePoll Book System Approval (Appendix 1) to include the following software and hardware components:

Software

- Software application:
    - ExpressPoll 7.2.7.0
        - Kiosk-based app version for electronic pollbook
        - Web-based central console: ExpressPoll Connect
- Operating system:
    - Windows 10 Enterprise 2019 LTSC IOT

Hardware components:

- EPB Hardware:
    - Microsoft Surface Go 3
- Peripheral hardware components
    - ExpressVote Activation Card Printer
    - Brother BOD9310 Compact Color Printer
    - Brother BOD6400 Compact Printer
    - Epson TM-t20III Thermal Receipt Printer
    - Star Micronics TSP654IIS Thermal Printer
    - Seiko SLP 650 Thermal Label Printer

In addition to functional and security testing, NYSBOE requested ES&S 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 Attestation Spreadsheet (Appendix 3): Vendor shall review each functional, challenge report, and security requirements used in the EPBS approval process. The vendor was also required to demonstrate proof of functionality for all requirements to the satisfaction of an evaluation performed by members of the Ops/SEC staff.

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

- Non-authenticated vulnerability scanning of EPB 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 EPBs connect to.

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

- Reviewed the TDP information (Appendix 4)
- Functional testing to confirm that the hardware and software performed as expected. Functional testing confirmed no apparent anomalies in 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 and hardware submitted by ES&S as described in this document, the EOU 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 approval of the new application (ExpressPoll: Version 7.2.7.0) and Windows version (Windows 10 Enterprise 2019 LTSC IOT) submitted by ES&S.

Appendix 1 - Election System Application: Electronic Poll Book System 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: 8/8/2024

4 – System Name and Version

Official name and version of the submitted system: ExpressPoll 7.2.7.0

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: 8/8/2024

Type of business\organization:

Corporation	☐	Subchapter S Corporation	☐	Privately held Corporation	☐	LLC ✓
Partnership	☐	Sole Proprietorship	☐	Other	☐	

Date Established:

If a corporation, State of Incorporation: Nebraska

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:

Parent Company - Government Systems, Software & Services, Inc. 11128 John Galt Boulevard, Suite 200, Omaha, NE 68137.   Majority Owner - McCarthy Group LLC, 1601 Dodge Street, Suite 3800, Omaha, NE 68102

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

If "yes," name & address:

7 - Representative Contacts

Management

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

Technical

First Name:	TJ	Last Name:	Burns
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:
  - o *New* – No version of the component has previously been certified or approved for use in New York State (NYS)
  - o *Updated* – Other versions of the component have been previously been certified or approved for use in NYS
  - o *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	New	The tablet used to run the ExpressPoll application.
Flip Stand	97-10037-00	New	Securely houses the tablet and integrates all necessary peripheral devices.
ExpressVote Activation Card Printer	4200	New	Used to print ballot style information on ExpressVote activation cards.
Brother BOD9310 Compact Color Printer	HL-L9310CDW	New	Used for direct ballot printing.
Brother BOD6400 Compact Printer	HL-L6400DW	New	Used for direct ballot printing.
Epson TM-T20III Thermal Receipt Printer	M267D	New	Used for thermal receipt printing.
Star Micronics TSP654IIS Thermal Printer	39449670	New	Used for thermal receipt printing.
Seiko SLP 650 Thermal Label Printer	SLP 650	New	Used for thermal label printing.

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:
  - o *New* – No version of the component has previously been certified or approved for use in New York State (NYS)
  - o *Updated* – Other versions of the component have been previously been certified or approved for use in NYS
  - o *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.
  - o 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	7.2.7.0	New	Electronic pollbook software.
Windows 10 Enterprise 2019 LTSC IOT	2019 LTSC IOT	New	Operating System
Firewall	Microsoft Corproation	New	Network security solution
ExpressPoll Connect	ES&S	New	Web application supporting ExpressPoll
Meraki	Cisco	New	Mobile Device Management (MDM) supporting security
Camera license	N/A	New	License for camera use
SEMM	Microsoft Corporation	New	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:

10 - Supported Languages

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

English ☑   Spanish ☑   Chinese ☑   Korean ☑   Bengali ☑

11 - Certification/Approval/Authorization in Other States

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

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

- Authorized

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

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

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

(a) State	(b) Date submitted	(c) Status	(d) Date	(e) Reason for Denial (if applicable)	(f) State Contact Information (Mailing address, Telephone #, Email)
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."

8/8/2024
_____

Date

_____

Signature of Vendor Representative

TJ Burns
_____

Print Name

Sr. State Certification Manager
_____

Title

Election Systems & Software, LLC
_____

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.

8/8/2024

_____   _____
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:
   o At least three (3) electronic poll book devices
   o Any equipment, as defined in the configuration submitted, necessary to network the devices either together or to a backend software system
   o URL and credentials to access any hosted or cloud-based backend software system configured to work with any hardware components submitted

☑ Vendor shall submit all attestations

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.

8/8/2024
_____   _____
Signature   Date

TJ Burns
_____
Print Name

Election Systems & Software, LLC
_____
Company Name

11208 John Galt Blvd.
_____
Address

Omaha   NE   68137
_____
City   State   Zip

Appendix 7 – ePoll Book System Operating System Attestation

Vendor shall submit attestation:

Updated Operating System Version #: __Windows 10 Enterprise 2019 LTSC IOT__

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.

_____	8/8/2024 _____
Signature	Date
TJ Burns	
_____	
Print Name	
Election Systems & Software, LLC	
_____	
Company Name	
11208 John Galt Blvd.	
_____	
Address	
Omaha NE 68137	
City State Zip	

Appendix 8 – System Change Notes

Vendor shall submit detailed system change notes including but not limited to the following:

- Unique ID# - tracking number that is assigned to a bug or modification
- Type of Change:
  - Cosmetic: minor change that affects the appearance of the component but has no impact on the actual functionality or performance of the component
  - Minor Bug Fixes: minor fixes to resolve bugs that did not affect the usability, accuracy, security or reliability of the system
  - Major Bug Fixes: modification of the component to resolve a bug that affected the usability, accuracy, security or reliability of the system
  - New Feature: introduction of a new feature for the system
  - Performance Enhancement: modification that improves of the system without other functional changes (e.g. modification to make a report run faster without changing the make up or layout of the report)
- Description of Symptom/Issue: a plain language description of the system, bug or problem the modification is meant to address.
- Description should be written in a way that someone who is not familiar with the system can understand the issue.
- Version Discovered: version where the bug or issue was first identified
- Describe the Fix/Modification/Enhancement: provide a brief, specific description of the modification made in layman's terms, to be understood by someone who is not familiar with the system

The following format shall be used for the system change notes.

Unique ID#	Type of Change	Description of System/Issue	Version Discovered	Describe the Fix/Modification/Enhancement
PB-860 PB-11211	New Feature	Automation	N/A	Introduced an automated process where Data Conversion receives incremental update files and processes them via API instead of S...
PB-9398	New Feature	User Interface	N/A	Applied unified design updates throughout the application.
PB-9389	New Feature	Voter Details	N/A	Introduced the ability to enable/disable the display of Registered Party and Date of Registration information within Voter Details.
PB-9386	New Feature	Audit Log Connectivity Status	N/A	Added the ability to view Audit Log information related to connectivity for each pollbook device when transactions are backed up via U...
PB-18 PB-11770	New Feature	Technical Enhancements	N/A	Updated various development tools including Angular/Bootstrap,Moved the SQL server operating system to 2022...
		System Change Notes document included in submitted TDP		...Launched a dedicated hosting environment.

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.

Burns, TJ Digitally signed by Burns, TJ Date: 2024.08.05 14:36:27 -05'00'	8/8/2024
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 - EPB Requirements 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.
	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)	Y	
	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)	Y	
	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	Y	
	The EPBS-PS shall display the date of the election being conducted on each screen.	Mandatory	Functional	§6212.9	Y	
	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)	Y	
	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)	Y	
	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)	Y	
	The EPBS electronic list of voters shall be generated from a computer registration file for each election.	Mandatory	Functional	§1-104(38)	Y	
	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)	Y	
	The EPBS shall display, for each voter record, at least the following: - 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)	Y	

Requirement	Priority	Type	Statute	Required
The EPBS-PS shall include for each voter listed the following: - 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)	Y
For voters requiring assistance, the EPBS-PS should display the assistance oath.	Optional	Functional	§8-306(5)	Y
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)	Y
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)	Y
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	Y
For primary elections, the search criteria should include all items from F-15, as well as Party Enrollment.	Optional	Functional	§8-302	Y
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	Y
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	Y
The EPBS shall indicate whether a voter has already cast a ballot.	Mandatory	Functional		Y

Requirement	Optional/Mandatory	Category	Y
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	Y
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	Y
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	Y
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	Y
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	Y
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	Y
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	Y
The EPBS must guarantee that a voter can be checked in at most once during normal connectivity.	Mandatory	Functional	Y
The EPBS shall identify voters that have been checked in at two or more different electronic poll books.	Mandatory	Functional	Y
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	Y
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	Y
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	Y
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	Y

Requirement	Mandatory/Optional	Category	Y/N
The vendor shall provide help-desk support to each County Board of Elections under contract and describe the following: - Help-desk ticket submission process - Help-desk ticket response time standards (follow-up and resolution). - Help-desk ticket escalation and resolution model - Help-desk ticket status reporting - Schedule of Help-desk hours of operation and availability (at minimum help-desk support must be provided from 9:00 a.m. to 5:00 p.m. – Eastern Time – Monday to Friday.	Mandatory	Technical Support	Y
The vendor shall provide enhanced help desk services to support CBOE during the following peak timeframes: - For the period of Early Voting Day 1 to Early Voting Day 9, telephone support shall be provided between the hours of 5:00 am and 10:00 pm Eastern Time. - For the period including Election Day minus 1, Election Day and Election Day plus 1, telephone support must be available during this entire 72-hour period. - For the post election period, which is defined as Election Day plus 1 through Election Day plus 15, phone support shall be provided by the vendor, on each of said days, between the hours of 7:00 am until 7:00 pm, EST.	Mandatory	Technical Support	Y
The EPBS shall have the ability to generate reports based on any defined data fields.	Mandatory	Reporting	Y
Vendor shall provide a list of data fields which the EPBS is capable of generating a bar code for in a report.	Mandatory	Reporting	Y
The EPBS should allow authorized users the capability to create, modify and save custom reports and queries.	Optional	Reporting	Y
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	Y
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	Y
The EPBS shall allow authorized users to view reports before saving or printing them.	Mandatory	Reporting	Y
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	Y
The vendor shall describe the required electrical supply specifications for the EPBS-PS in polling places.	Mandatory	Power/Battery	Y
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	Y

Requirement		Category	
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	Y
The vendor shall describe how the EPBS-PS retains its data when power to the device is exhausted.	Mandatory	Power/Battery	Y
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	Y
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	Y
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	Y
The EPBS shall concurrently support all connected devices from all poll site locations within the county.	Mandatory	Non-Functional	Y
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	Y
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	Y
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	Y
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	Y
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	Y

Requirement	Priority	Category		Supported	Notes
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		Y	
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		Y	
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		Y	
The EPBS must be designed to tolerate any single point of failure scenarios.	Mandatory	Technical		Y	
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		Y	
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		Y	
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		?	Live chat
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		Y	
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		Y	
The EPBS-PS may include a bar code reader.	Optional	Barcode		Y	
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		Y	
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		Y	
The vendor shall describe how their EPBS provides accessibility functionality for voters with disabilities (e.g. high contrast, large font or audio).	Mandatory	Functional		Y	
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		Y	
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		Y	

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	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. 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)	Mandatory	Functional	§8–508	N	Challenge report not incorporated digitally
CR-2	Section One – change of name or address The EPBS-PS may provide inspectors of election the ability to enter the name, address and registration serial number of each person who claims a change in name, or a change of address within the election district, together with the new name or address of each such person. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section one' or provide a separate section for the inspectors of election to enter such information in the EPBS-PS.	Optional	Functional	§8–508	N	
CR-3	Section Two – voters challenged The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each person who is challenged on the day of election, together with the reason for the challenge. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section two' or provide a separate section for the inspectors to enter such information in the EPBS-PS. If no voters are challenged, the EPBS-PS shall provide inspectors the ability to enter the words ''No Challenges'' in the space reserved for such names in the EPBS-PS.	Optional	Functional	§8–508	N	
CR-4	Section Three – voters requiring assistance and who assisted 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.	Optional	Functional	§8–508	N	

ID	Requirement				
CR-5	Section Four – voters pursuant to court order or affidavit 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.	Optional	Functional	§8–508	N
CR-6	The EPBS-PS may be capable of printing a challenge report which contains the names of: - 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	N
CR-7	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.	Optional	Functional	§8–508	N
CR-8	The EPBS-PS may be capable of printing additional information on the challenge report including but not limited to: - 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	N

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.
	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	Mandatory	Documentation	Entire ePoll Book System	Y	
	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	Mandatory	Documentation	Vendor	Y	
	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	Y	
	uld 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	Y	
	a 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	Y	
	a in transit shall remain in CONUS and be encrypted in with requirement #5-55 below. Vendor shall provide proof of	Mandatory	Encryption	Entire ePoll Book System	Y	
	provide, for any non-cloud hosted components, evidence of any third party validation of security controls or assessments that have eted.	Mandatory	Documentation	Vendor	Y	
	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	Y	
	provide documentation on how the poll book solution and omponents have been hardened to any applicable Center for urity (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	Y	

Requirement				
all 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	Y
all 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	Y
all 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	Y
all require the coordinated action of (2) election inspectors who are not members of the same political party to enable use of the oll books for poll site operation.	Mandatory	Access Control	ePoll Book/Poll Site	Y
describe what configuration item changes can be made by authorized individuals through system defined Administration role(s).	Mandatory	Access Control	Entire ePoll Book System	Y
describe the capabilities of the EPBS related to automated timeout of inactive sessions (e.g. poll devices, remote admin , account login sessions, etc.).	Mandatory	Access Control	Entire ePoll Book System	Y
all 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 ess points.	Mandatory	Access Control	Entire ePoll Book System	Y
all not require a direct connection to any other election system or election system component (i.e. voter registration system, ines, etc.).	Mandatory	Access Control	Entire ePoll Book System	Y
all support: a. The ability to define groups and role-based access b. The ability to create, enable, modify, disable, and archive EPBS accounts to monitor the use of EPBS accounts	Mandatory	Access Control	Entire ePoll Book System	Y
all: 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 nsuccessful attempts is exceeded	Mandatory	Access Control	Entire ePoll Book System	Y
all: a. Prevent access to the system by initiating a session lock after a configurable number of minutes of inactivity **or** 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	Mandatory	Access Control	Entire ePoll Book System	Y

Requirement				
all: 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	Y
all support the use of unique user IDs.	Mandatory	Access Control	Entire ePoll Book System	Y
all support industry best practices regarding passwords (e.g. password length, password aging, password complexity, etc.).	Mandatory	Access Control	Entire ePoll Book System	Y
all support mutual device authentication.	Mandatory	Access Control	Entire ePoll Book System	Y
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	Y
all be capable of providing comprehensive audit logs that can be exported in non-proprietary, human readable format.	Mandatory	Audit	Entire ePoll Book System	Y
provide a listing and description of what messages and events generated by the EPBS (including poll book devices) become part of record.	Mandatory	Audit	Entire ePoll Book System	Y
all 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	Y
all support the generation of alerts to responsible staff (by 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, etc.).	Mandatory	Audit	Entire ePoll Book System	Y
all manage and allocate audit record storage capacity and configure auditing to reduce the likelihood of such capacity being	Mandatory	Audit	Entire ePoll Book System	Y
all provide the capability to review and analyze EPBS audit larly 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	Y

	all: 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	Y
	all protect audit information and audit tools from unauthorized access, modification, and deletion.	Mandatory	Audit	Entire ePoll Book System	Y
	all: a. Support the back up of audit records onto a physically different system or system component other than the system or component being audited ta into a format that can be used to reconstruct the backend another server	Mandatory	Backup & Recovery	Backend System	Y
	all 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 oll 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	Y
	all 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 of the electronic poll book to the operating condition existing error or failure, without loss or corruption of data previously stored in the device.	Mandatory	Backup & Recovery	Entire ePoll Book System	Y
	all: 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	Mandatory	Contingency Planning	Entire ePoll Book System	Y
	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	Y
	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	Y

					Description
	Mandatory	Documentation	Vendor	Y	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	Y	provide documentation and testing results showing that the electronic poll book solution does not exhibit vulnerabilities and from sources such as Open Web Application Security Project (OWASP) and the Common Weakness Enumeration (CWE).
	Mandatory	Documentation	Vendor	Y	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). 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 and training requirements, configuration management plan, quality assurance program, and system change notes.
	Mandatory	Documentation	Vendor	Y	provide documentation from other election jurisdictions (other states) that have: 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
	Mandatory	Documentation	Vendor	Y	umentation 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	Y	provide detailed information concerning all consumables used by the EPBS and the vendor's supply chain for those consumables.
	Mandatory	Documentation	Vendor	Y	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	Network	Y	describe recommended or included, internet intrusion ntrusion prevention and control protocols for any part of the system which involves network connections.
	Mandatory	Documentation	Entire ePoll Book System	Y	provide documentation on a system's non-functional qualities including, but not limited to, Accessibility, Performance, Availability, Reliability, Safety, Security, Usability and Auditability.

Requirement	Priority	Category	Applies To	Y/N
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	Y
provide "User Guide" documentation for each user role that specifies how each user can utilize the system in a secure and anner.	Mandatory	Documentation	ePoll Book/Poll Site	Y
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	Y
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, storage, access, and destruction.	Mandatory	Encryption	Entire ePoll Book System	Y
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 in a manner sufficient to determine how closely the solution adheres to the principles espoused in the CMVP.	Mandatory	Encryption	Entire ePoll Book System	Y
all support non-repudiation and protection against an individual (or process acting on behalf of an individual) falsely denying rmed a particular action.	Mandatory	Encryption	Vendor	Y
all 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	Y
all utilize cryptographic hashing and storage for all system	Mandatory	Encryption	Vendor	Y
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 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	Y

Requirement				
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	Y
all 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	Y
describe, for hosted solution offerings, how their incident response plan documentation aligns with NIST SP 800-61.	Mandatory	Incident Response	Vendor	Y
describe how any file to be used within the EPBS, (e.g., for information exchange with other election systems, audit purposes, etc.,) ed 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	Y
all be protected against malware. The vendor shall provide documentation of controls within the system and procedural ations relevant to this.	Mandatory	Integrity	Vendor	Y
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	Y
describe how remote system administration, software package deployment and system updates are done securely (e.g. secure ch as TLS, IPSEC, etc.).	Mandatory	Integrity	Entire ePoll Book System	Y
describe how their EPBS solution verifies the integrity of the code base and future software updates (e.g. hashing algorithms, digital etc.).	Mandatory	Integrity	Vendor	Y
describe how EPBS-PS are synchronized/networked with other EPBS-PS within the same polling place/county (including any flow charts).	Mandatory	Network	ePoll Book/Poll Site	Y
describe how all voter activity shall be securely captured ed 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	Y

describe, if an electronic poll book device be enabled or h wireless technology, the wireless security controls that are in place to include, but not be limited to, the following: n type and strength: Wi-Fi Protected Access II (WPA2) / Wi-Fi ccess 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	Y
all enable WPA3 for all wireless connections, if available. If available, WPA2 shall be used.	Mandatory	Network	Network	Y
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	Y
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)	Mandatory	Physical	Vendor	Y
describe what options are available to protect the EPBS-PS m theft or destruction during transport and voting (e.g. sealed osure).	Mandatory	Physical	ePoll Book/Poll Site	Y
describe for EPBS-PS, what security risks are mitigated through the use of and verification upon removal of tamper evident	Mandatory	Physical	ePoll Book/Poll Site	Y
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	Y
document how the EPBS protects the integrity and ty of transmitted information.	Mandatory	System and Communication	Vendor	Y
describe how, if utilized, public key certificates are issued under an appropriate certificate policy or public key certificates are m an approved service provider.	Mandatory	System and Communication	Network	Y
describe how the EPBS fails to a known secure state for all failures, while preserving the maximum amount of system state	Mandatory	System and Communication	Entire ePoll Book System	Y
produce security patches within the service-level agreement (SLA) timelines and shall provide instructions on how to keep e and software up to date.	Mandatory	Network	Entire ePoll Book System	Y
describe how software and devices meet the least functionality principle and disable unneeded services such as telnet, emote administration (Web Mode) etc.	Mandatory	Network	Network	Y

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.	*Voting System Overview*
2	System functionality description	VVSG Vol 2: 2.3	System Description	dor 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.	*System Functionality Description*
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.	*System Operations Procedures – Administrator Guide*
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 and components used in the system and a description of their assembly into major system components and the system as a whole.	*System Operations Procedures – Administrator Guide*
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 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 d 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.	*System Operations Procedures – User Guide, System Operations Procedures – Administrator Guide*
6	Software design and specifications	VVSG Vol 2: 2.5	Software Design and Specification	dor 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.	*Software Design and Specification – ExpressPoll, ES&S Coding Standards, ES&S System Development Program, License Agreements for Procured Software*
7	System security specifications	VVSG Vol 2: 2.6	System Security Specification	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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*
8	System security specifications	VVSG Vol 2: 2.6.1	Access Control Policy	dor 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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*

#	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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*
10	System security specifications	VVSG Vol 2: 2.6.3	Equipment and Data Security	dor 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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*
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 es 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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*
12	System security specifications	VVSG Vol 2: 2.6.5	Telecommunications 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.	*System Security Specification, ExpressPoll Setup and Configuration Guide, ExpressPoll System - Physical Security Guide, Verification Procedures – Overview*
13	specifications	VVSG Vol 2: 2.7	System Test and Verification Specification	dor 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.	*System Test Plan, Common Industry Format Usability Test Report – ExpressPoll*
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.	*System Operations Procedures – User Guide, System Operations Procedures – Administrator Guide*
15	System maintenance procedures	VVSG Vol 2: 2.9	System Maintenance Manual	em 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 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.	*System Maintenance Manual – ExpressPoll*
16	training requirements	VVSG Vol 2: 2.10	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 ance tasks. Diagnosis of faulty hardware or software Corrective maintenance tasks. Testing to verify the correction of problems.	*Training Program Description*
17	plan	VVSG Vol 2: 2.11	Configuration Management Plan	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.	*Configuration Management Program, Technical Documentation Program*

#	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.	*Manufacturing Quality Assurance Program, Software Quality Assurance Program*
19	System change notes	VVSG Vol 2: 2.13	System Change Notes	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