Indiana
Electronic Poll Book (ePollBook)
Certification Test Protocol
for the
Voting System Technical Oversight Program (VSTOP)

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Secretary of State of Indiana

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TABLE OF CONTENTS

1.0 INTRODUCTION

This document presents the test processes and procedures to be followed during functional certification testing of electronic poll books (hereafter referred to as "ePollBook"). This test protocol includes a description of each stage of the certification process, a description of all relevant test materials, test environmental constraints, test setup, and all test cases that are to be executed during a Voting System Technical Oversight Program (hereafter referred to as "VSTOP") examination for certification of ePollBooks in the State of Indiana. This includes, but is not limited to, the following:

- *Test Requirements Matrix.*

  The Test Requirements Matrix is a descriptive requirement matrix that is used to ensure all applicable requirements are evaluated during an examination for certification in Indiana.

- *Test Cases.*

  Test cases are step-by-step procedures that provide test objectives, expected results, and evaluation criteria for pass/fail for all defined requirements. These test cases not only provide positive testing, but also negative testing. Each test case is assigned a unique Test Case Identifier (TCI) to identify the requirement being tested.

- *ePollBook Certification Checklist.*

  This checklist is to be used as a guide for certification in Indiana. It includes relevant information about the device being evaluated.

Vendors should follow this guide in preparing materials for submission that will be used in creating a test sequence for certification functional testing to ensure ePollBooks meet or exceed all regulatory and legal requirements for the State of Indiana. An ePollBook may not be used in an election in Indiana until it has achieved successful state certification.

1.1 References

- Indiana Election Code IC 3-11-8-10.3 (hereafter referred to as Section 10.3)

1.2 Terms, Abbreviations, and Definitions

This subsection lists terms and abbreviations relevant to this document.

"ePB" – Electronic Poll Book Solution or ePollBook

"COTS" – Commercial Off-The-Shelf

"SVRS" – Statewide Voter Registration System

"TCI" – Test Case Identifier

"TDP" – Technical Data Package

"VSTOP" – Voting System Technical Oversight Program

As defined in IC 3-5-2-20.7, an **electronic poll list** means a poll list that is maintained in a computer database, the Indiana Statewide Voter Registration System (SVRS). The list comprises of the alphabetical listing of registered voters in the state along with other elements required by the Indiana Code.

As defined in IC 3-5-2-20.5, an **electronic poll book** means the combination of mechanical, electromechanical and electronic equipment (including the software, firmware and documentation required to program, control and support the equipment) that is used to access and maintain the electronic poll list.

1.3 Background

As of July 1, 2013, Indiana requires the certification of ePBs in accordance with Section 10.3. The legislation, subsequently updated with changes incorporated herein, provides that VSTOP will perform or evaluate testing on the electronic poll books which utilize information contained in the SVRS for purposes of conducting elections at precincts and vote centers. The following contains definitions used to implement legislative language for testing purposes, the functional and technical requirements that must be met by electronic poll books for certification, and the testing protocol to be utilized by VSTOP in the certification process.

1.4 Overview of Certification Process

The evaluation of an ePB solution to this test protocol will be performed in a three phase approach in which each phase is dependent on successfully completing the previous phase. Without successful completion of the previous phase, the electronic poll book solution will not be evaluated to the next phase.

The three phases and the evaluation criteria for completion are as follows:

- **Administrative Review** – To meet the requirements of Indiana Code Section 10.3 the electronic poll book vendor/manufacturer will submit an application to VSTOP for evaluation for completeness and correctness. If the application is deemed sufficient, VSTOP will submit the "ePB Certification Checklist", presented in Appendix A of this document, to the ePB vendor/manufacturer for completion. All required information and documentation must be submitted to VSTOP for evaluation within a period not to exceed 30 days after the initial request. Upon receipt of the checklist and requested documentation, VSTOP will review the checklist and supporting documentation for completeness and correctness. If the application is deemed sufficient, VSTOP will request the ePB be submitted to an EAC accredited testing lab or a testing lab chosen by the vendor and approved by VSTOP for conducting the Functional Configuration Audit and Telecommunication and Compliance Testing.

- **Functional Configuration Audit (FCA)** – After receipt of the ePB solution from the vendor/manufacturer, the testing lab will inspect the delivery for damage and catalogue all configuration items. At this time, the lab may request assistance in the initial setup and configuration of the ePB solution from the vendor/manufacturer. Once configured, the testing lab will perform test case identifier "TCI: 13 Functional Configuration Audit", presented in Appendix B of this document. Successfully meeting the "Criteria for Evaluation" for this test case will be considered successful completion.

- **Telecommunications/Compliance Testing –** To meet the telecommunications requirements of Section 10.3, specific test cases have been developed (Appendix C) that will focus on the ability of the ePB to transmit and receive data electronically and communicate with the poll list server. Meeting the remaining test cases in Appendix C will be considered successful completion of compliance testing.

Test Data - Each step of the test cases in the above three phases contains an expected result to provide objective pass/fail criteria. All test data will be provided to the testing laboratory by VSTOP. There are no dependencies for execution of the test cases. All test cases for each phase of this evaluation will be run independently in the order the assigned testing lab reviewer/examiner determines is the most effective and efficient.

1.5 Acceptance Test

Acceptance Testing at the county level is an integral part of the overall process of getting a county ready to use ePBs. After certification each county which has contracted for the ePB will conduct an acceptance test at the time of delivery. This acceptance test will focus primarily on the ability of the ePB to communicate with the county server in downloading and uploading appropriate data. Certification of the ePB may be revoked if the ePB fails the acceptance test. See Appendix D for the Acceptance Test Checklist.

1.6 Application Submission Procedures

Prior to functional certification testing, in accordance with the directions in the Indiana Secretary of State APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION (presented in Appendix E), the vendor shall submit the Application, complete Technical Data Package (TDP) and ePB Certification Checklist (Appendix A of this Test Protocol) to:

State of Indiana Voting System Technical Oversight Program (VSTOP)
Bowen Center for Public Affairs
Ball State University, Muncie, IN 47306

VSTOP will forward a copy of this material to the Indiana Election Division for the filing as required by IC 3-11-18.1-12(c). For the most updated forms, please visit the IED website.

The submitted documentation must adhere to the following guidelines:

(1) Vendor Name, Product Name and Model Number must be indicated as follows: (See Page 1 of the Application for Certification in Appendix E.)

Vendor/Manufacturer Information:	
Name:	*(insert vendor/manufacturer information here)*
Address:	
Primary Point of Contact:	
Product Name and Model Number:	*(insert product information here)*
Date of Submission:	

(2) Each item in the package must be clearly identified. If the TDP is incomplete or the required items are not clearly identified, the entire package may be returned to the vendor and the evaluation of the voting system rescheduled.

(3) For each requirement, the vendor must indicate the location in the TDP document(s) in the 'Vendor documentation location' column, and initial and date in the 'Vendor' column to signify that the vendor has verified the location in their documentation for the requirement. (Section B of the Certification Checklist)

(4) For each functional requirement, the vendor must initial to indicate the e-poll book supports mandatory functionalities as outlined in Sec. 10.3. (Section C of the Certification Checklist)

Once received, the submitted package will be reviewed to verify the following:

(1) The ePB Documentation Checklist and entire TDP package have been submitted as indicated by the vendor.

(2) Whether each requirement has been included and is provided in sufficient detail to adequately meet the requirement set forth in Sec. 10.3 (b).

Once all information has been reviewed, functional certification testing may be performed.

2.0 TEST ITEMS/MATERIALS REQUIRED FOR TESTING

This section contains detailed descriptions of the procedures to be used by vendors in submitting ePBs for required functional configuration testing, items tested during the evaluation, including all software, hardware, and peripherals, both proprietary and COTS, and any test support equipment or materials necessary for test performance.

2.1 Submission of Test Protocols to Testing Laboratories

Vendors seeking to certify ePBs in the state of Indiana must demonstrate that the product meets state requirements by producing evidence that the ePB has passed testing using the protocols developed for the Functional Configuration Audit (Appendix B) and Telecommunications/Compliance Testing (Appendix C). Testing must be performed by a testing lab accredited by the federal Election Assistance Commission or a testing lab approved by the Voting System Technical Oversight Program (VSTOP). The vendor will bear all costs related to these tests. A report, in a format prescribed by VSTOP, from the testing lab shall be presented to VSTOP for its inspection and approval. The tests must demonstrate to the satisfaction of VSTOP that the ePB has successfully performed in all test cases listed in this document.

2.2 Materials Required for Testing

At a minimum, a vendor/manufacturer submitting an ePB solution for evaluation to a testing lab shall be required to provide:

- two (2) polling place devices;
- equipment for the ePB Server;
- all peripheral devices including bar code scanners, digital capture devices, and transport media; and,
- all required documentation.

This will be documented in the following tables: (items taken from Part 2 of State Form 55319 in Appendix E.)

2.2a. Software

Table 2.3a Software

This subsection contains a listing of the software and firmware being evaluated.

Component Name	Version	Unique Identifier (digital signature or hash value)

(Add additional rows as needed)

2.2b. Hardware

This subsection contains a listing of the hardware being evaluated.

Table 2.2b Hardware

Component Name	Model/Version Number	Description

(Add additional rows as needed)

2.2c Peripherals

This subsection contains detailed descriptions of optional equipment used by the system being evaluated.

Table 2.2c Peripherals

Part Name	Model Number	Revision Number	Description

(Add additional rows as needed)

2.2d Test Support Equipment/Materials

This subsection contains detailed descriptions of the test support equipment and materials needed to perform the required testing.

Table 2.2d Test Support Materials

Part Name	Model Number	Revision Number	Description

(Add additional rows as needed)

2.2e Technical Data Package

This subsection lists all manufacturer provided documentation that is relevant to the system being tested. `

(List and describe all relevant documentation including document numbers, revisions, and issue dates. This documentation may include, but not be limited to, system overview, software and hardware descriptions, user's guides and technical manuals, and security procedures)

Table 2.2e Documentation

Document Name	Part Number	Revision	Issue Date

(Add additional rows as needed)

2.2f Third Party Test Reports

This subsection lists the reports provided by third party entities that are relevant to the system being evaluated and the test engagement.

(List all relevant third party test reports including report numbers, revisions, and issue dates.)

Table 2.2f Third Party Test Reports

Report Title	Description	Revision	Issue Date

(Add additional rows as needed)

2.2g Previous Test Results

This subsection describes the results of any previous testing performed that is relevant to the system being evaluated.

Table 2.2g Previous Test Results

Report Title	Description	Revision	Issue Date

(Add additional rows as needed)

2.2h Known Fielded Use

This subsection lists other jurisdictions in which the electronic poll book solution has been fielded.

Table 2.2h Known Fielded Use

Jurisdiction	Authorizing Official	Numbers of Years	Known Fielded Issues

(Add additional rows as needed)

3.0 TEST SPECIFICATIONS

This section contains a detailed description of the procedures to be followed during test setup and preparation.

To meet the requirements of Section 10.3, the following two test techniques will be utilized:

- **Administrative Review** – This area of testing will include a review of the documentation provided by the manufacturer.
- **Functional Execution**

  Functional Configuration Audit – This area of testing will target the specific functionality claimed by the manufacturer to ensure the product functions as documented. This testing will use both positive and negative test data to test the robustness of the system.

  Telecommunications Testing – This area of testing will focus on the system being able to transmit and receive data electronically and communication with the poll list server.

  Compliance Testing – This area of testing will focus on the remaining Section 10.3 requirements and will be documented in a step-by-step approach. Requirements will be mapped to either a test case or a single step in a test case for traceability.

  Test Data – VSTOP will provide all test data to the labs in a format that conforms to the Indiana SVRS data formats. These data will be used in all test cases for all applicants.

3.1 Test Setup

For this evaluation, the electronic poll book solution will be set up in the manner in which the testing lab examiner deems to most closely replicate the environment for fielded use. Each test case contains sections for test configuration, equipment, special procedural requirements, and assumptions, all of which will be followed prior to execution of the given test case. If a deviation is required, the examiner will document the deviation and provide the engineer logic as to "why" the deviation is required. During the execution of any test case, the examiner may require assistance from ePB vendor/manufacturer. It is expected that the ePB vendor/manufacturer comply with a request in a reasonable amount of time as not to delay the evaluation.

3.2 Test Sequence

The test cases are presented below in a logical order of execution:

Administrative Review:

- TCI: 01 ePB Certification Checklist (See Appendix A)

Functional Configuration Audit:

- TCI: 02 Functional Configuration Audit (See Appendix B)

Telecommunications Testing: (See Appendix C)

- TCI: 03 Transmission Encryption
- TCI: 04 Electronic Poll Book Transmission

- TCI: 05 Loss and Restoration of Connectivity

Compliance Testing: (See Appendix C)

- TCI: 06 Product Safety (Commercial Off the Shelf - COTS)
- TCI: 07 Product Safety (Proprietary)
- TCI: 08 Electronic Poll Book Programming
- TCI: 09 Diagnostic Communications
- TCI: 10 Supported Elections
- TCI: 11 Electronic Poll Book Interface
- TCI: 12 Display of Voter Information and Signature
- TCI: 13 Input of Voter Eligibility
- TCI: 14 Signature Capture
- TCI: 15 Record Retrieval by Bar Code

3.3 Traceability Matrix

The following table maps the test cases to the requirements of Section 10.3 of the Indiana Election Code:

Section 10.3 Statute	Test Case Mapping
(1) An electronic poll book must be programmed so that the coordinated action of two (2) election officers who are not members of the same political party is necessary to access the electronic poll book.	TCI: 08 Electronic Poll Book Programming
(2) An electronic poll book may not be connected to a voting system. However, the electronic poll book may be used in conjunction with a voting system if both of the following apply: (A) The electronic poll book contains a device that must be physically removed from the electronic poll book by a person and the device is inserted into the voting system, with no hardware or software connection existing between the electronic poll book and the voting system. (B) All data on the device is erased when the device is removed from the voting system and before the device is reinserted into an electronic poll book.	TCI: 11 Electronic Poll Book Interface
(3) An electronic poll book may not permit access to voter information other than: (A) information provided on the certified list of voters prepared under IC 3-7-29-1; or	TCI: 12 Display of Voter Information and Signature

(B) information concerning any of the following received or issued after the electronic poll list has been downloaded by the county election board under IC 3-7-29-6: (i) The county's receipt of an absentee ballot from the voter. (ii) The county's receipt of additional documentation provided by the voter to the county voter registration office. (iii) The county's issuance of a certificate of error.	TCI: 12 Display of Voter Information and Signature
(4) The information contained on an electronic poll list must be secure and placed on a dedicated, private server to secure connectivity between a precinct polling place or satellite absentee office and the county election board. The electronic poll book must have the capability of: (A) storing (in external or internal memory) the current local version of the electronic poll list; and (B) producing a list of audit records that reflect all of the idiosyncrasies of the system, including in-process audit records that set forth all transactions.	TCI: 03 Transmission Encryption TCI: 04 Electronic Poll Book Transmission
(5) The electronic poll book must permit a poll clerk to enter information regarding an individual who has appeared to vote to verify whether the individual is eligible to vote, and if so, whether the voter has: (A) already received a ballot at the election; (B) returned an absentee ballot; or (C) submitted any additional documentation required under IC 3-7-33-4.5.	TCI: 13 Input of Voter Eligibility
(6) After the voter has been provided with a ballot, the electronic poll book must permit a poll clerk to enter information indicating that the voter has received a ballot.	TCI: 13 Input of Voter Eligibility
(7) The electronic poll book must transmit the information in subdivision (6) to the county server so that: (A) the server may transmit the information immediately to every other polling place or satellite absentee office in the county; or (B) the server makes the information immediately available to every other polling place or satellite absentee office in the county.	TCI: 04 Electronic Poll Book Transmission

(8) The electronic poll book must permit reports to be: (A) generated by a county election board for a watcher appointed under IC 3-6-8 at any time during election day; and (B) electronically transmitted by the county election board to a political party or independent candidate who has appointed a watcher under IC 3-6-8.	*No specific case – the requirement is at any time and the following test cases require reports: TCI: 08 Electronic Poll Book Programming TCI: 12 Display of Voter Information and Signature TCI: 13 Input of Voter Eligibility TCI: 14 Signature Capture TCI: 09 Diagnostic Communications TCI: 05 Loss and Restoration of Connectivity
(9) On each day after absentee ballots are cast before an absentee voter board in the circuit court clerk's office, a satellite office, or a vote center, and after election day, the electronic poll book must permit voter history to be quickly and accurately uploaded into the computerized list as defined in IC 3-7-26.3-2.	TCI: 04 Electronic Poll Book Transmission
(10) The electronic poll book must be able to display an electronic image of the signature of a voter taken from: (A) the voter's registration application; or (B) a more recent signature of a voter from an absentee application, poll list, electronic poll book, or registration document.	TCI: 12 Display of Voter Information and Signature
(11) The electronic poll book must be used with a signature pad, tablet, or other signature capturing device that permits the voter to make an electronic signature for comparison with the signature displayed under subdivision (10). An image of the electronic signature made by the voter on the signature pad, tablet, or other signature capturing device must be retained and identified as the signature of the voter for the period required for retention under IC 3-10-1-31.1.	TCI: 14 Signature Capture
(12) The electronic poll book must include a bar code capturing device that: (A) permits a voter who presents an Indiana driver's license or a state identification card issued under IC 9-24-16 to scan the license or card through the bar code reader or tablet; and (B) has the capability to display the voter's registration record upon processing the information contained within the bar code on the license or card.	TCI: 15 Record Retrieval by Bar Code

(13) A printer separate from the electronic poll book used in a vote center county may be programmed to print on the back of a ballot card, immediately before the ballot card is delivered to the voter, the printed initials of the poll clerks captured through the electronic signature pad or tablet at the time the poll clerks log into the electronic poll book system.	TCI: 02 Functional Configuration Audit
(14) The electronic poll book must be compatible with: (A) any hardware attached to the poll book, such as signature capturing devices, bar code capturing devices, and network cards; (B) the statewide voter registration system; and (C) any software system used to prepare voter information to be included on the electronic poll book.	TCI: 02 Functional Configuration Audit
(15) The electronic poll book must have the ability to be used in conformity with this title for: (A) any type of election conducted in Indiana; or (B) any combination of elections held concurrently with a general election, municipal election, primary election, or special election.	TCI: 10 Supported Elections
(16) The procedures for setting up, using, and shutting down an electronic poll book must be reasonably easy for a precinct election officer to learn, understand, and perform. After December 31, 2015, a vendor shall provide sufficient training to election officials and poll workers to completely familiarize them with the operations essential for carrying out election activities. A vendor shall provide an assessment of learning goals in consultation with VSTOP (as described in IC 3-11-18.1-12).	TCI: 01 ePB Certification Checklist As part of the administrative review, after December 31, 2015, vendors will provide VSTOP with a list of user competencies, learning objectives, learning goals and rubrics for assessment.

(17) The electronic poll book must enable a precinct election officer to verify that the electronic poll book: (A) has been set up correctly; (B) is working correctly so as to verify the eligibility of the voter; (C) is correctly recording that a voter received a ballot; and (D) has been shut down correctly.	TCI: 09 Diagnostic Communications
(18) The electronic poll book must include the following documentation: (A) Plainly worded, complete, and detailed instructions sufficient for a precinct election officer to set up, use, and shut down the electronic poll book. (B) Training materials that: (i) may be in written or video form; and (ii) must be in a format suitable for use at a polling place, such as simple "how to" guides. (C) Failsafe data recovery procedures for information included in the electronic poll book. (D) Usability tests: (i) that are conducted by the manufacturer of the electronic poll book or an independent testing facility using individuals who are representative of the general public; (ii) that include the setting up, using, and shutting down of the electronic poll book; and (iii) that report their results using industry standard reporting formats. (E) A clear model of the electronic poll book system architecture and the following documentation: (i) End user documentation. (ii) System-level and administrator level documentation. (iii) Developer documentation.	TCI: 01 ePB Certification Checklist

(F) Detailed information concerning: (i) electronic poll book consumables; and (ii) the vendor's supply chain for those consumables. (G) Vendor internal quality assurance procedures and any internal or external test data and reports available to the vendor concerning the electronic poll book. (H) Repair and maintenance policies for the electronic poll book. (I) As of the date of the vendor's application for approval of the electronic poll book by the secretary of state as required by IC 3-11-18.1-12, the following: (i) A list of customers who are using or have previously used the vendor's electronic poll book. (ii) A description of any known anomalies involving the functioning of the electronic poll book, including how those anomalies were resolved.	
(19) The electronic poll book and any hardware attached to the electronic poll book must be designed to prevent injury or damage to any individual or the hardware, including fire and electrical hazards.	TCI: 06 Product Safety (Commercial Off the Shelf - COTS) TCI: 07 Product Safety (Proprietary)
(20) The electronic poll book must demonstrate that it correctly processes all activity regarding each voter registration record, including the use, alteration, storage, receipt, and transmittal of information that is part of the record. Compliance with this subdivision requires the mapping of the data life cycle of the voter registration record as processed by the electronic poll book.	TCI: 01 ePB Certification Checklist TCI: 02 Functional Configuration Audit
(21) The electronic poll book must successfully perform in accordance with all representations concerning functionality, usability, security, accessibility, and sustainability made in the vendor's application for approval of the electronic poll book by the secretary of state as required by IC 3-11-18.1-12.	TCI: 02 Functional Configuration Audit

(22) The electronic poll book must have the capacity to transmit all information generated by the voter or poll clerk as part of the process of casting a ballot, including the time and date stamp indicating when the voter signed the electronic poll book, and the electronic signature of the voter, for retention on the dedicated private server maintained by the county election board for the period required by Indiana and federal law.	TCI: 04 Electronic Poll Book Transmission
(23) The electronic poll book must: (A) permit a voter to check-in and sign the poll book even when there is a temporary interruption in connectivity to the Internet; and (B) provide for the uploading of each signature so that the signature may be assigned to the voter's registration record.	TCI: 05 Loss and Restoration of Connectivity

4.0 TEST DATA

This section contains a detailed description of the test cases being exercised.

4.1 Test Data Recording

This subsection contains a detailed description of the procedures to be followed during test execution and data collection.

All test data produced by the testing labs during this project will become the property of VSTOP. The output test data from any device will be collected and stored in an appropriate manner as to allow for data analysis. Real-time Test Execution Logs obtained from labs will be maintained by VSTOP.

4.2 Test Data Criteria and Reduction

All test results will be evaluated against the expected results set forth in the test cases. The acceptable range for system performance and the expected results are derived from the test designers' experience and expertise. If an expected result is not achieved, an evaluation will be performed to determine the root cause analysis of the unexpected results. This evaluation will consider tester error, invalid expectations, and system performance. Failure to achieve the expected results does not constitute a test failure. A test failure only occurs when the "Criteria for Evaluation of Test Results," as set forth in the test cases, are not achieved for a specific test.

Following execution of all required test cases, an analysis will be performed on all data collected. All test cases that did not meet the "Test Objective or the "Criteria for Evaluation of Test Results" will be noted in a report submitted by the testing labs to VSTOP. These deficiencies will be detailed in manner that includes the test case identifier, the test step, and the actual results obtained. If the testing labs determine the results violate a specific requirement, the specific requirement will be included in the report with a narrative describing the reasons for the result.

5.0 TEST REPORT

At the conclusion of testing, the testing lab will compile a test report, in a format prescribed by VSTOP, that includes all findings of the evaluation effort and deliver a copy to VSTOP at the address listed on cover page of this document and copy to the vendor of the ePB. VSTOP will review the results and will document results of all tests executed in sufficient detail for the Secretary of State to make a determination on the use of the ePB solution being evaluated.

6.0 CHANGES TO A CERTIFIED EPB

Indiana Code 3-11-18.1-12(g) provides that a certification for an ePB expires December 31 of the year following the issuance of the certification (meaning a period of up to two years). If, during that time span, the manufacturer/vendor determines that changes are necessary to the hardware, firmware, software, peripherals, manuals and/or any other documentation, these changes shall be submitted to VSTOP in a timely manner for approval before they are implemented in the field. VSTOP will determine if further testing is needed before these changes are approved to a certified ePB.

APPENDIX A

ePollBook Certification Checklist

ePollBook Certification Checklist

Section A
Vendor Name: _____

Product Name and Model Number: _____

VENDOR INSTRUCTIONS
In accordance with the directions in the Indiana Secretary of State APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION, the vendor shall submit the Application and Technical Data Package (TDP) and this completed checklist to VSTOP, Bowen Center for Public Affairs, Ball State University, Muncie, IN 47306.

(1) Vendor Name and Product Name and Model Number must be indicated at the top of Section A of the Certification Checklist.

(2) Each item in the package must be clearly identified. If the TDP is incomplete or the required items are not clearly identified, the entire package may be returned to the vendor and the evaluation of the voting system rescheduled.

(3) For each requirement, the vendor must indicate the location in the TDP document(s) in the 'Vendor documentation location' column, and initial and date in the 'Vendor' column to signify that the vendor has verified the location in their documentation for the requirement. (Section B)

(4) For each functional requirement, the vendor must initial to indicate the e-poll book supports mandatory functionalities as outlined in IC 3-11-8-10.3.(Section C)

VSTOP REVIEW

The TDP package must be verified for completeness. VSTOP will:

(1) Verify that the ePB Documentation Checklist and entire TDP package have been submitted as indicated by the vendor. If not, the package is incomplete.

(2) Determine whether each requirement has been included and is provided in sufficient detail to adequately meet the requirement set forth in Section 10.3 (b).

(3) For each requirement, initial and date the 'VSTOP Comments' column.

(4) If any requirement has not been met by the vendor documentation, the submission is incomplete and will be returned to the vendor.

Section B *The table below has been populated as stated in Section 10.3 (b). These requirements are taken directly from the Indiana Code and are listed below.*

Requirement	Vendor documentation location	Vendor Comments	VSTOP Comments
(16) The procedures for setting up, using, and shutting down an electronic poll book must be reasonably easy for a precinct election officer to learn, understand, and perform. After December 31, 2015, a vendor shall			

provide sufficient training to election officials and poll workers to completely familiarize them with the operations essential for carrying out election activities. A vendor shall provide an assessment of learning goals in consultation with VSTOP (as described in IC 3-11-18.1-12).			
(18) The electronic poll book must include the following documentation: (A) Plainly worded, complete, and detailed instructions sufficient for a precinct election officer to set up, use, and shut down the electronic poll book.			
(18) The electronic poll book must include the following documentation: (B) Training materials that: (i) may be in written or video form; and			
(18) The electronic poll book must include the following documentation: (B) Training materials that: (ii) must be in a format suitable for use at a polling place, such as simple "how to" guides.			
(18) The electronic poll book must include the following documentation: (C) Failsafe data recovery procedures for information included in the electronic poll book.			
(18) The electronic poll book must include the following documentation: (D) Usability tests: (i) that are conducted by the manufacturer of the electronic poll book or an independent testing facility using individuals who are representative of the general public;			
(18) The electronic poll book must include the following documentation: (D) Usability tests: (ii) that include the setting up, using, and shutting down of the electronic poll book; and			

(18) The electronic poll book must include the following documentation: (D) Usability tests: (iii) that report their results using industry standard reporting formats..			
(18) The electronic poll book must include the following documentation: (E) A clear model of the electronic poll book system architecture and the following documentation: (i) End user documentation.			
(18) The electronic poll book must include the following documentation: (E) A clear model of the electronic poll book system architecture and the following documentation: (ii) System-level documentation.			
(18) The electronic poll book must include the following documentation: (E) A clear model of the electronic poll book system architecture and the following documentation: (iii) Developer documentation			
(18) The electronic poll book must include the following documentation: (F) Detailed information concerning: (i) electronic poll book consumables; and			
(18) The electronic poll book must include the following documentation: (F) Detailed information concerning: (ii) the vendor's supply chain for those consumables.			
(18) The electronic poll book must include the following documentation: (G) Vendor internal quality assurance procedures and any internal or external test data and reports available to the vendor concerning the electronic poll book.			
(18) The electronic poll book must include the following documentation: (H) Repair and maintenance policies for the electronic poll book.			

(18) The electronic poll book must include the following documentation: (I) As of the date of the vendor's application for approval of the electronic poll book by the secretary of state as required by IC 3-11-18.1-12, the following: (i) A list of customers who are using or have previously used the vendor's electronic poll book.			
(18) The electronic poll book must include the following documentation: (I) As of the date of the vendor's application for approval of the electronic poll book by the secretary of state as required by IC 3-11-18.1-12, the following: (ii) A description of any known anomalies involving the functioning of the electronic poll book, including how those anomalies were resolved.			
(20) The electronic poll book must demonstrate that it correctly processes all activity regarding each voter registration record, including the use, alteration, storage, receipt, and transmittal of information that is part of the record. Compliance with this subdivision requires the mapping of the data life cycle of the voter registration record as processed by the electronic poll book.			

Section C: Functionality Conformance *The table below has been populated as stated in Section 10.3 (b). These requirements are taken directly from Indiana Code 3-11-8-10.3 and are listed below.*

Requirement	Vendor documentation location	Vendor Comments	VSTOP Comments
(3B, 7,21) Supports Telecommunications			
(4) Support Secure Storage and Secure Connectivity			
(4A) Capable of storing local version of poll list on internal or external memory (specify type and recommended size of memory)			
(4B) Produces in-process audit records of all transactions			
(8) Permits generation of real-time reports			
(10) Capable of displaying legible electronic image of voter signature			
(11) Supports Digital Signature Capture Device			
(12) Supports use of a bar code reader			
(4,7,22) Implements Client Server Architecture			

Vendor Truth and Accuracy Statement

The individual signing below is the authorized representative of the applicant and states the following: The information provided in this document and in the Technical Data Packages as well as all Corporate Information provided by the applicant is true and accurate. I understand that if this information is determined by VSTOP to be inaccurate, the Indiana Secretary of State may terminate certification testing of the system herein described.

Name _____ **Title _____**

Signature _____ **Date Submitted _____**

Date APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION received by VSTOP _____

Date this Checklist received by VSTOP _____ (if different from above)

Date VSTOP Review of Application and Checklist commenced: _____

Status of Package received: Complete _____ Incomplete_____

Outcome of VSTOP Review Accept ☐ Reject ☐

Date of Review _____

Name _____ **Signature _____**

Date Received by Indiana Secretary of State _____

SECRETARY OF STATE ACTION

- ☐ **APPLICATION APPROVED**
- ☐ **APPLICATION APPROVED WITH RESTRICTIONS SET FORTH IN REPORT**
- ☐ **APPLICATION REJECTED**

Indiana Secretary of State _____Date_____

APPENDIX B

Functional Configuration Audit (FCA) Test Cases

The tests contained in Appendix B and C must be completed by a testing lab accredited by the federal Election Assistance Commission or otherwise approved by VSTOP. Results will be sent by the testing lab to VSTOP and the vendor.

Functional Configuration Audit (FCA) Test Cases

<table>
<tr><td colspan="3">TCI: 02 Functional Configuration Audit</td></tr>
<tr><td>IN § 10.3 (b) Requirements:
(13) (14) (20) (21)</td><td colspan="2">(13) A printer separate from the electronic poll book used in a vote center county may be programmed to print on the back of a ballot card, immediately before the ballot card is delivered to the voter, the printed initials of the poll clerks captured through the electronic signature pad or tablet at the time the poll clerks log into the electronic poll book system.

(14) The electronic poll book must be compatible with:

(A) any hardware attached to the poll book, such as signature capturing devices, bar code scanners, and network cards;

(B) the statewide voter registration system; and

(C) any software system used to prepare voter information to be included on the electronic poll book.

(20) The electronic poll book must demonstrate that it correctly processes all activity regarding each voter registration record, including the use, alteration, storage, receipt, and transmittal of information that is part of the record. Compliance with this subdivision requires the mapping of the data life cycle of the voter registration record as processed by the electronic poll book.

(21) The electronic poll book must successfully perform in accordance with all representations concerning functionality, usability, security, accessibility, and sustainability made in the vendor's application for approval of the electronic poll book by the secretary of state as required by IC 3-11-18.1-12.</td></tr>
<tr><td>Test Objective: To determine if the electronic poll book functions in accordance with all representations including attached peripherals, statewide voter registration system and any software system used to prepare the electronic poll list.</td><td colspan="2">Test Configuration: None</td></tr>
<tr><td>Equipment:</td><td colspan="2">All system documentation submitted as part of the application.</td></tr>
<tr><td>Special Procedural Requirements:</td><td colspan="2">The electronic poll book SYSTEM will configured per the system documentation submitted by the electronic poll book manufacturer. The electronic poll book firmware will be loaded by the examiner from a trusted source.</td></tr>
<tr><td>Assumptions:</td><td colspan="2">This test is a system level test that requires all equipment and software that is being considered for certification.</td></tr>
<tr><td>Test Approach:</td><td colspan="2">Below are three definitions of a functional configuration audit:

The formal examination of functional characteristics of a configuration item, or system to verify that the item has achieved the requirements specified in its functional and/or allocated configuration documentation. [MIL-HDBK-61A]

Functional Configuration Audit (FCA): For each configuration item, the formal examination of its functional characteristics to verify that it</td></tr>
</table>

	has achieved the requirements in its allocated baseline. For a system, the formal examination of its functional characteristics to verify that it has achieved the requirements in the functional baseline. [SMC Systems Engineering Primer & Handbook, Jan 2004] *Functional Configuration Audit (FCA) examines the functional characteristics of the configured product and verifies that the product has met, via test results, the requirements specified in its functional baseline documentation approved at the PDR and CDR. FCAs will be conducted on both hardware- or software-configured products and will precede the PCA of the configured product. [NASA Systems Engineering Handbook, NASA/SP-2007-6105, Rev1.]* During the performance of the functional configuration audit (FCA) each component and subcomponent of the electronic poll book will be functionally evaluated as designed and documented. The FCA will depend heavily on black box testing techniques for the individual software components. The examiner will use "equivalence partitioning" and "boundary value testing" to evaluate the robustness and stability of the software submitted for evaluation. "Equivalence partitioning" will be used to evaluate specific software functions and data entry points. For software functions and data entry points, an entry will be made for valid data requirement and at least one invalid data requirement to test for normal and abnormal conditions. This can include the input of numeric values and special characters for alphabetic and text fields and may also include alphabetic and special characters for numeric fields. "Boundary value testing" will be used to evaluate specific software functions and data entry points for minimums and maximums. For software functions and data entry points an entry will be made for all minimum and all maximum documented requirements to test for normal and abnormal conditions. This can include numeric ranges as well as non-numeric ranges.

Test Method:

The method for testing these requirements is execution. The FCA will evaluate the electronic poll book solution including all hardware, software, and peripherals. The examiner will utilize the User's Manual provided to perform documented functions. If the User's Manual is deemed incomplete or insufficient the examiner will note this as a deficiency, but will still subject the electronic poll book solution to the following functional testing:

- The ability to interface with the county database containing the voter registration system
- The ability to program poll place devices with an electronic poll list for all supported Indiana election types
- Hardware compatibility
- Administrative functionality
- User management including adding users, deleting users, and updating users
- Access controls management
- All data entry points
- All voter registration retrieval methods.
- All digital signature capture methods
- Editing voter registration records
- Interfacing components

- Ballot printing features if supported
- Data transmission
- Database management, including backing up and restoring
- Audit log retrieval and maintenance
- Reporting

During performance of the FCA, the examiner will input both positive and negative test data to trigger normal and abnormal conditions. If negative test data is allowed to be input, the examiner will continue the process of the data flow as document in the "mapping of the data life cycle" to ensure the negative testing data does not have an effect on downstream processes.

Criteria for Evaluation of the Test Results: At the conclusion of the FCA, the examiner will analyze all deficiencies and make a determination on the electronic poll book solutions ability to perform in accordance with all representations concerning functionality, usability, security, accessibility, and sustainability.

APPENDIX C

Telecommunications/Compliance Testing

Telecommunications/Compliance Test Cases

TCI: 08 Electronic Poll Book Programming	
IN § 10.3 (b) Requirements: (1)	*(1) An electronic poll book must be programmed so that the coordinated action of two (2) election officers who are not members of the same political party is necessary to access the electronic poll book.*
Test Objective: To determine if the electronic poll book requires the coordinated action of two officers of different political parties to access the electronic poll book information.	**Test Configuration:** An electronic poll book loaded with the proper version of firmware and configured with voter information in a pre-election state.
Equipment:	None
Special Procedural Requirements:	None
Assumptions:	The electronic poll book is loaded with voter information, but is not in an "Election" state. This test case assumes that the Criteria for Evaluation are not satisfied procedurally.

Step	Procedure
1000	Ensure the electronic poll book is in a "Pre-Election" state and not activated to an "Election" state. *Expected:* The electronic poll book is loaded with voter information and is in a "Pre-Election" state. *Actual:*
1010 (1010 to 1030 are designed to validate the first user inputs)	Attempt to access the electronic poll book using the designated method of data input without inputting proper credentials. Repeat this step 11 times documenting each method and credential used or until the electronic poll book "locks out" attempts. *Expected: The electronic poll book will not switch into an "Election" state or provide access to voter information.* *Actual:*
1020	Ensure the electronic poll book is returned to a "Pre-Election" state. *Expected: The electronic poll book is loaded with voter information and is in a "Pre-Election" state.* *Actual:*
1030	Use the designated method to input valid user credentials to the electronic poll book for Party 1. *Expected: The information for Party 1 can be input into the electronic poll book.* *Actual:*
1040 (1040 to 1060 are designed to validate the second user inputs)	Attempt to access the electronic poll book using the designated method of data input for invalid user credentials for Party 2. Repeat this step 11 times documenting each method and credential used or until the electronic poll book "locks out" attempts. *Expected: The electronic poll book will not switch into an "Election" state or provide access to voter information.* *Actual:*

1050	Ensure the electronic poll book is returned to a "Pre-Election" state. *Expected: The electronic poll book is loaded with voter information and is in a "Pre-Election" state.* *Actual:*
1060	Use the designated method to input valid user credentials for access to the electronic poll book for Party 2. *Expected: The information for Party 2 can be input into the electronic poll book.* *Actual:*
1070	Attempt to access the electronic poll book using the designated method of data input without inputting proper credentials for Party 1 and invalid credentials for Party 2. Repeat this step 11 times documenting each method and credential used or until the electronic poll book "locks out" attempts. *Expected: The electronic poll book will not switch into an "Election" state or provide access to voter information.* *Actual:*
1080	Ensure the electronic poll book is returned to a "Pre-Election" state. *Expected: The electronic poll book is loaded with voter information and is in a "Pre-Election" state.* *Actual:*
1090	Use the designated method to input information necessary for access to the electronic poll book for Party 1. Use the designated method to input information necessary for access to the electronic poll book for Party 2. *Expected: The electronic poll book is activated to an "Election" state with the coordinated action of Party 1 and Party 2.* *Actual:*
1100	Use the designated method to input information necessary for access to the electronic poll book for two separate individuals of the same Party. *Expected: The electronic poll book will not allow for activation to an "Election" state.* *Actual:*
1110	Input the voter information for any known voter to retrieve the voter registration. Analyze the record for known information to ensure the electronic poll book has retrieved the proper information. *Expected: The electronic poll book retrieves the proper voter information.* *Actual:*

1120	Use the designated method to generate a report. *Expected: A report is produced.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book does not allow access to the voter information without a coordinated action of two separate election officers from different political parties. The electronic poll book does allow access to the voter information with the coordinated action of two separate election officers from different political parties.	

TCI: 11 Electronic Poll Book Interface	
IN § 10.3 (b) Requirements: (2)	*(2) An electronic poll book may not be connected to a voting system. However, the electronic poll book may be used in conjunction with a voting system if both of the following apply:* *(A) The electronic poll book contains a device that must be physically removed from the electronic poll book by a person and the device is inserted into the voting system, with no hardware or software connection existing between the electronic poll book and the voting system.* *(B) All data on the device is erased when the device is removed from the voting system and before the device is reinserted into an electronic poll book.*
Test Objective: To determine if the electronic poll book is connected to the voting system. Any interfacing component is erased before being reused by the electronic pollbook.	**Test Configuration:** An electronic poll book configured for election day.
Equipment:	COTS device for reading interfacing component, media in every state from the voting system
Special Procedural Requirements:	None
Assumptions:	The electronic poll book is configured with all connections, cable and transport media.

Step	**Procedure**
1000	Inspect the electronic poll book for cables, connections and transport media to the voting system. Any interfacing component must have an "air gap" solution between the electronic poll book and the voting system. This inspection should take into account radio frequency connections such as Bluetooth, Wi-Fi, and Cellular connections. *Expected: The electronic poll book does not connect to the voting system.* *Actual:*
1010	(*Optional for interfacing components) For interfacing components with an "air gap" solution, this interface should be a one way interface from the electronic poll book to the voting system. Use the designated method of interfacing from the electronic poll book to the voting system. Use the designated method of the voting system to interface with the information provided by the electronic poll book. Return the interfacing component to the electronic poll book. Use the designated method to examine the interfacing component to ensure the voting system does not provide any information to the electronic poll book. *Expected: The voting system does not provide any information to the electronic poll book.* *Actual:*

Criteria for Evaluation of the Test Results: The electronic poll book is not connected in any manner to the voting system. If there is an interfacing component to the voting system, this interface must be a one way interface.

TCI: 12 Display of Voter Information and Signature	
IN § 10.3 (b) Requirements: (3) (10)	*(3) An electronic poll book may not permit access to voter information in the electronic poll list other than:* *(A) information provided on the certified list of voters prepared under IC 3-7-29-1; or* *(B) information concerning any of the following received or issued after the electronic poll list has been downloaded by the county election board under IC 3-7-29-6:* *(i) The county's receipt of an absentee ballot from the voter.* *(ii) The county's receipt of additional documentation provided by the voter to the county voter registration office.* *(iii) The county's issuance of a certificate of error.* *(10) The electronic poll book must be able to display an electronic image of the signature of a voter taken from:* *(A) the voter's registration application, or* *(B) a more recent signature of a voter from an absentee application, poll list, electronic poll book, or registration document.*
Test Objective: Ensure all the voter information from IC 3-7-29-1 described in (A) and supplemental information described in (B) of this requirement is accessible including the voter's signature record and other information is not accessible.	**Test Configuration:** An electronic poll book configured for election day.
Equipment:	None
Special Procedural Requirements:	The voter information to retrieve (5) known voter registration records will be selected prior test execution to meet the following requirements: • An eligible voter • An ineligible voter • A voter who has cast an absentee ballot • A voter flagged to provide additional documentation • A voter with a county issued certificate of error
Assumptions:	It is assumed examples of the five known voter registration records will be provided in the data to execute these five steps below.

Step	**Procedure**
1000	Use the designated method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1010	Inspect the retrieved record for the following information: ___ (1) The full name of the voter. ___ (2) The address of the voter. ___ (3) The assigned voter identification number.

	___ (4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot. ___ (5) The date of birth of the voter, including an indication whether the voter is less than eighteen (18) years of age for a poll list used in a primary election ___ (6) The scanned signature of the voter. ___ (7) Whether the voter is required to provide an affirmation of the voter's residence. ___ (8) A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list. ___ (9) For a poll list used in a primary election, a letter abbreviation of the name of the major political party whose ballot the voter has requested. ___ (10) A space for a poll clerk to indicate when a voter has cast an absentee ballot. ___ (11) A space for a poll clerk to indicate when a voter has cast a provisional ballot. ___ (12) For a voter required to submit additional documentation required under IC 3-7-33-4.5, a space for a poll clerk to insert letters serving as an abbreviation for the type of documentation provided by the voter. *Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.* *Actual:*
1020	Use the designed method to input the voter information to retrieve the voter registration record for an ineligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1030	Inspect the retrieved record for the following information: ___ (1) The full name of the voter. ___ (2) The address of the voter. ___ (3) The assigned voter identification number. ___ (4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot. ___ (5) The date of birth of the voter, including an indication whether the voter is less than eighteen (18) years of age for a poll list used in a primary election ___ (6) The scanned signature of the voter. ___ (7) Whether the voter is required to provide an affirmation of the voter's residence. ___ (8 A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list. ___ (9) For a poll list used in a primary election, a letter abbreviation of the name of the major political party whose ballot the voter has requested. ___ (10) A space for a poll clerk to indicate when a voter has cast an absentee ballot. ___ (11) A space for a poll clerk to indicate when a voter has cast a provisional ballot. ___ (12) For a voter required to submit additional documentation required under IC 3-7-33-4.5, a space for a poll clerk to insert letters serving as an abbreviation for the type of documentation provided by the voter. *Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.* *Actual:*

1040	Use the designed method to input the voter information to retrieve the voter registration record for a voter who has cast an absentee ballot. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1050	Inspect the retrieved record for the following information: ___ (1) The full name of the voter. ___ (2) The address of the voter. ___ (3) The assigned voter identification number. ___ (4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot. ___ (5) The date of birth of the voter, including an indication whether the voter is less than eighteen (18) years of age for a poll list used in a primary election ___ (6) The scanned signature of the voter. ___ (7) Whether the voter is required to provide an affirmation of the voter's residence. ___ (8 A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list. ___ (9) For a poll list used in a primary election, a letter abbreviation of the name of the major political party whose ballot the voter has requested. ___ (10) A space for a poll clerk to indicate when a voter has cast an absentee ballot. ___ (11) A space for a poll clerk to indicate when a voter has cast a provisional ballot. ___ (12) For a voter required to submit additional documentation required under IC 3-7-33-4.5, a space for a poll clerk to insert letters serving as an abbreviation for the type of documentation provided by the voter. *Expected: Items 1-12 are displayed and the signature is legible enough to make a signature comparison and no other voter information is provided.* *Actual:*
1060	Use the designed method to input the voter information to retrieve the voter registration record for a voter who has been flagged for additional documentation. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1070	Inspect the retrieved record for the following information: ___ (1) The full name of the voter. ___ (2) The address of the voter. ___ (3) The assigned voter identification number. ___ (4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot. ___ (5) The date of birth of the voter, including an indication whether the voter is less than eighteen (18) years of age for a poll list used in a primary election ___ (6) The scanned signature of the voter. ___ (7) Whether the voter is required to provide an affirmation of the voter's residence. ___ (8 A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list.

	___ (9) For a poll list used in a primary election, a letter abbreviation of the name of the major political party whose ballot the voter has requested. ___ (10) A space for a poll clerk to indicate when a voter has cast an absentee ballot. ___ (11) A space for a poll clerk to indicate when a voter has cast a provisional ballot. ___ (12) For a voter required to submit additional documentation required under IC 3-7-33-4.5, a space for a poll clerk to insert letters serving as an abbreviation for the type of documentation provided by the voter. *Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.* *Actual:*
1080	Use the designated method to input the voter information to retrieve the voter registration record for a voter with a county issued certificate of error. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1090	Inspect the retrieved record for the following information: ___ (1) The full name of the voter. ___ (2) The address of the voter. ___ (3) The assigned voter identification number. ___ (4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot. ___ (5) The date of birth of the voter, including an indication whether the voter is less than eighteen (18) years of age for a poll list used in a primary election ___ (6) The scanned signature of the voter. ___ (7) Whether the voter is required to provide an affirmation of the voter's residence. ___ (8 A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list. ___ (9) For a poll list used in a primary election, a letter abbreviation of the name of the major political party whose ballot the voter has requested. ___ (10) A space for a poll clerk to indicate when a voter has cast an absentee ballot. ___ (11) A space for a poll clerk to indicate when a voter has cast a provisional ballot. ___ (12) For a voter required to submit additional documentation required under IC 3-7-33-4.5, a space for a poll clerk to insert letters serving as an abbreviation for the type of documentation provided by the voter. *Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.* *Actual:*
1100	Use the designated method to generate a report. *Expected: A report is produced.* *Actual:*
Criteria for Evaluation of the Test Results: All voter records can be retrieved and accurately displayed with the required information for expected data and no additional information is displayed.	

TCI: 03 Transmission Encryption	
IN § 10.3 (b) Requirements: (4)	*(4) The information contained on an electronic poll list must be secure and placed on a dedicated, private server to secure connectivity between a precinct polling place or satellite absentee office and the county election board. The electronic poll book must have the capability of:* *(A) storing (in external or internal memory) the current local version of the electronic poll list; and* *(B) producing a list of audit records that reflect all of the idiosyncrasies of the system, including in-process audit records that set forth all transactions.*
Test Objective: To determine if the electronic poll book employs encryption.	**Test Configuration:** An electronic poll book connected to a network interface.
Equipment:	Network protocol analyzer, network interface
Special Procedural Requirements:	A network connection between the network analyzer, network interface and the electronic poll book must be established. The network protocol analyzer must be fully functioning. The network protocol analyzer must be configured in promiscuous mode to capture all packets traversing the network.
Assumptions:	The electronic poll book is configured to the point of transmission.

Step	**Procedure**
1000	Examine the electronic poll book and ensure it is in a state ready to transmit. *Expected: The electronic poll book is ready to transmit an updated poll list.* *Actual:*
1010	Use the designated method to initialize the network protocol analyzer to start a "capture" from the network interface. *Expected: The network protocol analyzer is actively capturing network packet.* *Actual:*
1020	Use the designated method to transmit the updated poll list from the ePB to the poll list server. *Expected: The ePB will start to transmit data to the network interface.* *Actual:*
1030	Use the designated method to browse the "captured" packets on the network protocol analyzer, ensure the network packets are encrypted. *Expected: A determination can be made that the electronic poll book uses employs encryption.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll transmits data that is encrypted.	

TCI: 04 Electronic Poll Book Transmission	
IN § 10.3 (b) Requirements: (4) (7) (9) (22)	*(4) The information contained on an electronic poll list must be secure and placed on a dedicated, private server to secure connectivity between a precinct polling place or satellite absentee office and the county election board. The electronic poll book must have the capability of:* *(A) storing (in external or internal memory) the current local version of the electronic poll list; and* *(B) producing a list of audit records that reflect all of the idiosyncrasies of the system, including in-process audit records that set forth all transactions.* *(7) The electronic poll book must transmit the information in subdivision (6) to the county server so that the server may:* *(A) transmit the information immediately to every other polling place or satellite absentee office in the county or.* *(B) the server makes the information immediately available to every other polling place or satellite absentee office in the county* *(9) On each day after absentee ballots are cast before an absentee voter board in the circuit court clerk's office, a satellite office, or a vote center, and after election day, the electronic poll book must permit voter history to be quickly and accurately uploaded into the computerized list as defined in IC 3.7.26.3-2..* *(22) The electronic poll book must have the capacity to transmit all information generated by the voter or poll clerk as part of the process of casting a ballot, including the time and date stamp indicating when the voter signed the electronic poll book, and the electronic signature of the voter, for retention on the dedicated private server maintained by the county election board for the period required by Indiana and federal law.*
Test Objective: To determine if the electronic poll book transmits and can receive an indication that a voter has received a ballot, the time and date of the occurrence, and the electronic signature and records audit details.	**Test Configuration:** Two electronic poll books (ePB-1 & ePB-2) configured with the same voter registration data and the ability to connect to a dedicated private server.
Equipment:	Time keeping device
Special Procedural Requirements:	The voter information to retrieve (2) known eligible voter registration records.
Assumptions:	The electronic poll book is loaded with poll list, but no connections are established to a network.

Step	**Procedure**
1000 **ePB -1**	Examine the electronic poll book and identify the designated method of data transmission. Ensure the electronic poll book has no connectivity. *Expected: The electronic poll book has no connectivity.* *Actual:*

1010 ePB -1	Use the designated method to browse through the poll list. Retrieve and examine five (5) voter registration records to ensure the poll list is stored locally and is not dependent on connectivity. *Expected: The poll list is stored locally and can be browsed with no connectivity.* *Actual:*
1020 ePB -1	Use the designated method to establish connectivity and configure the electronic poll book for an "Election" state. *Expected: The electronic poll book is activated to an "Election" state and has connectivity.* *Actual:*
1030 ePB -1	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1040 ePB -1	Use the designated method to digitally input the voter's signature. Use the designated method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1050 ePB -1	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter as having received a ballot. Save the update. *Expected: The voter registration record can be edited and the update can be saved.* *Actual:*
1060 ePB -1	Use the time keeping device to record the time: _____ Use the designated method to transmit the updated poll list to the poll list server. Look for an indication of a successful transfer. Use the time keeping device to record the time: _____ *Expected: The updated voter registration record can be successfully transmitted.* *Actual:*

1070 **Server**	On the server, use the designated method to retrieve the transmitted poll list from ePB-1. Examine the voter registration record for the voter information input in step 1030. Ensure the voter registration contains the following: _____ An indication of receiving a ballot _____ Time and date stamp of receiving a ballot _____ A legible digital signature *Expected: The updated voter registration record can be successfully retrieved and contains the required information.* *Actual:*
1080 **Server**	Use the designated method to use this poll list as the "new" updated poll list to distribute to all electronic poll books. *Expected: The poll list can be updated to use the poll list transmitted from 1060.* *Actual:*
1090 **ePB-2**	Use the designated method to browse through the poll list. *Expected: The poll list is unchanged from the original information.* *Actual:*
1100 **ePB-2**	Use the designated method to establish connectivity and configure the electronic poll book to receive an updated poll list. *Expected: The connectivity is established and the electronic poll book is ready to receive an updated poll list.* *Actual:*
1110 **ePB-2**	Use the designated method to update the poll list. *Expected: The poll list is updated with the poll list from step 1060.* *Actual:*
1120 **ePB-2**	Use the designated method to configure the electronic poll book for an "Election" state. *Expected: The electronic poll book is activated to an "Election" state.* *Actual:*

1130 **ePB-2**	Use the designated method to input the voter information to retrieve the voter registration record for the voter used in step 1030. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1140 **ePB-2**	Examine the voter registration record to ensure it contains a digital signature and an indication that the voter has received a ballot. *Expected: The voter registration record reflects the changes input in step 1050.* *Actual:*
1150 **ePB-2**	Use the designated method to input the voter information to retrieve the voter registration record for an eligible voter (not used in step 1030). Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1160 **ePB-2**	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1170 **ePB-2**	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter as having received a ballot. Save the update. *Expected: The voter registration record can be edited and the update can be saved.* *Actual:*
1180 **ePB-2**	Use the time keeping device to record the time: _____ Use the designated method to transmit the updated poll list to the poll list server. Look for an indication of a successful transfer. Use the time keeping device to record the time: _____ *Expected: The updated voter registration record can be successfully transmitted.* *Actual:*

1190 **Server**	On the server, use the designated method to retrieve the transmitted poll list from ePB-2. Examine the voter registration record for the voter information input in step 1150. Ensure the voter registration contains the following: _____ An indication of receiving a ballot _____ Time and date stamp of receiving a ballot _____ A legible digital signature *Expected: The updated voter registration record can be successfully retrieved and contains the required information.* *Actual:*
1200	Use the designated method to retrieve the audit records for ePB-1, ePB-2 and the server. If the ability to print the audit records is available print the audit records. Examine the audit records and verify that it contains the transactions that occurred during this test. Also, examine other records looking for indications of the idiosyncrasies of the system. *Expected: The audit records can be successfully retrieved and contains the required information.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book is capable of transmitting the required information quickly and accurately to the server and retrieve updates from the server.	

TCI: 13 Input of Voter Eligibility	
IN § 10.3 (b) Requirements: (5) (6)	*(5) The electronic poll book must permit a poll clerk to enter information regarding an individual who has appeared to vote to verify whether the individual is eligible to vote, and if so, whether the voter has:* *(A) already received a ballot at the election;* *(B) returned an absentee ballot; or* *(C) submitted any additional documentation required under IC 3-7-33-4.5.* *(6) After the voter has been provided with a ballot, the electronic poll book must permit a poll clerk to enter information indicating that the voter has received a ballot.*
Test Objective: To determine if the electronic poll book can be updated for voter eligibility.	**Test Configuration:** An electronic poll book configured for election day.
Equipment:	None
Special Procedural Requirements:	The voter information to retrieve (3) known eligible voter registration records.
Assumptions:	It is assumed (3) eligible voter registration records exist in the data provided for this test.

Step	Procedure
1000	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1010	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter as having received a ballot. Save the update. *Expected: The voter registration record can be edited and the update can be saved.* *Actual:*
1020	Input the information from step 1000 to retrieve the updated voter registration record. *Expected: The voter registration record can be retrieved* *Actual:*
1030	Examine the voter registration record for an indication that the voter has been given a ballot. *Expected: The voter registration record has been updated to indicate the voter has previously received a ballot.* *Actual:*
1040	Use the designed method to input the voter information (not previously used in step 1000) to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*

1050	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter as having returned an absentee ballot. Save the update. *Expected: The voter registration record can be edited and the update can be saved.* *Actual:*
1060	Input the information from step 1040 to retrieve the updated voter registration record. *Expected: The voter registration record can be retrieved* *Actual:*
1070	Examine the voter registration record for an indication that the voter has returned an absentee ballot. *Expected: The voter registration record has been updated to indicate the voter returned an absentee ballot.* *Actual:*
1080	Use the designed method to input the voter information (not previously used in step 1000 or 1040) to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1090	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter has submitted additional documentation. Save the update. *Expected: The voter registration record can be edited and the update can be saved.* *Actual:*
1100	Input the information from step 1080 to retrieve the updated voter registration record. *Expected: The voter registration record can be retrieved* *Actual:*
1110	Examine the voter registration record for an indication that the voter has returned an absentee ballot. *Expected: The voter registration record has been updated to indicate the voter returned an absentee ballot.* *Actual:*
1120	Use the designated method to generate a report. *Expected*: *A report is produced.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book must be able to update the indication for already received a ballot, returned and absentee ballot, and submitted additional documentation.	

TCI: 14 Signature Capture	
IN § 10.3 (b) Requirements: (11)	*(11) The electronic poll book must be used with a signature pad, tablet, or other signature capturing device that permits the voter to make an electronic signature for comparison with the signature displayed under subdivision (10). An image of the electronic signature made by the voter on the signature pad, tablet, or other signature capturing device must be retained and identified as the signature of the voter for the period required for retention under IC 3-10-1-31.1.*
Test Objective: To determine if the electronic poll book can capture and retain a voter's signature legible enough for comparison with the signature record on file.	**Test Configuration:** An electronic poll book configured for election day.
Equipment:	None
Special Procedural Requirements:	The voter information to retrieve (2) known eligible voter registration records.
Assumptions:	It is assumed 2 eligible voter registration records exist in the data provided for this test.

Step	**Procedure**
1000	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1010	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1020	Use the designated method to examine the signature to determine if it is legible enough for comparison. *Expected: The input digital signature is captured in a manner that allows for comparison* *Actual:*
1030	Use the designed method to input the voter information (not previously used in step 1000) to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1040	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*

1050	Use the designated method to examine the signature to determine if it is legible enough for comparison. *Expected: The input digital signature is captured in a manner that allows for comparison* *Actual:*
1060	Use the designed method to input the voter information to retrieve the voter registration record for the voter in step 1000. Inspect this record to see that the captured digital signature remain with the voter registration record. *Expected: The voter registration record is retrieved along with the digital signature that was input.* *Actual:*
1070	Use the designed method to input the voter information to retrieve the voter registration record for the voter in step 1030. Inspect this record to see that the captured digital signature remain with the voter registration record. *Expected: The voter registration record is retrieved along with the digital signature that was input.* *Actual:*
1080	Use the designated method to generate a report. *Expected: A report is produced.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book must digitally capture the voter's signature in a legible manner and retain the digital signature with the voter's registration record.	

TCI: 15 Record Retrieval by Bar Code		
IN § 10.3 (b) Requirements: (12)	*(12) The electronic poll book must include a bar code reader or capturing device that:* *(A) permits a voter who presents an Indiana driver's license or a state identification card issued under IC 9-24-16 to scan the license or card through the bar code reader or tablet; and* *(B) has the capability to display the voter's registration record upon processing the information contained within the bar code on the license or card.*	
Test Objective: To determine if the electronic poll book can retrieve and display the voter registration record be a bar code on an Indiana driver's license or state identification card.	**Test Configuration:** An electronic poll book configured for election day.	
Equipment:	(2) Valid Indiana driver's license with corresponding voter registration records (2) Valid state issued identification cards with corresponding voter registration records	
Special Procedural Requirements:	None	
Assumptions:	The data used in test execution will contain voter registration records for the identifications being tested.	
Step	**Procedure**	
1000	Use the designated method to read the bar code provided on the source media. Use the designated method to retrieve the voter registration record. *Expected: The voter registration record can be displayed by bar code input.* *Actual:*	
1010	Examine the voter registration record retrieved in step 1000. Compare the voter registration record to the source media to determine if the retrieved information matches the information provide on the source media. *Expected: The information provided by the electronic poll book matches the information provided by the bar code on the source media.* *Actual:*	
1020	Repeat step 1000 and 1010 three additional times until all source media has been scanned ___ Second source media ___ Third source media ___ Fourth source media *Expected: The electronic poll book can successfully retrieve corresponding records using a bar code input.* *Actual:*	
Criteria for Evaluation of the Test Results: The electronic poll book can accurately retrieve and display voter registration records using bar codes from both an Indiana driver license and state issued identification card.		

TCI: 10 Supported Elections	
IN § 10.3 (b) Requirements: (15)	*(15) The electronic poll book must have the ability to be used in conformity with this title for:* *(A) any type of election conducted in Indiana; or* *(B) any combination of elections held concurrently with a general election, municipal election, primary election, or special election.*
Test Objective: To determine if the electronic poll book supports a general election, municipal election, primary election, or a special election as well as any combination of concurrent elections.	**Test Configuration:** An electronic poll book without any voter registration data loaded but configured to support an election on election day.
Equipment:	None
Special Procedural Requirements:	Prior to test execution the electronic poll book manufacturer will create voter registration data to support the following types of elections: • General election • Municipal election • Primary election • Special election • Special election in conjunction with either a General or a Primary election
Assumptions:	Since the voter registration data is not specific to the type of election, but to the eligibility and ineligibility of voters the voter registration data provide may be the same for all types of elections. The voter information to retrieve a known eligible voter's registration records for each type of election.

Step	Procedure
1000	Use the designated method to program the electronic poll book with the voter registration information to support a general election. *Expected: The electronic poll book is able to be programmed to support a general election.* *Actual:*
1010	Use the designated method to activate the electronic poll book to an "Election" state. *Expected: The electronic poll book is activated and in a "Ready for Use" state.* *Actual:*
1020	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*

1030	Use the designated method to program the electronic poll book with the voter registration information to support a municipal election. *Expected: The electronic poll book is able to be programmed to support a municipal election.* *Actual:*
1040	Use the designated method to activate the electronic poll book to an "Election" state. *Expected: The electronic poll book is activated and in a "Ready for Use" state.* *Actual:*
1050	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1060	Use the designated method to program the electronic poll book with the voter registration information to support a primary election. *Expected: The electronic poll book is able to be programmed to support a primary election.* *Actual:*
1070	Use the designated method to activate the electronic poll book to an "Election" state. *Expected: The electronic poll book is activated and in a "Ready for Use" state.* *Actual:*
1080	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1090	Use the designated method to program the electronic poll book with the voter registration information to support a special election. *Expected: The electronic poll book is able to be programmed to support a special election.* *Actual:*
1100	Use the designated method to activate the electronic poll book to an "Election" state. *Expected: The electronic poll book is activated and in a "Ready for Use" state.* *Actual:*

1110	Use the designated method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book can be programmed for each type of election and retrieve voter registration records in support of each type of election.	

TCI: 09 Diagnostic Communications	
IN § 10.3 (b) Requirements: (17)	*(17) The electronic poll book must enable a precinct election officer to verify that the electronic poll book:* *(A) has been set up correctly;* *(B) is working correctly so as to verify the eligibility of the voter;* *(C) is correctly recording that a voter has received a ballot; and* *(D) has been shut down correctly.*
Test Objective: To determine that the electronic book poll provides diagnostic communication to verify the device is set up correctly, working correctly, correctly recording a voter has been given a ballot, and has been shut down correctly.	**Test Configuration:** An electronic poll book loaded with the proper version of firmware and configured with voter information in a pre-election state.
Equipment:	None
Special Procedural Requirements:	The voter information to retrieve (2) known eligible voter registration records.
Assumptions:	The electronic poll book is loaded with voter information, but is not in an "Election" state. It is assumed (2) eligible voter registration records exist in the data provided for this test.

Step	Procedure
1000	Ensure the electronic poll book is in a "Pre-Election" state and not activated to an "Election" state. *Expected:* The electronic poll book is loaded with voter information and is in a "Pre-Election" state. *Actual:*
1010	Use the designated method to input information necessary for access to the electronic poll book for Party 1. Use the designated method to input information necessary for access to the electronic poll book for Party 2. *Expected: The electronic poll book is activated to an "Election" state with the coordinated action of Party 1 and Party 2.* *Actual:*
1020	After activation to an "Election" state, use the designated method to verify the electronic poll book is set up correctly and properly working to verify the eligibility of voters. *Expected: The electronic poll book will provide an indication or notification that the configuration is correctly set up and in a "Ready for Use" state.* *Actual:*
1030	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*

1040	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1050	Use the designated method to examine the signature to determine if it is legible enough for comparison. *Expected: The input digital signature is captured in a manner that allows for comparison* *Actual:*
1060	Use the designated method to edit the voter registration record. Use the designated method to update the voter registration record to indicate the voter as having received a ballot. Save the update. Look for an indication or notification that the record correctly recorded this update. *Expected: The electronic poll book provides an indication or notification that the voter registration record was correctly saved when an update is made to the status of the voter.* *Actual:*
1070	Use the designed method to input the voter information from step 1030 to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1080	Examine the voter registration record for an indication that the voter has been given a ballot. *Expected: The voter registration record has been updated to indicate the voter has previously received a ballot.* *Actual:*
1090	Use the designated method to generate a report. *Expected: A report is produced.* *Actual:*
1100	Use the designated method to shut down the electronic poll book. *Expected: The electronic poll book displays an indication that the electronic poll book has been shut down correctly and shuts down.* *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book provides verification that the device is set up correctly, working correctly, correctly recording that a voter has been given a ballot, and has been shut down correctly.	

TCI: 06 Product Safety (Commercial Off the Shelf - COTS)	
IN § 10.3 (b) Requirements: (19)	*(19) The electronic poll book and any hardware attached to the electronic poll book must be designed to prevent injury or damage to any individual or the hardware, including fire and electrical hazards.*
Test Objective: To determine if the electronic poll book and peripheral are designed to prevent injury and can be safely operated.	
Test Configuration: The electronic poll book configured for election day including all peripherals	

Test Method:

The method for testing this requirement will be inspection. For COTS equipment, the examiner will examine the device for product labeling. This labeling is usually around the area of the power supply, the rear of the device, or on the bottom of the device. The labels needed to meet this requirement will be an NRTL accredited test laboratory label, the most common of which is the UL label (depicted below). The examiner will inspect for the following product labels.

Conformité Européenne "European Conformity"	**Underwriters Laboratories**	**Canadian Standards Association**	**Geprüfte Sicherhei "Tested Safety"**
			

If the device contains any of these product labels the conformance claim should be accepted.

If the device does not contain any of these product labels, but does have product labeling the examiner will photographically document the labeling and research whether the conformance claim is self-declared or independently tested and to what standard.

If the conformance claim is independently test to an industry accepted standard, the conformance claim should be accepted.

If the conformance claim is self-declared or not to an industry accepted standard, the electronic poll book manufacturer will be asked to research and provide the data upon which the device manufacturer basis their claim for further review by the examiner.

Criteria for Evaluation of the Test Results: A verifiable conformance claim of product safety can be established.

Comments:

Examiner Approval: _____ Date: _____

TCI: 07 Product Safety (Proprietary)	
IN § 10.3 (b) Requirements: (19)	*(19) The electronic poll book and any hardware attached to the electronic poll book must be designed to prevent injury or damage to any individual or the hardware, including fire and electrical hazards.*
Test Objective: To determine if the electronic poll book and peripheral are designed to prevent injury and can be safely operated.	
Test Configuration: The electronic poll book configured for election day including all peripherals	
Test Method: The method for testing this requirement will be review. For proprietary equipment, the examiner will review all submitted third party test reports from a National Recognized Testing Laboratory (NRTL). If the device has not been tested, the electronic poll book manufacturer must provide two documented references to proven field use for five years. The documented references shall contain the following: **Customer Name:** **Customer Address:** **Customer Telephone Number:** **Product Purchased:** **Date of Purchase:** **Known Field Issues:** The examiner will review the documented references and contact each reference. The examiner will document the discussion about the product and present the finding as part of the final report. If the device has not been fielded for a period of five years or does not have two documented references, the examiner will present these findings as part of the final report.	
Criteria for Evaluation of the Test Results: A verifiable conformance claim of product safety can be established.	
Comments:	
Examiner Approval: _____ Date: _____	

TCI: 05 Loss and Restoration of Connectivity	
IN § 10.3 (b) Requirements: (23)	*(23) The electronic poll book must:* *(A) permit a voter to check-in and sign the poll book even when there is a temporary interruption in connectivity to the Internet; and* *(B) provide for the uploading of each signature so that the signature may be assigned to the voter's registration record.*
Test Objective: To determine if the electronic poll book will capture a digital signature with a disruption of connectivity and upload the signatures to the voter registration record once connectivity is restored.	**Test Configuration:** An electronic poll book configured for election day.
Equipment:	None
Special Procedural Requirements:	The voter information to retrieve (3) known eligible voter registration records.
Assumptions:	It is assumed 3 eligible voter registration records exist in the data provided for this test.

Step	**Procedure**
1000	Use the designated method to disconnect connectivity of the electronic poll book. *Expected: The connectivity of the electronic poll book can be disconnected.* *Actual:*
1010	Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1020	While connectivity is disrupted, use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1030	Use the designed method to input the voter information (not previously used in step 1010) to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1040	While connectivity is disrupted, use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*

1050	Use the designed method to input the voter information (not previously used in step 1010 or 1030) to retrieve the voter registration record for an eligible voter. Input the voter information and retrieve the voter record. *Expected: The voter information is able to be input and the correct record is retrieved.* *Actual:*
1060	While connectivity is disrupted, use the designated method to digitally input the voter's signature. Use the designed method to save the signature. *Expected: The voter's signature can be input and saved to a voter registration record.* *Actual:*
1070	Use the designated method to restore connectivity. Ensure there is an indication that the electronic poll book is working correctly and connectivity has been restored (IN §10.3 (b) (16) (B)) *Expected: Connectivity can be restored and there is an indication the electronic poll book is working correctly.* *Actual:*
1080	Use the designated method to upload/update the information processed while there was disruption connectivity. *Expected: The voter information that was processed by the electronic poll book can be uploaded / updated.* *Actual:*
1090	Use the designed method to input the voter information to retrieve the voter registration record for the eligible voter input in step 1000. Input the voter information and retrieve the voter record. Verify the digital signature input during disruption of connectivity is retained with the voter registration record and is legible. *Expected: The voter information is able to be input and the correct record is retrieved. The digital signature input during disruption of connectivity is retrieved and is legible.* *Actual:*
1100	Use the designed method to input the voter information to retrieve the voter registration record for the eligible voter input in step 1030. Input the voter information and retrieve the voter record. Verify the digital signature input during disruption of connectivity is retained with the voter registration record and is legible. *Expected: The voter information is able to be input and the correct record is retrieved. The digital signature input during disruption of connectivity is retrieved and is legible.* *Actual:*
1110	Use the designed method to input the voter information to retrieve the voter registration record for the eligible voter input in step 1050. Input the voter information and retrieve the voter record. Verify the digital signature input during disruption of connectivity is retained with the voter registration record and is legible. *Expected: The voter information is able to be input and the correct record is retrieved. The digital signature input during disruption of connectivity is retrieved and is legible.* *Actual:*

1120	Use the designated method to generate a report. *Expected*: A report is produced. *Actual:*
Criteria for Evaluation of the Test Results: The electronic poll book must permit a voter to digitally sign the poll book with a disruption in connectivity and upload / update this information once connectivity is restored. The updated / uploaded information must be retained with the voter registration record and the digital signature must be legible.	

APPENDIX D

Acceptance Test

Contents

Revision History

Name	Date	Reason for Change	Version
Keagan Pennycuff	7/12/2015	Initial draft	0.1
Keagan Pennycuff	7/28/2015	Updates	0.2
Kelly Sprague	8/27/2015	Device Setup (2.1) and Voter Signature (2.9) Updates	0.3
Kelly Sprague	8/27/2015	Minor Updates for Release	1.0

1 Introduction

This Indiana Acceptance Test for ePollbook has been developed on the basis of the Indiana Electronic Poll Book (ePollBook) Certification Test Protocol approved by the Indiana Secretary of State in conformance with IC 3-11-8-10.3. It contains a test scripts for conducting an Acceptance Test of the ePollbook solution at the time of delivery of units in the county. This acceptance test focuses primarily on the ability of the ePollbook to communicate with WEB Services Framework (WSF) and the Statewide Voter Registration System (SVRS) in downloading and uploading appropriate data used in conducting elections.

1.1 Purpose

This script is to be used for acceptance testing of the ePollbook solution named in Section 3. These scripts test the ePollBook solution's ability to implement the interface specifications set forth in the WEB Services Framework (WSF) version 3.0 or later and to meet ePB requirements as described in IC 3-11-8-10.3.

1.2 Assumptions

- Counties and vendors have read all portions of this acceptance test before beginning.
- Large counties will take longer than the allotted time to complete 2.13.
- Counties and vendors will have working knowledge of all SVRS functions performed in the scripts.
- Counties will have access to Step-by-Step documents from the county portal.
- Counties are responsible for identifying the SVRS Sandbox data to be used for testing.
- Counties and vendors have subsequent attempts, through corrective action, to complete any checklist items that have failed.
- Vendor will provide adequate training to county officials regarding ePB client.

1.3 Report Completion

- The County is responsible for ensuring that the Acceptance Test is completed. Follow the Checklist in Section 3. Complete all the steps and sign the Checklist. Send the signed document to Voting System Technical Oversight Program at the address below. Retain a copy for your records.

  VSTOP At Bowen Center for Public Affairs
  Ball State University
  Muncie, IN 47306

2 Scripts

The scripts in this section confirm that the complete data life cycle supporting the Indiana ePB solution is functional and operating as specified.

2.1 Device Setup

Steps	Action Description	Responsibility	When
1-3	The ePB vendor shall contact the SVRS Web Service Framework (WSF 3.0 or later) provider to obtain the proper credentials and Device ID to allow the ePB solution to communicate and execute the functions provided by the SVRS Web Service Framework (WSF). The Device ID provided to the ePB vendor shall be correlated with Acceptance Test procedures.	Quest/ Vendor/ County	Pre-Election
4	The ePB vendor shall notify the county upon receipt of the Device ID from the WSF provider. • IN SVRS Web Service Device Setup Email	SVRS Notification	Pre-Election
5-6	The county shall create Poll Locations/ Satellite Voting Location. The county shall Setup Office, Candidate, etc.	County	Pre-Election

2.2 Populate ePB Client

Steps	Action Description	Responsibility	When
1-2	Using the WSF interface functions SVRSGetFTPInfo and SVRSGetControlFile and the DeviceID the ePB vendor shall download and verify the Control Information for the “Test”.	Vendor	Pre-Election
3	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetFTPInfo Email • Notification of Success for SVRSGetControlFile Email	Vendor	

Steps	Action Description	Responsibility	When
4	The county shall ensure that all voter registration, signature and absentee information have been posted in the SVRS "Test" election and are available for access through the WSF interface. The county shall execute reports available through the SVRS against the "Test" election that designate: • The total number of voter records, • The total number of signature records, • The total number of absentee records. • The number of absentee records broken down by the absentee status.	County	Pre-Election
5	Using the WSF interface function SVRSGetVoterInformation with the parameter IsFullExport=TRUE, the ePB vendor shall download the list of voters contained in the "Test" election.	Vendor	Pre-Election
6-7	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetVoterInformation Email	SVRS Notification	Pre-Election
8	The vendor shall provide the county with: • The total number of voter records reported by the SVRSGetVoterInformation response. • The number of voter information records imported into the ePB solution from the file generated by the SVRSGetVoterInformation request. • A reporting of any errors encountered preventing import or conversion of any voter record generated by the SVRSGetVoterInformation request into the ePB solution.	Vendor	Pre-Election
9	Using the WSF interface function SVRSGetVoterSignatures with the parameter IsFullExport=TRUE, the ePB vendor shall	Vendor	Pre-Election

Steps	Action Description	Responsibility	When
	download the signature files contained in the "Test" election.		
10-11	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetVoterSignatures Email	SVRS Notification	Pre-Election
12	The vendor shall provide the county with: • A reporting of the total number of voter signatures reported by the SVRSGetVoterSignatures response. • A reporting of the number of signature records imported into the ePB solution from the files generated by the SVRSGetVoterSignatures request. • A reporting of any errors encountered preventing import or conversion of any voter signature records generated by the SVRSGetVoterSignatures request into the ePB solution. • A reporting of all voter records generated from the SVRSGetVoterInformation request that do not have an associated signature generated through the SVRSGetVoterSignatures request.	Vendor	Pre-Election
13	Using the WSF interface function SVRSGetAbsenteeBallots with the parameter IsFullExport=TRUE, the ePB vendor shall download the absentee records contained in the "Test" election.	Vendor	Pre-Election
14-15	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetAbsenteeBallots Email	SVRS Notification	Pre-Election
16	The vendor shall provide the county with: • The total number of absentee records reported by the SVRSGetAbsenteeBallots response.	Vendor	Pre-Election

Steps	Action Description	Responsibility	When
	• The number of absentee records imported into the ePB solution from the file generated by the SVRSGetAbsenteeBallots request. • A reporting of any errors encountered preventing import or conversion of any absentee record generated by the SVRSGetAbsenteeBallots request into the ePB solution.		
17	The vendor shall load an ePB workstation with data provided and imported in the above steps.	Vendor	Pre-Election
18	Using the ePollbook client, the county officials shall retrieve the voter information for voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election.	County	Pre-Election

2.3 Early Voting Check-in

Steps	Action Description	Responsibility	When
1	Using the ePollbook client, the county officials shall retrieve the voter information records for 10 voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the following information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election: • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Assigned ballot style	County	Daily

Steps	Action Description	Responsibility	When
	• Electronic signature		
1.1	For each voter record retrieved in the step above, the county official shall confirm that the proper rules pertaining to the following are implemented in the ePB client. • Under age 18 • Missing DLN/SSN4 • Proof of Residency • Affirmation of Residence	County	Daily
1.2	For each voter record retrieved in the steps above, it shall be confirmed that the matching record is accessed from the database with the voter's stored signature. The county official shall compare a signature captured on a signature capture device to the signature downloaded from the database. The county official shall complete execution of the voter check-in steps provided by the ePB client.	County	Daily
2-4	The vendor shall execute the WSF procedures designated for transmitting absentee ballots (SVRSPutAbsenteeBallots) from voter check-ins executed on the ePB client in an early voting mode in the steps above.	Vendor	Daily
5-6	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSPutAbsenteeBallots Email	SVRS Notification	Daily
7	The vendor shall provide the county with: • The number of absentee records imported into SVRS from the file generated by the SVRSPutAbsenteeBallots request. • A reporting of any errors encountered preventing import or conversion of any absentee record generated by the SVRSPutAbsenteeBallots request.	Vendor	Daily

Steps	Action Description	Responsibility	When
8	Execute Data Validation/import into SVRS Hopper process	Quest	Daily
9	Quest shall notify the county and vendor upon completion. • Web Services Nightly Processing Report Email	SVRS Notification	Daily
10	The county official shall verify that the information loaded into the hopper by the nightly process compares with the voter check-ins executed on the ePB client in an early voting mode in the steps above.	County	Daily

2.4 Voter Information Deltas

Steps	Action Description	Responsibility	When
1	Using SVRS, the county officials shall apply updates to 10 voter registration records. • Add new voter registration • Change the address of a voter • Change the precinct of a voter • Change the name of a voter • Change the birthdate of a voter • Change a voter's registration status • Change the DLN of a voter • Change the SSN4 of a voter • Flag a voter as "Military" • Flag a voter as "Overseas"	County	Daily
2	Using the WSF interface function SVRSGetVoterInformation with the parameter IsFullExport=FALSE, the ePB vendor shall download the delta list of voters contained in the "Test" election. The list generated from this call should represent the changes applied in the steps above.	Vendor	Daily

Steps	Action Description	Responsibility	When
3-4	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetVoterInformation Email	SVRS Notification	Daily
5	The vendor shall provide the county with: • The total number of voter records reported by the SVRSGetVoterInformation response. • The number of voter information records imported into the ePB solution from the file generated by the SVRSGetVoterInformation request. • A reporting of any errors encountered preventing import or conversion of any voter record generated by the SVRSGetVoterInformation request into the ePB solution.	Vendor	Daily
6	The vendor shall load an ePB workstation with data provided and imported in the above steps.	Vendor	Daily
7	Using the ePollbook client, the county officials shall retrieve the voter information for voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election.	County	Daily

2.5 Voter Signature Deltas

Steps	Action Description	Responsibility	When
1	Using SVRS, the county officials shall apply updates to 10 voter signature records. • Change signatures • Delete signatures • Add signatures	County	Daily

Steps	Action Description	Responsibility	When
2	Using the WSF interface function SVRSGetVoterSignatures with the parameter IsFullExport=FALSE, the ePB vendor shall download the delta list of voters contained in the "Test" election.	Vendor	Daily
3-4	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetVoterSignatures Email	SVRS Notification	Daily
5	The vendor shall provide the county with: • A reporting of the total number of voter signatures reported by the SVRSGetVoterSignatures response. • A reporting of the number of signature records imported into the ePB solution from the files generated by the SVRSGetVoterSignatures request. • A reporting of any errors encountered preventing import or conversion of any voter signature records generated by the SVRSGetVoterSignatures request into the ePB solution.	Vendor	Daily
6	The vendor shall load an ePB workstation with data provided and imported in the above steps.	Vendor	Daily
7	Using the ePollbook client, the county officials shall retrieve the voter information for voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election.	County	Daily

2.6 Absentee Ballot Deltas

Steps	Action Description	Responsibility	When
1	Using SVRS, the county officials shall apply absentee information to 7 voter registrations. • Create new ballot by walk-in • Create new ballot by mail • Create new ballot by fax • Create new ballot by digital image • Create new ballot by traveling board • Change an existing ballots status • Reissue a ballot	County	Daily
2	Using the WSF interface function SVRSGetAbsenteeBallots with the parameter IsFullExport=FALSE, the ePB vendor shall download the delta list of voters contained in the "Test" election. The list generated from this call should represent the changes applied in the steps above.	Vendor	Daily
3-4	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSGetAbsenteeBallots Email	SVRS Notification	Daily
5	The vendor shall provide the county with: • The total number of absentee records reported by the SVRSGetAbsenteeBallots response. • The number of absentee records imported into the ePB solution from the file generated by the SVRSGetAbsenteeBallots request. • A reporting of any errors encountered preventing import or conversion of any absentee record generated by the SVRSGetAbsenteeBallots request into the ePB solution.	Vendor	Daily
6	The vendor shall load an ePB workstation with data provided and imported in the above steps.	Vendor	Daily

Steps	Action Description	Responsibility	When
7	Using the ePollbook client, the county officials shall retrieve the voter information for voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election.	County	Daily

2.7 Election Day Check-in

Steps	Action Description	Responsibility	When
1	Using the ePollbook client, the county officials shall retrieve the voter information records for 10 voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the following information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election: • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Assigned ballot style • Electronic signature	County	Daily
1.1	For each voter record retrieved in the step above, the county official shall confirm that the proper rules pertaining to the following are implemented in the ePB client. • Under age 18 • Missing DLN/SSN4 • Proof of Residency • Affirmation of Residence	County	Daily

Steps	Action Description	Responsibility	When
1.2	For each voter record retrieved in the steps above, it shall be confirmed that the matching record is accessed from the database with the voter's stored signature. The county official shall compare a signature captured on a signature capture device to the signature downloaded from the database. The county official shall complete execution of the voter check-in steps provided by the ePB client.	County	Daily
2-4	The vendor shall execute the WSF procedures designated for transmitting Election Day ballots (SVRSPutAbsenteeBallots) from voter check-ins executed on the ePB client in an Election Day voting mode in the steps above.	Vendor	Daily
5-6	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSPutAbsenteeBallots Email	SVRS Notification	Daily
7	The vendor shall provide the county with: • The number of absentee records imported into SVRS from the file generated by the SVRSPutAbsenteeBallots request. • A reporting of any errors encountered preventing import or conversion of any absentee record generated by the SVRSPutAbsenteeBallots request.	Vendor	Daily
8	Execute Data Validation/import into SVRS Hopper process	Quest	Daily
9	Quest shall notify the county and vendor upon completion. • Web Services Nightly Processing Report Email	SVRS Notification	Daily
10	The county official shall verify that the information loaded into the hopper by the nightly process compares with the voter check-ins	County	Daily

Steps	Action Description	Responsibility	When
	executed on the ePB client in an Election Day mode in the steps above.		

2.8 Voter Updates

Steps	Action Description	Responsibility	When
1	Using the ePollbook client, the county officials shall retrieve the voter information records for 10 voters included in the SVRS test election using the lookup capabilities of the ePB client. The county official shall verify that the following information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election: • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Assigned ballot style • Electronic signature	County	Post-Election
1.1	For each voter record retrieved in the step above, the county official shall confirm that the proper rules pertaining to the following are implemented in the ePB client. • Under age 18 • Missing DLN/SSN4 • Proof of Residency • Affirmation of Residence	County	Post-Election
1.2	Using the ePB Client, the county officials shall modify voter information retrieved in the steps above. Correct an existing voter's information • Name change • Address change • DOB change	County	Post-Election

Steps	Action Description	Responsibility	When
	• DLN change • SNN4 change		
2-4	The vendor shall execute the WSF procedures designated for transmitting voter information (SVRSPutVoterInformation) from voter check-ins executed on the ePB client in the steps above.	Vendor	Post-Election
5-6	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSPutVoterInformation Email	SVRS Notification	Post-Election
7	The vendor shall provide the county with: • The number of voter information records imported into SVRS from the file generated by the SVRSPutVoterInformation request. • A reporting of any errors encountered preventing import or conversion of any voter record generated by the SVRSPutVoterInformation request.	Vendor	Post-Election
8	Execute Data Validation/import into SVRS Hopper process	Quest	Post-Election
9	Quest shall notify the county and vendor upon completion. • Web Services Nightly Processing Report Email	SVRS Notification	Post-Election
10	The county official shall verify that the information loaded into the hopper by the nightly process compares with the voter check-ins executed on the ePB client in the steps above	County	Post-Election

2.9 Voter Signature

Steps	Action Description	Responsibility	When
1	Using the ePollbook client, the county officials shall retrieve the voter information records for 10 voters included in the SVRS test election using	County	Post-Election

Steps	Action Description	Responsibility	When
	the lookup capabilities of the ePB client. The county official shall verify that the following information exposed by the ePollbook client compares with the information recorded and reported on the SVRS test election: • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Assigned ballot style • Electronic signature		
1.1	For each voter record retrieved in the step above, the county official shall confirm that the proper rules pertaining to the following are implemented in the ePB client. • Under age 18 • Missing DLN/SSN4 • Proof of Residency • Affirmation of Residence	County	Post-Election
2-4	The vendor shall execute the WSF procedures designated for transmitting voter signatures (SVRSPutVoterSignature) from voter check-ins executed on the ePB client in the steps above.	Vendor	Post-Election
5-6	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSPutVoterSignature Email	SVRS Notification	Post-Election
7	The vendor shall provide the county with: • The number of voter signatures imported into SVRS from the file generated by the SVRSPutVoterSignature request. • A reporting of any errors encountered preventing import or conversion of any voter record generated by the SVRSPutVoterSignature request.	Vendor	Post-Election

Steps	Action Description	Responsibility	When
8	Execute Data Validation/import into SVRS	Quest	Post-Election
9	Quest shall notify the county and vendor upon completion. • Web Services Nightly Processing Report Email	SVRS Notification	Post-Election
10	The county official shall verify that the signatures loaded into the SVRS signature history page by the nightly process compares with the voter check-ins executed on the ePB client in the steps above.	County	Post-Election

2.10 Vote History

Steps	Action Description	Responsibility	When
1	The vendor shall execute the WSF procedures designated for transmitting voter history (SVRSPutVoteHistory) from voter check-ins executed on the ePB client in the steps above.	Vendor	Post-Election
2	The ePB vendor shall notify the county upon completion. • Notification of Success for SVRSPutVoteHistory Email	SVRS Notification	Post-Election
3	The vendor shall provide the county with: • The number of vote history records imported into SVRS from the file generated by the SVRSPutVoteHistory request. • A reporting of any errors encountered preventing import or conversion of any voter record generated by the SVRSPutVoteHistory request.	Vendor	Post-Election
4	The county official shall use the SVRS to run a Ballot Batch Process for each voter processed in the steps above.	County	Post-Election

Steps	Action Description	Responsibility	When
5	The county official shall use the SVRS to Import Vote History of each voter processed in the steps above.	County	Post-Election
6	The county official shall use the SVRS to validate that the voter history of each voter processed in the step above has been processed by the SVRS.	County	Post-Election

3 Acceptance Test Check List

The Acceptance Test checklist below describes the steps for the Acceptance Test. Additional details on these steps can be found in Section 2.

EPOLLBOOK DETAILS

Vendor Name: _____
Product Name: _____
Product Version Number: _____
Indiana Certification Date:
County Name: _____

Script	Step	Test Action	Quest	County	Vendor
DEVICE SETUP					
1	1	Device Information	x		
	2	Device Configuration	x		
	3	FTP Configuration	x		
	4	Web Service Device Setup Email	x		
	5	Poll Location Copy/Setup		x	
	6	Setup Offices/Candidates, etc.		x	
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
POPULATE EPB CLIENT					
2	1	GetControlFile / GetFTPInfo WSF call			x
	2	Analyze WSF call Response			x
	3	Analyze Email notification		x	x
	4	Control File / FTP Info data received by Vendor and processed into their ePB system			x
	5	GetVoterInformation WSF call (Full Export)			x
	6	Analyze WSF call Response			x
	7	Analyze Email notification		x	x
	8	Verify that the correct number of Registered voters received		x	x
	9	GetAbsenteeBallots WSF call (Full Export)			x

Script	Step	Test Action	Quest	County	Vendor
	10	Analyze WSF call Response			x
	11	Analyze Email notification		x	x
	12	Verify that the correct number of Absentee Ballots received		x	x
	13	GetVoterSignatures WSF call (Full Export)			x
	14	Analyze WSF call Response			x
	15	Analyze Email notification		x	x
	16	Verify that the correct number of Registered voters Signatures received		x	x
	17	Populate ePB system			x
	18	Data Validation		x	x
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
EARLY VOTING CHECK-IN					
3	1	Add 10 new Absentee Ballots to ePB		x	
	2	Create csv file			x
	3	Upload csv file to FTP Server			x
	4	PutAbsenteeBallots WSF call			x
	5	Analyze WSF call Response			x
	6	Analyze Email notification		x	x
	7	Verify that the correct number of Absentee Ballots sent		x	x
	8	Execute Data Validation/import into SVRS Hopper process	x		
	9	Analyze Email notification for data validation		x	x
	10	Compare # of records imported to # of records in hopper		x	
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
VOTER INFORMATION DELTAS					
4	1	Execute script or Manually Add/Update/Cancel 10 Voters in SVRS		x	
	2	GetVoterInformation WSF call (Delta Export)			x
	3	Analyze WSF call Response			x
	4	Analyze Email notification		x	x
	5	Verify that the correct number of Registered voters received		x	x
	6	Populate ePB system			x
	7	Data Validation		x	x
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
VOTER SIGNATURE DELTAS					

Script	Step	Test Action	Quest	County	Vendor
5	1	Execute script or Manually Add 10 Voter Signatures in SVRS		x	
	2	GetVoterSignatures WSF call (Delta Export)			x
	3	Analyze WSF call Response			x
	4	Analyze Email notification		x	x
	5	Verify that the correct number of Registered Voter Signatures received		x	x
	6	Populate ePB system			x
	7	Data Validation		x	x
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
ABSENTEE BALLOT DELTAS					
6	1	Execute script or Manually add/update 5 Absentee Ballots in SVRS		x	
	2	GetAbsenteeBallots WSF call (Delta Export)			x
	3	Analyze WSF call Response			x
	4	Analyze Email notification		x	x
	5	Verify that the correct number of Absentee Ballots received		x	x
	6	Populate ePB system			x
	7	Data Validation		x	x
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
ELECTION DAY CHECK-IN					
7	1	Create several election day Vote records to ePB		x	
	2	Create csv file containing election day records and all absentee ballots from ePB			x
	3	Upload csv file to FTP Server			x
	4	PutAbsenteeBallots WSF call			x
	5	Analyze WSF call Response			x
	6	Analyze Email notification		x	x
	7	Verify that the correct number of Election Day check-ins sent		x	x
	8	Execute Data Validation/import into SVRS Hopper process	x		
	9	Analyze Email notification for data validation		x	x
	10	Compare # of records imported to # of records in hopper		x	
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
VOTER UPDATE					
8	1	Update several Voter records in ePB		x	
	2	Create csv file			x

Script	Step	Test Action	Quest	County	Vendor
	3	Upload csv file to FTP Server			x
	4	Execute PutVoterInformation WSF call			x
	5	Analyze WSF call Response			x
	6	Analyze Email notification		x	x
	7	Verify that the correct number of Registered voters sent		x	x
	8	Execute Data Validation/import into SVRS Hopper process	x		
	9	Analyze Email notification for data validation		x	x
	10	Compare # of records imported to # of records in hopper		x	x
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
VOTER SIGNATURE					
9	1	Add several Voter Signature records in ePB		x	
	2	Create csv file			x
	3	Upload csv file to FTP Server			x
	4	Execute PutVoterSignatures WSF call			x
	5	Analyze WSF call Response			x
	6	Analyze Email notification		x	x
	7	Verify that the correct number of Registered Voter Signatures sent		x	
	8	Execute Data Validation/import into SVRS	x		
	9	Analyze SVRS ePollbook imported Signature Load with ePB client		x	
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					
VOTE HISTORY					
10	1	Execute PutVoteHistory WSF call			x
	2	Analyze WSF call Response			x
	3	Analyze Email notification		x	x
	4	Execute Data Validation/import into SVRS	x		
	5	Execute Ballot Batch Process		x	
	6	Import Vote History		x	
	7	Data Validation		x	
☐ All steps within this section were completed successfully in the first round of testing.					
☐ All steps within this section were completed successfully in subsequent testing.					

SIGNATURE

All items above must pass.

Outcome of Acceptance Test: Accept ☐ Reject ☐

Date of Completion _____
Signature of Authorized County Official _____
Name and Title of Authorized County Official _____

4 Glossary

Term	Definition
CSV	**C**omma **S**eparated **V**alue
EPB	**E**lectronic **P**oll **B**ook
FTP	**F**ile **T**ransfer **P**rotocol
SVRS	**S**tatewide **V**oter **R**egistration **S**ystem
WSF	**W**eb **S**ervice **F**ramework

APPENDIX E

Application for Electronic Poll Book Certification

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APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION

State Form 55319 (R / 8-15)
Indiana Secretary of State

APPLICANT INFORMATION	
Name of vendor	Telephone number
Address of vendor *(number and street or rural route)*	Fax number
City, State, and ZIP code	E-mail address
Name of contact person for the vendor	Contact person's telephone number
Product name	Model number

General description of system and the functionality of each component:

Hardware *(including version numbers)*:

Firmware *(including version numbers)*:

Software *(including version numbers)*:

This application is for the: *(Check appropriate box.)*

☐ Evaluation of a new electronic poll book ☐ Reevaluation of a modification to a certified electronic poll book

☐ Renewal of previously approved electronic poll book

↓ Please complete reverse of form ↓

This application must include the following: *(Please check the box if material is included with this application or indicate N/A, if not applicable. If not included with this application, material must be supplied before the application will be presented to the Indiana Secretary of State)*

1. Technical documentation including:

- ☐ Executable image and source code escrowed with the Office of Indiana Secretary of State or its approved agent.
- ☐ User manuals.
- ☐ Operator and system *manuals (including developer documentation)*.
- ☐ Troubleshooting and training manuals.
- ☐ Fail-safe and emergency backup information.
- ☐ Equipment reliability estimate.
- ☐ Environmental requirements for storage, transportation, and operation.

☐ 2. Photographs of the system; functional description of software components.
☐ 3. Engineering drawings.
☐ 4. Schematics or flowcharts identifying software and data file relationships.
☐ 5. Type of repair and maintenance offered by vendor.
☐ 6. Name and addresses of repair and maintenance providers.
☐ 7. Description of training courses *(including both on-and off-site offerings).*
☐ 8. A statement of the current and future interchangeability of all subcomponents.
☐ 9. Documentation of all testing performed on this system (internal or external sources).
☐ 10. Documentation of all internal quality assurance procedures.
☐ 11. Documentation of all usability testing.
☐ 12. Documentation from election jurisdictions using or previously having used the system or component.
☐ 13. Detailed information concerning electronic poll list consumables and the vendor's supply chain for those consumables.
☐ 14. Description of accessibility features and any testing performed.
☐ 15. Description of any known anomalies, including a description of how those were resolved.

OATH OR AFFIRMATION

In making application for the certification of the electronic poll book or components listed above, I swear or affirm under the penalty for perjury that to the best of my knowledge and belief all the information contained in this application is true and the electronic poll book satisfies all functional and technical specifications as described in IC 3-11-8-10.3.

Signature	Title	Date *(month, day, year)*