



Indiana Electronic Poll Book Certification Test Protocol

**Approved by the Indiana Secretary of State
on February 3, 2022**

**Voting System Technical Oversight Program
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**Summary of changes to the previously approved version
dated December 5, 2019**

Section	Description of Changes
3.0	Administrative review now also includes product safety review.
3.0	Programming and Interface testing section added.
3.0	WSF testing will now include backend testing and voter status (inactive) testing.
3.2	Test sequence opening paragraph allows VSTL flexibility on accomplishing the TCIs in any order.
3.2	All TCIs were re-numbered with the old numbering in parenthesis beside the new number.
3.2	TCI: 3.1 was moved to the Programming and Interface Testing section.
3.2	TCI: 3.2 was moved to the Programming and Interface Testing section.
3.2	TCI: 3.3 was moved to the Programming and Interface Testing section.
3.2	TCI: 3.4 was moved to the Programming and Interface Testing section.
3.2	WSF Communication Testing section added.
3.2	TCI: 6.1 was moved to the WSF Communication Testing section.
3.2	TCI: 6.2 was moved to the WSF Communication Testing section.
3.3	All TCIs in the Traceability Matrices were updated following the new number format with the previous reference number in parenthesis beside the new number.
9.0	Section 9.0 Decertification and Voluntary Termination, and all subsections are newly added.

Appendices	Description of Changes
Appendix C	Added new test case “TCI: 19 Provisional Voter Check-in”
Appendix D	Revised language slightly. Added new test case “Inclusion of Travel Board” in Sections 9-2 and 9-11.
Appendix E	Enhanced the field test process to include more hands-on testing and created a new report template which to follow during the field testing. The report will be completed and submitted to the Secretary of State as part of the VSTOP recommendation.
Appendix F	Notary Affidavit.

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Appendix A Electronic Poll Book Certification Checklist

Appendix B Functional Configuration Audit (FCA) Test Cases

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Appendix D Web Services Framework (WSF) Communication Testing

Appendix E Electronic Poll Book Field Test Report

Appendix F Affidavit for Field Test

1.0 INTRODUCTION

This document includes the test protocol and the processes and procedures to be followed during functional certification testing of electronic poll books (hereafter, referred to as ePB). 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 the certification of ePBs in the State of Indiana. This includes, but is not limited to, the following:

- *Test Requirements Matrix*

The Test Requirements Matrix is used to ensure all applicable requirements are evaluated during an examination for Indiana certification.

- *Test Cases*

Test cases are step-by-step procedures which provide test objectives, expected results, and evaluation criteria for determining the pass/fail outcomes for each defined requirement. The test cases provide both positive and negative testing. Each test case is assigned a unique Test Case Identifier (TCI) to identify the requirement being tested.

- *Electronic Poll Book Certification Checklist*

This checklist is to be used for review of the technical data package and as a guide for general ePB certification in Indiana. It includes relevant information about the specific device being evaluated.

Vendors must follow this guide when preparing materials for submission that will be used in creating a test sequence for functional testing to ensure ePBs meet or exceed all regulatory and legal requirements for the State of Indiana. An ePB may not be used in an election in Indiana until it has been granted state certification by the Indiana Secretary of State.

1.1 References

- Indiana Election Code IC 3-5-2-20.5, and IC 3-5-2-20.7.
- Indiana Election Code IC 3-11-8-10.3 (hereafter referred to as Section 10.3)
- Indiana Election Code IC 3-11-8-25.1(k), IC 3-10-1-24(d) and IC 3-11-8-26.1(e)
- Indiana Election Code IC 3-11-10-26
- Indiana Election Code IC 3-11-18.1-12
- Indiana Election Code IC 3-11.7-2-2 and IC 3-11-8-25.1

1.2 Terms, Abbreviations, and Definitions

This subsection lists terms and abbreviations relevant to this document.

ePB – Electronic Poll Book

COTS – Commercial Off-The-Shelf

SVRS – Statewide Voter Registration System

TCI – Test Case Identifier

TDP – Technical Data Package
VSTL – Voting System Testing Laboratory
VSTOP – Voting System Technical Oversight Program
WSF – Web Services Framework
Vendor – A party who has applied for certification of their product in the State of Indiana.

Positive Testing – Positive Testing is a type of testing which is performed on a software application by providing the valid data sets as an input. It checks whether the software application behaves as expected with positive inputs or not. Positive testing is performed in order to check whether the software application does exactly what it is expected to do.

Negative Testing – Negative Testing is a testing method performed on the software application by providing invalid or improper data sets as input. It checks whether the software application behaves as expected with the negative or unwanted user inputs. The purpose of negative testing is to ensure that the software application does not crash and remains stable with invalid data inputs.

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

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

1.3 Background

Indiana requires the certification of ePBs in accordance with Section 10.3 and other applicable Indiana Codes as described in this document and listed in Section 1.1. The legislation, subsequently updated with amendments incorporated herein, provides that VSTOP perform or evaluate testing on electronic poll books, which utilize the information contained in the SVRS for purposes of conducting elections at Indiana county 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.

In previous versions of this Protocol, Acceptance Testing was conducted after the delivery of ePB units to the county. As of July 1, 2019, Acceptance Testing (as described in IC 3-11-18.1-12) has now been redefined to WSF Communication Testing (see Appendix D). This testing is performed by a VSTL.

1.4 Overview of Certification Process

The evaluation of an ePB to this test protocol will be performed in four phases in a sequence. Each phase must be successfully completed in the order described below.

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

1.4.1 Administrative Review

To meet the requirements of Indiana Code Section 10.3 and other applicable IC sections as described in Section 1.1, the electronic poll book vendor will submit an application (see Section 1.5) along with the completed “Electronic Poll Book Certification Checklist,” (Appendix A) to VSTOP for evaluation. Any additional information requested by VSTOP must be submitted promptly. Upon receipt of the checklist and requested documentation, VSTOP will review the checklist and supporting documentation for completeness and accuracy. If the application is deemed complete, VSTOP will request the submission of the ePB to a U.S. Election Assistance Commission (EAC) approved testing VSTL, or a testing lab chosen by the vendor and approved by VSTOP, to conduct a Functional Configuration Audit, Telecommunication and Compliance Testing, and WSF Communication Testing.

VSTOP may also require VSTL testing for renewal of previously certified electronic poll books, if deemed necessary and appropriate.

1.4.2 Functional Configuration Audit (FCA)

After receipt of the ePB from the vendor/manufacturer, the testing lab will inspect the delivery for damage and catalog all configuration items. At this time, the lab may request assistance in the initial setup and configuration of the ePB from the vendor/manufacturer. Once configured, the testing lab will perform test case identifier “TCI: 02 Functional Configuration Audit” (found in Appendix B of this document). Successfully meeting the “Criteria for Evaluation” for this test case will be considered sufficient for FCA compliance.

1.4.3 Telecommunications/Compliance Testing/WSF Communication Testing

To meet the telecommunications requirements of Section 10.3, specific test cases have been developed (see 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.

The WSF Communication Testing will be conducted by an approved VSTL after the FCA and Telecommunications/Compliance Testing has been successfully completed. This test is designed to assess the capability of the ePB to communicate with the Web Services Framework (WSF) of the Statewide Voter Registration System. See Appendices C and D for more details.

1.4.4 Field Test (IC 3-11-18.1-12(f))

Vendors are required to bring their ePB equipment to VSTOP at Ball State University for purposes of field testing ePB features and functionality. This test evaluates normal processing operations of the ePB and any additional features offered by the Vendor. A mock voter check-in process will be conducted, and results verified. For more detail regarding this test, see Appendix E.

1.4.5 Test Dataset

Each step of the test cases in the above four phases contain an expected result to provide

objective pass/fail criteria. Appropriate test data will be selected by VSTOP in consultation with the VSTL. All test cases for each phase of this evaluation will be conducted independently in the order the assigned testing lab reviewer/examiner determines is the most effective and efficient.

1.5 Application Submission Procedures

The Indiana Secretary of State APPLICATION FOR ELECTRONIC POLL BOOK CERTIFICATION (State Form 55319 (R4/5-19)) must be used. A fillable pdf of this application can be downloaded from <https://forms.in.gov/Download.aspx?id=11223>. This application form applies to the certification of a new electronic poll book, certification of a modification to a certified electronic poll book, and renewal of previously certified electronic poll books. It is critical that the instructions in PART 4 of Form 55319 be followed precisely.

The vendor shall submit the application along with the complete Technical Data Package (TDP), the completed electronic poll book certification checklist (Appendix A) and fee as required by IC 3-11-18.1-12(c). See PART 4 of Form 55319 for additional submission details.

Send the original certification application with a check payment for the current fee to the State of Indiana at the following address:

Indiana Election Division
302 W. Washington St., E204
Indianapolis, IN 46204

Please send a copy of the application and a photocopy of the check to VSTOP.

The submitted package will be reviewed to verify the following:

- (a) Whether the Electronic Poll Book Documentation Checklist has all sections completed and the entire TDP package have been submitted as indicated by the vendor.
- (b) Whether sufficient detail has been provided to adequately meet the requirements set forth in Section 10.3(b), IC 3-11-8-25.1(k), IC 3-10-1-24(d), and IC 3-11-8-26.1(e).

Once all information has been reviewed, functional certification testing may be performed. More information about electronic poll books used in Indiana can be found at <http://www.in.gov/sos/elections/4059.htm>

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), Telecommunications/Compliance Testing/WSF Communication Testing (Appendix C), and Indiana ePB Communication Testing Scenarios for VSTL (Appendix D). Testing must be performed by a testing lab accredited by the U.S. EAC 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 submitting an ePB for evaluation to a testing lab shall be required to provide:

- two (2) voter sign-in devices to be used at a precinct polling location, circuit court clerk or satellite office where in person absentee voting will take place, or a vote center;
- 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).

2.2.1 Software

Section contains a listing of the software and firmware to be evaluated.

Table 2.2.1 Software

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

(Add additional rows as needed)

2.2.2 Hardware

This subsection contains a listing of the hardware to be evaluated.

Table 2.2.2 Hardware

Component Name	Model/Version Number	Description

(Add additional rows as needed)

2.2.3 Peripherals

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

being evaluated.

Table 2.2.3 Peripherals

Part Name	Model Number	Revision Number	Description

(Add additional rows as needed)

2.2.4 Test Support Equipment/Materials

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

Table 2.2.4 Test Support Materials

Part Name	Model Number	Revision Number	Description

(Add additional rows as needed)

2.2.5 Technical Data Package

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

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

Table 2.2.5 Documentation

Document Name	Part Number	Revision	Issue Date

(Add additional rows as needed)

2.2.6 Third Party Test Reports

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

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

Table 2.2.6 Third Party Test Reports

Report Title	Description	Revision	Issue Date

(Add additional rows as needed)

2.2.7 Previous Test Results

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

Table 2.2.7 Previous Test Results

Report Title	Description	Revision	Issue Date

(Add additional rows as needed)

2.2.8 Known Fielded Use

This subsection lists other jurisdictions in which the electronic poll book has been used in the field.

Table 2.2.8 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, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e), IC 3-11-10-26, IC 3-11-18.1-12, IC 3-11.7-2-2 and IC 3-11-8-25.1, the following six test techniques will be utilized:

Administrative Review – This area of testing will include a review of the documentation provided by the manufacturer and a review of the product safety for proprietary and COTS components.

This includes the backend infrastructure design (architecture) review of the electronic pollbook.

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 assess the robustness of the system.

Programming and Interface Testing – This area of testing will focus on the programming, interface, display of voter information and signature, and input of voter eligibility.

Telecommunications Testing – This area of testing will focus on the system’s ability to accurately, effectively, and efficiently transmit and receive data electronically and communicate with the poll list server.

Compliance Testing – This area of testing will focus on the remaining Statutory requirements in Section 10.3, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e), IC 3-11-10-26, IC 3-11-18.1-12, IC 3-11.5-4-2 and IC 3-11.5-4-8 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.

WSF Communication Testing – This area of testing will focus on the capability of the ePB to communicate with the Web Services Framework (WSF) of the Statewide Voter Registration System and the backend infrastructure of the ePB communicating with the WSF.

3.1 Test Dataset

Appropriate test data selected by VSTOP will be in a format that conforms to the Indiana SVRS data formats. These data will be used in all test cases for all applicants. The test data will be a uniform dataset utilized by all vendors. The dataset will be large and capable of testing the backend infrastructure through volume testing.

All the new and existing vendors will be provided with a test dataset developed by Indiana SVRS in consultation with VSTOP as described in Section 8.0 SVRS access policy of this protocol.

3.2 Test Setup

For this evaluation, the electronic poll book will be set up in the manner which the testing lab examiner deems to replicate the environment most closely for field 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 engineering logic as to “why” the deviation is required. During the execution of any test case, the examiner may require assistance from the ePB vendor/manufacturer. It is expected that the ePB vendor/manufacturer will comply with such requests in a reasonable amount of time as to not delay the evaluation.

3.3 Test Sequence

The test cases below are grouped in a logical order of execution for each group. The testing can start with any group as determined by the testing laboratory.

Administrative Review:

TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist (See Appendix A)

TCI: 1.2 (Previously TCI: 06) Product Safety (*Commercial Off-the-Shelf - COTS*)

TCI: 1.3 (Previously TCI: 07) Product Safety (*Proprietary*)

Functional Configuration Audit (See Appendix B):

TCI: 2.1 (Previously TCI: 02) Functional Configuration Audit

Programming and Interface Testing (See Appendix C):

TCI: 3.1 (Previously TCI: 08) Electronic Poll Book Programming

TCI: 3.2 (Previously TCI: 11) Electronic Poll Book Interface

TCI: 3.3 (Previously TCI: 12) Display of Voter Information and Signature

TCI: 3.4 (Previously TCI: 13) Input of Voter Eligibility

Telecommunications Testing (See Appendix C):

TCI: 4.1 (Previously TCI: 03) Transmission Encryption

TCI: 4.2 (Previously TCI: 04) Electronic Poll Book Transmission

TCI: 4.3 (Previously TCI: 05) Loss and Restoration of Connectivity

Compliance Testing (See Appendices C & D):

TCI: 5.1 (Previously TCI: 14) Signature Capture

TCI: 5.2 (Previously TCI: 15) Record Retrieval by Bar Code

- TCI: 5.3 (Previously TCI: 10) Supported Elections
- TCI: 5.4 (Previously TCI: 09) Diagnostic Communications
- TCI: 5.5 (Previously TCI: 16) Address Unchanged
- TCI: 5.6 (Previously TCI: 17) Unique Identifier
- TCI: 5.7 (Previously TCI: 15) Record Retrieval by Bar Code
- TCI: 5.8 (Previously TCI: 10) Supported Elections

WSF Communication Testing:

- TCI: 6.1 (Previously TCI: 18) SVRS Web Services Framework (WSF)
- TCI: 6.2 (Previously TCI: 19) Provisional Voter Check-in

3.4 Traceability Matrices

The following table maps the test cases to the requirements of Section 3-11-8-10.3 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: 3.1 (Previously 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	TCI: 3.2 (Previously TCI: 11) Electronic Poll Book Interface

<p>(3) An electronic poll book may not permit access to voter information other than:</p> <p>(A) information provided on the certified list of voters prepared under IC 3-7-29-1; or</p> <p>(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:</p> <p>(i) The county's receipt of an absentee ballot from the voter.</p> <p>(ii) The county's receipt of additional documentation provided by the voter to the county voter registration office.</p> <p>(iii) The county's issuance of a certificate of error.</p> <p>An electronic poll book may not display whether a voter's registration record is in active</p>	<p>TCI: 3.3 (Previously TCI: 12) Display of Voter Information and Signature</p>
<p>(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 or vote center and the county election board. The electronic poll book must have the capability of:</p> <p>(A) storing (in external or internal memory) the current local version of the electronic poll list; and</p> <p>(B) producing a list of audit records that reflect all of the idiosyncrasies of the system, including</p>	<p>TCI: 4.1 (Previously TCI: 03) Transmission Encryption</p> <p>TCI: 4.2 (Previously TCI: 04) Electronic Poll Book Transmission</p>
<p>(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:</p> <p>(A) already received a ballot at the election;</p> <p>(B) returned an absentee ballot; or</p> <p>(C) submitted any additional documentation required under IC 3-7-33-4.5.</p>	<p>TCI: 3.4 (Previously TCI: 13) Input of Voter Eligibility</p>
<p>(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.</p>	<p>TCI: 3.4 (Previously TCI: 13) Input of Voter Eligibility</p>

<p>(7) The electronic poll book must transmit the information in subdivision (6) to the county server so that:</p> <p>(A) the server may transmit the information immediately to every other polling place, satellite absentee office or vote center in the county; or</p> <p>(B) the server makes the information immediately available to every other polling place, satellite absentee office or vote center in the county.</p>	<p>TCI: 4.2 (Previously TCI: 04) Electronic Poll Book Transmission</p>
<p>(8) The electronic poll book must permit reports to be:</p> <p>(A) generated by a county election board for a watcher appointed under IC 3-6-8 at any time during election day; and</p> <p>(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.</p>	<p>*No specific case – the requirement is at any time and the following test cases require reports:</p> <p>TCI: 3.1 (Previously TCI: 08) Electronic Poll Book Programming</p> <p>TCI: 3.3 (Previously TCI: 12) Display of Voter Information and Signature</p> <p>TCI: 3.4 (Previously TCI: 13) Input of Voter Eligibility</p> <p>TCI: 5.1 (Previously TCI: 14) Signature Capture</p> <p>TCI: 5.4 (Previously TCI: 09) Diagnostic Communications</p> <p>TCI: 4.3 (Previously TCI: 05) Loss and Restoration of Connectivity</p>
<p>(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.</p>	<p>TCI: 4.2 (Previously TCI: 04) Electronic Poll Book Transmission</p>
<p>(10) The electronic poll book must be able to display an electronic image of the signature of a voter taken from:</p> <p>(A) the voter's registration application; or</p> <p>(B) a more recent signature of a voter from an absentee application, poll list, electronic poll book, or registration document.</p>	<p>TCI: 3.3 (Previously TCI: 12) Display of Voter Information and Signature</p>

<p>(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.</p>	<p>TCI: 4.1 (Previously TCI: 14) Signature Capture</p>
<p>(12) The electronic poll book must include a bar code capturing device that:</p> <p>(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</p> <p>(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.</p>	<p>TCI: 5.7 (Previously TCI: 15) Record Retrieval by Bar Code</p>
<p>(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.</p>	<p>TCI: 2.1 (Previously TCI: 02) Functional Configuration Audit</p>
<p>(14) The electronic poll book must be compatible with:</p> <p>(A) any hardware attached to the poll book, such as signature capturing devices, bar code capturing devices, and network cards;</p> <p>(B) the statewide voter registration system; and</p> <p>(C) any software system used to prepare voter information to be included on the electronic poll book.</p>	<p>TCI: 2.1 (Previously TCI: 02) Functional Configuration Audit</p>

<p>(15) The electronic poll book must have the ability to be used in conformity with this title for:</p> <p>(A) any type of election conducted in Indiana; or</p> <p>(B) any combination of elections held concurrently with a general election, municipal election, primary election, or special election.</p>	<p>TCI: 5.3 (Previously TCI: 10) Supported Elections</p>
<p>(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. A vendor shall provide an assessment of learning goals in consultation with VSTOP (as described in IC 3-11-18.1-12).</p>	<p>TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist</p> <p>Vendors will provide VSTOP with a list of user competencies, learning objectives, learning goals and rubrics for assessment.</p>
<p>(17) The electronic poll book must enable a precinct election officer or vote center official to verify that the electronic poll book:</p> <p>(A) has been set up correctly;</p> <p>(B) is working correctly so as to verify the eligibility of the voter;</p> <p>(C) is correctly recording that a voter received a ballot; and</p> <p>(D) has been shut down correctly.</p>	<p>TCI: 5.4 (Previously TCI: 09 Diagnostic Communications</p>
<p>(18) The electronic poll book must include the following documentation:</p> <p>(A) Plainly worded, complete, and detailed instructions sufficient for a precinct election officer to set up, use, and shut down the electronic poll book.</p> <p>(B) Training materials that:</p> <p>(i) may be in written or video form; and</p> <p>(ii) must be in a format suitable for use at a polling place, such as simple "how to" guides.</p> <p>(C) Failsafe data recovery procedures for information included in the electronic poll book.</p>	<p>TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist</p>

<p>(D) Usability tests:</p> <ul style="list-style-type: none"> (i) that are conducted by the manufacturer of the electronic poll book on 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. <p>(E) A clear model of the electronic poll book system architecture and the following documentation:</p> <ul style="list-style-type: none"> (i) End user documentation. (ii) System-level and administrator level documentation. (iii) Developer documentation. <p>(F) Detailed information concerning:</p> <ul style="list-style-type: none"> (i) electronic poll book consumables; and (ii) the vendor's supply chain for those consumables. <p>(G) Vendor internal quality assurance procedures and any internal or external test data and reports available to the vendor concerning the electronic poll book.</p> <p>(H) Repair and maintenance policies for the electronic poll book.</p> <p>(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:</p> <ul style="list-style-type: none"> (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. 	<p>TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist</p>
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<p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <ul style="list-style-type: none"> (i) A list of all batteries to be used in the electronic poll book and any peripherals. (ii) The expected life span of each battery. (iii) A log documenting when each battery was installed or subsequently replaced. (iv) A schedule for the replacement of each battery not later than thirty (30) days before the end of the expected life span of each battery. (v) Plans to test batteries before each election. (vi) Plans for the emergency replacement of batteries that fail on election day or during 	<p>TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist</p>
<p>(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 hardware, including fire and electrical hazards.</p>	<p>TCI: 1.2 (Previously TCI: 06) Product Safety (Commercial Off-the-Shelf - COTS)</p> <p>TCI: 1.3 (Previously TCI: 07) Product Safety (Proprietary)</p>
<p>(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.</p>	<p>TCI: 1.1 (Previously TCI: 01) Electronic Poll Book Certification Checklist</p> <p>TCI: 2.1 (Previously TCI: 02) Functional Configuration Audit</p>
<p>(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.</p>	<p>TCI: 2.1 (Previously TCI: 02) Functional Configuration Audit</p>
<p>(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 approved by the county election board for the period required by Indiana and federal law.</p>	<p>TCI: 4.2 (Previously TCI: 04) Electronic Poll Book Transmission</p>

<p>(23) The electronic poll book must:</p> <p>(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</p> <p>(B) provide for the uploading of each signature so that the signature may be assigned to the voter's registration record.</p>	<p>TCI: 4.3 (Previously TCI: 05) Loss and Restoration of Connectivity</p>
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The following table maps a test case to the requirements found in Section IC 3-11-8-25.1(k), IC 3-10-1-24(d), and IC 3-11-8-26.1(e) of the Indiana Election Code:

Section IC 3-11-8-25.1(k), IC 3-10-1-24(d) and IC 3-11-8-26.1(e) Statutes	Test Case Mapping
<p>IC 3-11-8-25.1(k): The electronic poll book (or each line on a poll list sheet provided to take a voter's current address) must include a box under the heading "Address Unchanged". A voter whose address is unchanged shall check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk shall check the box after stating to the voter the address shown on the electronic poll book and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</p> <p>IC 3-10-1-24(d): The poll list (or each line on a poll list sheet provided to take a voter's current residence address) must include a box under the heading "Address Unchanged" so that the voter may check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk may check the box after stating to the voter the address shown on the electronic poll book and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</p> <p>IC 3-11-8-26.1(e): The poll list (or each line on a poll list sheet provided to take a voter's current residence address) must include a box under the heading "Address Unchanged" so that the voter may check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk may check the box after stating to the voter the address shown on the electronic poll list and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</p>	<p>TCI: 5.5 (Previously TCI: 16) Address Unchanged</p>

The following table maps a test case to the requirements found in *Sections IC 3-11-10-26(d) and (e)* of the Indiana Election Code:

Section IC 3-11-10-26(d) and (e)	Test Case Mapping
<p>(d) The voter must do the following before being permitted to vote:</p> <p>(1) This subdivision does not apply to a county that uses electronic poll books for voting under this section. Sign an application on the form prescribed by the election division under IC 3-11-4-5.1. The application must be received by the circuit court clerk not later than the time prescribed by IC 3-11-4-3.</p> <p>(2) This subdivision applies only to a county that uses electronic poll books for voting under this section and in which the ballot is cast on an electronic voting system. The voter must do the following:</p> <p>(A) If the county election board has prescribed an affidavit under subsection (e) that includes a unique identifier to comply with section 26.2(c)(3) of this chapter, make and subscribe to the affidavit.</p> <p>(B) Sign the electronic poll book.</p> <p>(C) Provide proof of identification.</p> <p>(3) This subdivision applies only to a county that uses electronic poll books for voting under this section and in which the ballot is cast on an optical scan voting system. The voter must do the following:</p> <p>(A) Sign the electronic poll book.</p> <p>(B) Provide proof of identification.</p> <p>(C) Sign the affidavit prescribed by section 29 of this chapter.</p> <p>(e) The county election board may:</p> <p>(1) prescribe an affidavit that includes a unique identifier; or</p> <p>(2) establish a procedure to produce a document, label, or electronic record that is associated with each voter and includes a unique identifier;</p> <p>to comply with section 26.2(c)(3) of this chapter. After the county election board approves an affidavit or procedure described in this subsection and before the affidavit or procedure is used in an election, the county election board shall file a copy of the affidavit or a brief description of the procedure with the election division to assist the state recount commission in conducting proceedings under IC 3-12-11.</p>	<p>TCI: 5.6 (Previously TCI: 17) Unique Identifier</p>

The following table maps a test case to the requirements for WSF Communication Testing:

Requirement	Test Case Mapping
Indiana Electronic Poll Book Communication Testing Scenarios for VSTL (Appendix D)	TCI: 6.1 (Previously TCI: 18) SVRS Web Services Framework (WSF)

The following table maps a test case to the requirements for the provisional check-in process:

Requirement	Test Case Mapping
See IC 3-11.7-2-2 Provisional Voter Must Sign the Poll List A voter casting a provisional ballot must sign the poll list, complete the affidavit of challenged voter (PRE-4), enclose the provisional ballot in the PRO-2 envelope, and sign the PRO-2 security envelope. See IC 3-11-8-25.1 Challenged Voter Who Completes Challenged Voter Affidavit Required to Sign the Poll Book A voter who is challenged and executes the challenged voter affidavit to vote a provisional ballot is required to sign the poll book.	TCI: 6.2 (Previously TCI: 19) Provisional Voter Check-in (Appendix C)

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 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 necessarily 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 a 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 the cover page of this document and copied to the ePB vendor. VSTOP will review the Test Report outcome and will document the results of all tests executed in sufficient detail for the Indiana Secretary of State to make a determination on the use of the ePB being evaluated.

6.0 MODIFICATIONS TO A CERTIFIED ELECTRONIC POLL BOOK

Indiana Code 3-11-18.1-12(h) states that certification for an ePB expires on 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 modifications are necessary to the hardware, firmware, software, peripherals, manuals and/or any other documentation, these modifications shall be submitted to VSTOP in a timely manner for approval before they are implemented in the field.

De Minimis Change: Indiana Code 3-5-2-16.3 states that a De Minimis change is a change to a certified ePB’s hardware, software, technical documentation, or data which will not materially alter the system reliability, functionality, capability, or operation.

For a hardware, software change to qualify as a De Minimis change, it must not only maintain, unaltered, the reliability, functionality, capability and operability of a system. Under no circumstance shall a change be considered De Minimis if it has reasonable and identifiable potential to impact the system’s operation and compliance with applicable ePB standards.

VSTOP will review the submitted documentation and may seek additional documentation as appropriate. For each ePB, separate reviews will be conducted for de minimis changes and non-de minimis changes. VSTOP will determine if further testing is needed before such proposed modifications are approved for a certified ePB. The VSTOP Team may conduct additional tests to determine the impact of such changes, if any, on compliance with applicable IC codes. The vendor will provide all the necessary ePB equipment for such tests.

VSTOP will determine whether a field test is required for a modification.

7.0 REPORTING OF ANOMALIES OR PROBLEMS

Vendors are advised to take note of the IC Codes regarding the reporting of anomalies or problems:

IC 3-5-2-1.8 states: “Anomaly” means an action or response by a voting system or electronic poll book that:

- (1) Does not conform with the specifications to perform as certified and is critical to the administration of elections
- (2) Causes a delay or disruption to voting or vote tabulation; or
- (3) Occurs due to a root cause that is unable to be determined within forty-eight (48) hours after initial discovery by the vendor or county.

IC 3-11-18.1-14 (c) states: “(c) This subsection applies: (1) to a county described under Section 12 of this chapter on and after the date absentee ballots are first transmitted to voters; and (2) to any anomaly or problem, whether due to a technical reason or due to human error with electronic poll book use. A person that receives a certification for an electronic poll book shall file not later than forty-eight (48) hours after the discovery of an anomaly or problem with the poll book a written report describing the in accordance with IC 3-11-17-7.

IC 3-11-17-7(b) “A vendor of a voting system or electronic poll book shall file a report with the secretary of state and the election division not later than forty-eight (48) hours after discovering that an anomaly or problem has occurred in a voting system or electronic poll book due to technical or human error. However, if the anomaly or problem is discovered not later than twenty-eight (28) days before election day, the vendor must file a report not later than two (2) hours after discovering the anomaly or problem.”

The report described in subsection (b) must state all of the following:

- (1) The nature of the anomaly or problem.
- (2) The county, precinct, vote center, satellite office, or in-person absentee voting location affected.
- (3) The vendor's preliminary plan to resolve the anomaly or problem by preventing any impediment to voters casting ballots, or to the accuracy and integrity of the election process.
- (4) The date and time an anomaly was first experienced or discovered.
- (5) The name and contact information for the individual discovering or experiencing the anomaly.
- (6) The date and time the vendor first became aware of the anomaly.
- (7) The name and contact information of the vendor representative submitting the report.
- (8) Whether the anomaly involved a voting system, an electronic poll book, or a peripheral component of either a voting system or electronic poll book.
- (9) The system type, make, model, hardware, firmware, and software version involved, as applicable.
- (10) A detailed description of the anomaly and its effect on election administration.
- (11) Any findings related to how and where the current or previously reported anomaly originated.
- (12) Details of any responsive actions, such as investigation, analysis, determinations, and corrective action implemented or recommended, taken to address the anomaly and its effects.”

(e) “After initially reported or otherwise known to a vendor, the vendor shall report the anomaly using the secretary of state anomaly reporting platform in the form and manner directed by the secretary of state and the election division not later than the deadline specified in subsection (b).”

(f) “An anomaly caused solely by operator error is not required to be reported unless a deficiency in user instructions or training is a contributing factor. The burden of showing an anomaly was the result of

operator error and not a deficiency of user instructions or training rests with the system vendor.”

(g) “A vendor must report, not later than fourteen (14) days after discovery, an anomaly occurring outside Indiana involving the same election system type, make, model, or component certified for use in Indiana.”

Vendors must share communications to counties whenever an issue has occurred that may impact multiple counties.

8.0 SVRS ACCESS POLICY

SVRS test dataset access will be provided to the new vendors to test the uncertified equipment at the VSTL upon submitting the electronic poll book application for certification to VSTOP as part of Section 1.5 of this protocol.

SVRS Testing Sandbox is open to ePB vendors and the counties year-round for approved and certified systems. It can also be used for county training purposes.

Vendors with certified systems are provided access to the **production environment** on a county-by-county basis. The county must make a request to VSTOP for this access.

9.0 DECERTIFICATION

The following sections describe the process for which both voluntary and involuntary, decertification occurs as well as the steps needed for a vendor to withdraw from the State of Indiana. The sections below document the specific steps that will be taken.

9.1 Decertification

Decertification of an electronic poll book is the process by which the Indiana Secretary of State revokes certification of a previously certified electronic poll book. This process ensures all vendors meet the same level of requirements for certification in Indiana. The decertification can occur if the electronic poll book (1) does not meet the requirements of the Indiana Code, (2) the vendor fails to follow the procedures outlined in this Electronic Poll Book Protocol, (3) the electronic poll book fails in its functionality to communicate with the SVRS in any county, (4) the vendor modifies or changes the electronic poll book without following the requirements in this manual, (5) the vendor fails to report anomalies in the proper manner, or (6) for good cause, at the discretion of the Indiana Secretary of State.

Steps for Decertification:

- A formal notice/letter sent to the vendor explaining the reason(s) for the decertification.
- The vendor shall clear all servers of all public and non-public Indiana voter data.
- The vendor shall clear all network and server connections to SVRS.
- A signed affidavit will need to be filled out and returned acknowledging that the above items have been completed. The vendor shall provide proof of notification to all county users of the electronic poll book.

If the vendor wishes to re-apply for certification, all items must be addressed that were cause for the decertification and a new application for certification must be completed subject to approval by the Secretary of State.

9.2 Voluntary Withdrawal

Voluntary withdraw of an electronic poll book is the process by which a vendor wishes to withdraw an electronic poll book from the list of certified electronic poll books in the state of Indiana.

Steps for Voluntary Withdrawal:

- The vendor shall submit a formal request to withdraw certification to the Indiana Secretary of State explaining the reason(s) for the request. The Indiana Secretary of State will review the request and may consult with VSTOP before acting on the request. The vendor shall provide proof of notification to all county users of the electronic poll book.

APPENDIX A

Electronic Poll Book Certification Checklist

Electronic Poll Book 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, North Quad Room 294, Ball State University, Muncie, IN 47306. Electronic submissions can be sent to vstop@bsu.edu

- (1) Vendor Name and Product Name and Model Number must be listed 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 electronic poll book 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 this requirement. (Section B)
- (4) For each functional requirement, the vendor must initial to indicate that the e-poll book supports mandatory functionalities as outlined in IC 3-11-8-10.3, IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e) and IC 3-11-10-26 (see Sections B, C and D).

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 considered incomplete.
- (2) Determine whether each requirement has been included and is provided in sufficient detail to adequately meet the requirement set forth in Sections 10.3 (b), IC 3-11-8-25.1(k), IC 3-10-1-24(d), IC 3-11-8-26.1(e) and IC 3-11-10-26.
- (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 considered incomplete and will be returned to the vendor for revision.

Section B *The table below has been populated as stated in Section 10.3(b). These requirements are based on Indiana Code 3-11-8-10.3 and are listed below.*

Requirement	Vendor documentation location	Vendor Comments	VSTOP Comments
<p>(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.</p> <p>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 3-11-8-10.3).</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(A) Plainly worded, complete, and detailed instructions sufficient for a precinct election officer to set up, use, and shut down the electronic poll book.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(B) Training materials that:</p> <p>(i) may be in written or video form; and</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(B) Training materials that:</p> <p>(ii) must be in a format suitable for use at a polling place, such as simple “how to” guides.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(C) Failsafe data recovery procedures for information included in the electronic poll book.</p>			

<p>(18) The electronic poll book must include the following documentation:</p> <p>(D) Usability tests:</p> <ul style="list-style-type: none"> (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; 			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(D) Usability tests:</p> <ul style="list-style-type: none"> (ii) that include the setting up, using, and shutting down of the electronic poll book; and 			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(D) Usability tests:</p> <ul style="list-style-type: none"> (iii) that report their results using industry standard reporting formats. 			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(E) A clear model of the electronic poll book system architecture and the following documentation:</p> <ul style="list-style-type: none"> (i) End user documentation. 			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(E) A clear model of the electronic poll book system architecture and the following documentation:</p> <ul style="list-style-type: none"> (ii) System-level documentation. 			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(E) A clear model of the electronic poll book system architecture and the following documentation:</p> <ul style="list-style-type: none"> (iii) Developer documentation 			

<p>(18) The electronic poll book must include the following documentation:</p> <p>(F) Detailed information concerning: (i) electronic poll book consumables; and</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(F) Detailed information concerning: (ii) the vendor's supply chain for those consumables.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(G) Vendor internal quality assurance procedures and any internal or external test data and reports available to the vendor concerning the electronic poll book.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(H) Repair and maintenance policies for the electronic poll book.</p>			

<p>(18) The electronic poll book must include the following documentation:</p> <p>(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:</p> <p>(i) A list of customers who are using or have previously used the vendor's electronic poll book.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(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:</p> <p>(ii) A description of any known anomalies involving the functioning of the electronic poll book, including how those anomalies were resolved.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(i) A list of all batteries to be used in the electronic poll book and any peripherals.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(ii) The expected life span of each battery.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(iii) A log documenting when each battery was installed or subsequently replaced.</p>			

<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(iv) A schedule for the replacement of each battery not later than thirty (30) days before the end of the expected life span of each battery.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(v) Plans to test batteries before each election.</p>			
<p>(18) The electronic poll book must include the following documentation:</p> <p>(J) Information concerning batteries used in the electronic poll book, including the following:</p> <p>(vi) Plans for the emergency replacement of batteries that fail on election day or during the thirty (30) days before election day.</p>			
<p>(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 require the mapping of the data life cycle of the voter registration record as processed by the electronic poll book.</p>			

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

Requirement (See Section 10.3(b) for full statutory language)	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			

Section D: *Submit a detailed description of how your ePB solution enables counties to comply with subsections (d) and (e) of IC 3-11-10-26 as below.*

- (d) The voter must do the following before being permitted to vote:
 - (1) This subdivision does not apply to a county that uses electronic poll books for voting under this section. Sign an application on the form prescribed by the election division under IC 3-11-4-5.1. The application must be received by the circuit court clerk not later than the time prescribed by IC 3-11-4-3.
 - (2) This subdivision applies only to a county that uses electronic poll books for voting under this section and in which the ballot is cast on an electronic voting system. The voter must do the following:
 - (A) If the county election board has prescribed an affidavit under subsection (e) that includes a unique identifier to comply with section 26.2(c)(3) of this chapter, make and subscribe to the affidavit.
 - (B) Sign the electronic poll book.
 - (C) Provide proof of identification.
 - (3) This subdivision applies only to a county that uses electronic poll books for voting under this section and in which the ballot is cast on an optical scan voting system. The voter must do the following:
 - (A) Sign the electronic poll book.
 - (B) Provide proof of identification.
 - (C) Sign the affidavit prescribed by section 29 of this chapter.
- (e) The county election board may:
 - (1) prescribe an affidavit that includes a unique identifier; or
 - (2) establish a procedure to produce a document, label, or electronic record that is associated with each voter and includes a unique identifier;to comply with section 26.2(c)(3) of this chapter. After the county election board approves an affidavit or procedure described in this subsection and before the affidavit or procedure is used in an election, the county election board shall file a copy of the affidavit or a brief description of the procedure with the election division to assist the state recount commission in conducting proceedings under IC 3-12-11.

Vendor Truth and Accuracy Statement

The individual signing below is the legally authorized representative of the applicant and states the following:

The information provided in this document and in the Technical Data Package 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 this system.

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

APPENDIX B

Functional Configuration Audit (FCA) Test Cases

The tests contained in this Appendix must be completed by a testing lab accredited by the U.S. 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

TCI: 02 Functional Configuration Audit	
<p>IN § 10.3 (b) Requirements: (13) (14) (20) (21)</p>	<p><i>(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.</i></p> <p><i>(14) The electronic poll book must be compatible with:</i></p> <p style="padding-left: 40px;"><i>(A) any hardware attached to the poll book, such as signature capturing devices, bar code scanners, and network cards;</i></p> <p style="padding-left: 40px;"><i>(B) the statewide voter registration system; and</i></p> <p style="padding-left: 40px;"><i>(C) any software system used to prepare voter information to be included on the electronic poll book.</i></p> <p><i>(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.</i></p> <p><i>(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.</i></p>
<p>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.</p>	<p>Test Configuration: None</p>
<p>Equipment:</p>	<p>All system documentation submitted as part of the application.</p>
<p>Special Procedural Requirements:</p>	<p>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.</p>
<p>Assumptions:</p>	<p>This test is a system level test that requires all equipment and software that is being considered for certification.</p>

Test Approach:

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 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/WSF Communication Test Cases

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

Telecommunications/Compliance/WSF Communication Test Cases

TCI: 08 Electronic Poll Book Programming	
IN § 10.3 (b) Requirements: (1)	<i>(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.</i>
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. <i>Expected:</i> The electronic poll book is loaded with voter information and is in a “Pre-Election” state. <i>Actual:</i>
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. <i>Expected:</i> <i>The electronic poll book will not switch into an “Election” state or provide access to voter information.</i> <i>Actual:</i>
1020	Ensure the electronic poll book is returned to a “Pre-Election” state. <i>Expected:</i> <i>The electronic poll book is loaded with voter information and is in a “Pre-Election” state.</i> <i>Actual:</i>
1030	Use the designated method to input valid user credentials to the electronic poll book for Party 1. <i>Expected:</i> <i>The information for Party 1 can be input into the electronic poll book.</i> <i>Actual:</i>
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. <i>Expected:</i> <i>The electronic poll book will not switch into an “Election” state or provide access to voter information.</i> <i>Actual:</i>

1050	<p>Ensure the electronic poll book is returned to a “Pre-Election” state.</p> <p><i>Expected: The electronic poll book is loaded with voter information and is in a “Pre-Election” state.</i></p> <p><i>Actual:</i></p>
1060	<p>Use the designated method to input valid user credentials for access to the electronic poll book for Party 2.</p> <p><i>Expected: The information for Party 2 can be input into the electronic pollbook.</i></p> <p><i>Actual:</i></p>
1070	<p>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.</p> <p><i>Expected: The electronic poll book will not switch into an “Election” state or provide access to voter information.</i></p> <p><i>Actual:</i></p>
1080	<p>Ensure the electronic poll book is returned to a “Pre-Election” state.</p> <p><i>Expected: The electronic poll book is loaded with voter information and is in a “Pre-Election” state.</i></p> <p><i>Actual:</i></p>
1090	<p>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.</p> <p><i>Expected: The electronic poll book is activated to an “Election” state with the coordinated action of Party 1 and Party 2.</i></p> <p><i>Actual:</i></p>
1100	<p>Use the designated method to input information necessary for access to the electronic poll book for two separate individuals of the same Party.</p> <p><i>Expected: The electronic poll book will not allow for activation to an “Election” state.</i></p> <p><i>Actual:</i></p>
1110	<p>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.</p> <p><i>Expected: The electronic poll book retrieves the proper voter information.</i></p> <p><i>Actual:</i></p>
1120	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>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</p>	

TCI: 11 Electronic Poll Book Interface	
IN § 10.3 (b) Requirements: (2)	(2) <i>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:</i> (A) <i>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.</i> (B) <i>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.</i>
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. <i>Expected: The electronic poll book does not connect to the voting system.</i> <i>Actual:</i>
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. <i>Expected: The voting system does not provide any information to the electronic poll book.</i> <i>Actual:</i>
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	
<p>IN § 10.3 (b) Requirements: (3) (10)</p>	<p>(3) <i>An electronic poll book may not permit access to voter information in the electronic poll list other than:</i></p> <p>(A) <i>information provided on the certified list of voters prepared under IC 3-7-29-1; or</i></p> <p>(B) <i>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></p> <p>(i) <i>The county's receipt of an absentee ballot from the voter.</i></p> <p>(ii) <i>The county's receipt of additional documentation provided by the voter to the county voter registration office.</i></p> <p>(iii) <i>The county's issuance of a certificate of error.</i></p> <p><i>An electronic poll book may not display whether a voter's registration record is in active or inactive status.</i></p> <p>(10) <i>The electronic poll book must be able to display an electronic image of the signature of a voter taken from:</i></p> <p>(A) <i>the voter's registration application, or</i></p> <p>(B) <i>a more recent signature of a voter from an absentee application, poll list, electronic poll book, or registration document.</i></p>
<p>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.</p>	<p>Test Configuration: An electronic poll book configured for election day.</p> <p>—</p>
<p>Equipment:</p>	<p>None</p>
<p>Special Procedural Requirements:</p>	<p>The voter information to retrieve (5) known voter registration records will be selected prior test execution to meet the following requirements:</p> <ul style="list-style-type: none"> • 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
<p>Assumptions:</p>	<p>It is assumed examples of the five known voter registration records will be provided in the data to execute these five steps below.</p>

Step	Procedure
<p>1000</p>	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>

<p>1010</p>	<p>Inspect the retrieved record for the following information:</p> <ol style="list-style-type: none"> (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. <p><i>Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.</i></p> <p><i>Actual:</i></p>
<p>1020</p>	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1030</p>	<p>Inspect the retrieved record for the following information:</p> <ol style="list-style-type: none"> (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. <p><i>Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.</i></p> <p><i>Actual:</i></p>

<p>1040</p>	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1050</p>	<p>Inspect the retrieved record for the following information:</p> <ul style="list-style-type: none"> (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. <p><i>Expected: Items 1-12 are displayed and the signature is legible enough to make a signature comparison and no other voter information is provided.</i></p> <p><i>Actual:</i></p>
<p>1060</p>	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1070</p>	<p>Inspect the retrieved record for the following information:</p> <ul style="list-style-type: none"> (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. _____

	<p>(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.</p> <p>(10) A space for a poll clerk to indicate when a voter has cast an absentee ballot.</p> <p>(11) A space for a poll clerk to indicate when a voter has cast a provisional ballot.</p> <p>(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.</p> <p><i>Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.</i></p> <p><i>Actual:</i></p>
1080	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1090	<p>Inspect the retrieved record for the following information:</p> <p>(1) The full name of the voter.</p> <p>(2) The address of the voter.</p> <p>(3) The assigned voter identification number.</p> <p>(4) Whether the voter is required to provide additional identification before voting either in person or by absentee ballot.</p> <p>(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</p> <p>(6) The scanned signature of the voter.</p> <p>(7) Whether the voter is required to provide an affirmation of the voter's residence.</p> <p>(8) A bar code that allows the county voter registration office to efficiently record whether the voter has signed the poll list.</p> <p>(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.</p> <p>(10) A space for a poll clerk to indicate when a voter has cast an absentee ballot.</p> <p>(11) A space for a poll clerk to indicate when a voter has cast a provisional ballot.</p> <p>(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.</p> <p><i>Expected: Items 1-12 are displayed and the signature is adequately legible to make a signature comparison and no other voter information is provided.</i></p> <p><i>Actual:</i></p>
1100	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

TCI: 03 Transmission Encryption	
IN § 10.3 (b) Requirements: (4)	<p>(4) <i>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:</i></p> <p style="padding-left: 40px;"><i>(A) storing (in external or internal memory) the current local version of the electronic poll list; and</i></p> <p style="padding-left: 40px;"><i>(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.</i></p>
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	<p>Examine the electronic poll book and ensure it is in a state ready to transmit.</p> <p><i>Expected: The electronic poll book is ready to transmit an updated poll list.</i></p> <p><i>Actual</i></p>
1010	<p>Use the designated method to initialize the network protocol analyzer to start a “capture” from the network interface.</p> <p><i>Expected: The network protocol analyzer is actively capturing network packet.</i></p> <p><i>Actual</i></p>
1020	<p>Use the designated method to transmit the updated poll list from the ePB to the poll list server.</p> <p><i>Expected: The ePB will start to transmit data to the network interface.</i></p> <p><i>Actual:</i></p>
1030	<p>Use the designated method to browse the “captured” packets on the network protocol analyzer, ensure the network packets are encrypted.</p> <p><i>Expected: A determination can be made that the electronic poll book uses employs encryption.</i></p> <p><i>Actual:</i></p>
Criteria for Evaluation of the Test Results: The electronic poll transmits data that is encrypted.	

TCI: 04 Electronic Poll Book Transmission	
<p>IN § 10.3 (b) Requirements: (4) (7) (9) (22)</p>	<p>(4) <i>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:</i></p> <p style="padding-left: 40px;">(A) <i>storing (in external or internal memory) the current local version of the electronic poll list; and</i></p> <p style="padding-left: 40px;">(B) <i>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.</i></p> <p>(7) <i>The electronic poll book must transmit the information in subdivision (6) to the county server so that the server may:</i></p> <p style="padding-left: 40px;">(A) <i>transmit the information immediately to every other polling place or satellite absentee office in the county or.</i></p> <p style="padding-left: 40px;">(B) <i>the server makes the information immediately available to every other polling place or satellite absentee office in the county</i></p> <p>(9) <i>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.</i></p> <p>(22) <i>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.</i></p>
<p>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.</p>	<p>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.</p>
<p>Equipment:</p>	<p>Time keeping device.</p>
<p>Special Procedural Requirements:</p>	<p>The voter information to retrieve (2) known eligible voter registration records.</p>
<p>Assumptions:</p>	<p>The electronic poll book is loaded with poll list, but no connections are established to a network.</p>
<p>Step</p>	<p>Procedure</p>
<p>1000 ePB -1</p>	<p>Examine the electronic poll book and identify the designated method of data transmission. Ensure the electronic poll book has no connectivity.</p> <p><i>Expected: The electronic poll book has no connectivity.</i></p> <p><i>Actual:</i></p>

1010 ePB -1	<p>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.</p> <p><i>Expected: The poll list is stored locally and can be browsed with no connectivity.</i></p> <p><i>Actual:</i></p>
1020 ePB -1	<p>Use the designated method to establish connectivity and configure the electronic poll book for an “Election” state.</p> <p><i>Expected: The electronic poll book is activated to an “Election” state and has connectivity.</i></p> <p><i>Actual:</i></p>
1030 ePB -1	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1040 ePB -1	<p>Use the designated method to digitally input the voter’s signature. Use the designated method to save the signature.</p> <p><i>Expected: The voter’s signature can be input and saved to a voter registration record.</i></p> <p><i>Actual:</i></p>
1050 ePB -1	<p>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.</p> <p><i>Expected: The voter registration record can be edited and the update can be saved.</i></p> <p><i>Actual:</i></p>
1060 ePB -1	<p>Use the time keeping device to record the time: _____</p> <p>Use the designated method to transmit the updated poll list to the poll list server. Look for an indication of a successful transfer.</p> <p>Use the time keeping device to record the time: _____</p> <p><i>Expected: The updated voter registration record can be successfully transmitted.</i></p> <p><i>Actual:</i></p>

1070 Server	<p>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:</p> <p>_____An indication of receiving a ballot</p> <p>_____Time and date stamp of receiving a ballot</p> <p>_____A legible digital signature</p> <p><i>Expected: The updated voter registration record can be successfully retrieved and contains the required information.</i></p> <p><i>Actual:</i></p>
1080 Server	<p>Use the designated method to use this poll list as the “new” updated poll list to distribute to all electronic poll books.</p> <p><i>Expected: The poll list can be updated to use the poll list transmitted from 1060.</i></p> <p><i>Actual:</i></p>
1090 ePB-2	<p>Use the designated method to browse through the poll list.</p> <p><i>Expected: The poll list is unchanged from the original information.</i></p> <p><i>Actual:</i></p>
1100 ePB-2	<p>Use the designated method to establish connectivity and configure the electronic poll book to receive an updated poll list.</p> <p><i>Expected: The connectivity is established and the electronic poll book is ready to receive an updated poll list.</i></p> <p><i>Actual:</i></p>
1110 ePB-2	<p>Use the designated method to update the poll list.</p> <p><i>Expected: The poll list is updated with the poll list from step 1060.</i></p> <p><i>Actual:</i></p>
1120 ePB-2	<p>Use the designated method to configure the electronic poll book for an “Election” state.</p> <p><i>Expected: The electronic poll book is activated to an “Election” state.</i></p> <p><i>Actual:</i></p>

1130 ePB-2	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1140 ePB-2	<p>Examine the voter registration record to ensure it contains a digital signature and an indication that the voter has received a ballot.</p> <p><i>Expected: The voter registration record reflects the changes input in step 1050.</i></p> <p><i>Actual:</i></p>
1150 ePB-2	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1160 ePB-2	<p>Use the designated method to digitally input the voter's signature. Use the designated method to save the signature.</p> <p><i>Expected: The voter's signature can be input and saved to a voter registration record.</i></p> <p><i>Actual:</i></p>
1170 ePB-2	<p>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.</p> <p><i>Expected: The voter registration record can be edited and the update can be saved.</i></p> <p><i>Actual:</i></p>
1180 ePB-2	<p>Use the time keeping device to record the time: _____</p> <p>Use the designated method to transmit the updated poll list to the poll list server. Look for an indication of a successful transfer.</p> <p>Use the time keeping device to record the time: _____</p> <p><i>Expected: The updated voter registration record can be successfully transmitted.</i></p> <p><i>Actual:</i></p>

1190 Server	<p>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:</p> <p>_____An indication of receiving a ballot</p> <p>_____Time and date stamp of receiving a ballot</p> <p>_____A legible digital signature</p> <p><i>Expected: The updated voter registration record can be successfully retrieved and contains the required information.</i></p> <p><i>Actual:</i></p>
1200	<p>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.</p> <p><i>Expected: The audit records can be successfully retrieved and contains the required information.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

TCI: 13 Input of Voter Eligibility	
IN § 10.3 (b) Requirements: (5) (6)	<p>(5) <i>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:</i></p> <p style="padding-left: 40px;">(A) <i>already received a ballot at the election;</i></p> <p style="padding-left: 40px;">(B) <i>returned an absentee ballot; or</i></p> <p style="padding-left: 40px;">(C) <i>submitted any additional documentation required under IC 3-7-33-4.5.</i></p> <p>(6) <i>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.</i></p>
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	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1010	<p>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.</p> <p><i>Expected: The voter registration record can be edited and the update can be saved.</i></p> <p><i>Actual:</i></p>
1020	<p>Input the information from step 1000 to retrieve the updated voter registration record.</p> <p><i>Expected: The voter registration record can be retrieved</i></p> <p><i>Actual:</i></p>
1030	<p>Examine the voter registration record for an indication that the voter has been given a ballot.</p> <p><i>Expected: The voter registration record has been updated to indicate the voter has previously received a ballot.</i></p> <p><i>Actual:</i></p>
1040	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>

1050	<p>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.</p> <p><i>Expected: The voter registration record can be edited and the update can be saved.</i></p> <p><i>Actual:</i></p>
1060	<p>Input the information from step 1040 to retrieve the updated voter registration record.</p> <p><i>Expected: The voter registration record can be retrieved</i></p> <p><i>Actual:</i></p>
1070	<p>Examine the voter registration record for an indication that the voter has returned an absentee ballot.</p> <p><i>Expected: The voter registration record has been updated to indicate the voter returned an absentee ballot.</i></p> <p><i>Actual:</i></p>
1080	<p>Use the designated 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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1090	<p>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.</p> <p><i>Expected: The voter registration record can be edited and the update can be saved.</i></p> <p><i>Actual:</i></p>
1100	<p>Input the information from step 1080 to retrieve the updated voter registration record.</p> <p><i>Expected: The voter registration record can be retrieved</i></p> <p><i>Actual:</i></p>
1110	<p>Examine the voter registration record for an indication that the voter has returned an absentee ballot.</p> <p><i>Expected: The voter registration record has been updated to indicate the voter returned an absentee ballot.</i></p> <p><i>Actual:</i></p>
1120	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

TCI: 14 Signature Capture	
IN § 10.3 (b) Requirements: (11)	<i>(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.</i>
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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>
1010	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. <i>Expected: The voter's signature can be input and saved to a voter registration record.</i> <i>Actual:</i>
1020	Use the designated method to examine the signature to determine if it is legible enough for comparison. <i>Expected: The input digital signature is captured in a manner that allows for comparison</i> <i>Actual:</i>
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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>
1040	Use the designated method to digitally input the voter's signature. Use the designed method to save the signature. <i>Expected: The voter's signature can be input and saved to a voter registration record.</i> <i>Actual:</i>

1050	<p>Use the designated method to examine the signature to determine if it is legible enough for comparison.</p> <p><i>Expected: The input digital signature is captured in a manner that allows for comparison</i></p> <p><i>Actual:</i></p>
1060	<p>Use the designated 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.</p> <p><i>Expected: The voter registration record is retrieved along with the digital signature that was input.</i></p> <p><i>Actual:</i></p>
1070	<p>Use the designated 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.</p> <p><i>Expected: The voter registration record is retrieved along with the digital signature that was input.</i></p> <p><i>Actual:</i></p>
1080	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

TCI: 15 Record Retrieval by Bar Code	
IN § 10.3 (b) Requirements: (12)	(12) <i>The electronic poll book must include a bar code reader or capturing device that:</i> (A) <i>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</i> (B) <i>has the capability to display the voter's registration record upon processing the information contained within the bar code on the license or card.</i>
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. <i>Expected: The voter registration record can be displayed by bar code input.</i> <i>Actual:</i>
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. <i>Expected: The information provided by the electronic poll book matches the information provided by the bar code on the source media.</i> <i>Actual:</i>
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 <i>Expected: The electronic poll book can successfully retrieve corresponding records using a bar code input.</i> <i>Actual:</i>
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) <i>The electronic poll book must have the ability to be used in conformity with this title for:</i> (A) <i>any type of election conducted in Indiana; or</i> (B) <i>any combination of elections held concurrently with a general election, municipal election, primary election, or special election.</i>
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: <ul style="list-style-type: none"> • 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. <i>Expected: The electronic poll book is able to be programmed to support a general election.</i> <i>Actual:</i>
1010	Use the designated method to activate the electronic poll book to an “Election” state. <i>Expected: The electronic poll book is activated and in a “Ready for Use” state.</i> <i>Actual:</i>
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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>

<p>1030</p>	<p>Use the designated method to program the electronic poll book with the voter registration information to support a municipal election. <i>Expected: The electronic poll book is able to be programmed to support a municipal election.</i> <i>Actual:</i></p>
<p>1040</p>	<p>Use the designated method to activate the electronic poll book to an “Election” state. <i>Expected: The electronic poll book is activated and in a “Ready for Use” state.</i> <i>Actual:</i></p>
<p>1050</p>	<p>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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i></p>
<p>1060</p>	<p>Use the designated method to program the electronic poll book with the voter registration information to support a primary election. <i>Expected: The electronic poll book is able to be programmed to support a primary election.</i> <i>Actual:</i></p>
<p>1070</p>	<p>Use the designated method to activate the electronic poll book to an “Election” state. <i>Expected: The electronic poll book is activated and in a “Ready for Use” state.</i> <i>Actual:</i></p>
<p>1080</p>	<p>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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i></p>
<p>1090</p>	<p>Use the designated method to program the electronic poll book with the voter registration information to support a special election. <i>Expected: The electronic poll book is able to be programmed to support a special election.</i> <i>Actual:</i></p>
<p>1100</p>	<p>Use the designated method to activate the electronic poll book to an “Election” state. <i>Expected: The electronic poll book is activated and in a “Ready for Use” state.</i> <i>Actual:</i></p>
<p>1110</p>	<p>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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i></p>
<p>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.</p>	

TCI: 09 Diagnostic Communications	
IN § 10.3 (b) Requirements: (17)	(17) <i>The electronic poll book must enable a precinct election officer to verify that the electronic poll book:</i> <i>(A) has been set up correctly;</i> <i>(B) is working correctly so as to verify the eligibility of the voter;</i> <i>(C) is correctly recording that a voter has received a ballot; and</i> <i>(D) has been shut down correctly.</i>
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. <i>Expected:</i> The electronic poll book is loaded with voter information and is in a "Pre-Election" state. <i>Actual:</i>
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. <i>Expected:</i> <i>The electronic poll book is activated to an "Election" state with the coordinated action of Party 1 and Party 2.</i> <i>Actual:</i>
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. <i>Expected:</i> <i>The electronic poll book will provide an indication or notification that the configuration is correctly set up and in a "Ready for Use" state.</i> <i>Actual:</i>
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. <i>Expected:</i> <i>The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>

1040	<p>Use the designated method to digitally input the voter's signature. Use the designated method to save the signature.</p> <p><i>Expected: The voter's signature can be input and saved to a voter registration record.</i></p> <p><i>Actual:</i></p>
1050	<p>Use the designated method to examine the signature to determine if it is legible enough for comparison.</p> <p><i>Expected: The input digital signature is captured in a manner that allows for comparison</i></p> <p><i>Actual:</i></p>
1060	<p>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.</p> <p><i>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.</i></p> <p><i>Actual:</i></p>
1070	<p>Use the designated 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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1080	<p>Examine the voter registration record for an indication that the voter has been given a ballot.</p> <p><i>Expected: The voter registration record has been updated to indicate the voter has previously received a ballot.</i></p> <p><i>Actual:</i></p>
1090	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
1100	<p>Use the designated method to shut down the electronic poll book.</p> <p><i>Expected: The electronic poll book displays an indication that the electronic poll book has been shut down correctly and shuts down.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

TCI: 06 Product Safety (Commercial Off the Shelf - COTS)			
IN § 10.3 (b) Requirements: (19)		<i>(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.</i>	
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 Sicherheit "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)	<i>(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.</i>
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	
<p>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).</p> <p>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:</p> <p style="padding-left: 40px;"> Customer Name: Customer Address: Customer Telephone Number: Product Purchased: Date of Purchase: Known Field Issues: </p> <p>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.</p> <p>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.</p>	
Criteria for Evaluation of the Test Results: A verifiable conformance claim of product safety can be established.	
Comments:	
<p>Examiner Approval: _____ Date: _____</p>	

TCI: 05 Loss and Restoration of Connectivity	
IN § 10.3 (b) Requirements: (23)	(23) <i>The electronic poll book must:</i> (A) <i>permit a voter to check-in and sign the poll book even when there is a temporary interruption in connectivity to the Internet; and</i> (B) <i>provide for the uploading of each signature so that the signature may be assigned to the voter's registration record.</i>
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. <i>Expected: The connectivity of the electronic poll book can be disconnected.</i> <i>Actual:</i>
1010	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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>
1020	While connectivity is disrupted, use the designated method to digitally input the voter's signature. Use the designated method to save the signature. <i>Expected: The voter's signature can be input and saved to a voter registration record.</i> <i>Actual:</i>
1030	Use the designated 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. <i>Expected: The voter information is able to be input and the correct record is retrieved.</i> <i>Actual:</i>

<p>1040</p>	<p>While connectivity is disrupted, use the designated method to digitally input the voter’s signature. Use the designated method to save the signature.</p> <p><i>Expected: The voter’s signature can be input and saved to a voter registration record.</i></p> <p><i>Actual:</i></p>
<p>1050</p>	<p>Use the designated 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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1060</p>	<p>While connectivity is disrupted, use the designated method to digitally input the voter’s signature. Use the designated method to save the signature.</p> <p><i>Expected: The voter’s signature can be input and saved to a voter registration record.</i></p> <p><i>Actual:</i></p>
<p>1070</p>	<p>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))</p> <p><i>Expected: Connectivity can be restored and there is an indication the electronic poll book is working correctly.</i></p> <p><i>Actual:</i></p>
<p>1080</p>	<p>Use the designated method to upload/update the information processed while there was disruption connectivity.</p> <p><i>Expected: The voter information that was processed by the electronic poll book can be uploaded / updated.</i></p> <p><i>Actual:</i></p>
<p>1090</p>	<p>Use the designated 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.</p> <p><i>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.</i></p> <p><i>Actual:</i></p>
<p>1100</p>	<p>Use the designated 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.</p> <p><i>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.</i></p> <p><i>Actual:</i></p>

<p>1110</p>	<p>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.</p> <p><i>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.</i></p> <p><i>Actual:</i></p>
<p>1120</p>	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>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.</p>	

Test Case Identifier: 16 – Address Unchanged (IC 3-11-8-25.1(k), IC 3-10-1-24 (d), IC 3-11-8-26.1 (e))	
IN § 10.3 (b) Requirements:	<p><i>IC 3-11-8-25.1(k): The electronic poll book (or each line on a poll list sheet provided to take a voter's current address) must include a box under the heading "Address Unchanged". A voter whose address is unchanged shall check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk shall check the box after stating to the voter the address shown on the electronic poll book and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</i></p> <p><i>IC 3-10-1-24 (d): The poll list (or each line on a poll list sheet provided to take a voter's current residence address) must include a box under the heading "Address Unchanged" so that the voter may check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk may check the box after stating to the voter the address shown on the electronic poll book and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</i></p> <p><i>IC 3-11-8-26.1(e): The poll list (or each line on a poll list sheet provided to take a voter's current residence address) must include a box under the heading "Address Unchanged" so that the voter may check the box instead of writing the voter's current address on the poll list, or if an electronic poll book is used, the poll clerk may check the box after stating to the voter the address shown on the electronic poll list and receiving an oral affirmation from the voter that the voter's residence address shown on the poll list is the voter's current residence address instead of writing the voter's current residence address on the poll list or reentering the address in the electronic poll book.</i></p>
Test Objective: Ensure the electronic poll book contains a feature (box) “Address Unchanged” and this feature allows the poll worker to select the box instead of inputting a voter’s current address. If the box is not selected, it is required that the poll worker input the voter’s current address.	Test Configuration: An electronic poll book configured for election day.
Equipment:	None
Special Procedural Requirements:	<p>The voter information to retrieve (3) known voter registration records will be selected prior test execution to meet the following requirements:</p> <ul style="list-style-type: none"> • An eligible voter who does not have an absentee ballot issued • An eligible voter who does have an absentee ballot issued • An voter flagged to provide additional documentation
Assumptions:	It is assumed examples of the three known voter registration records will be provided in the data to execute this test.
Step	Procedure
1000	<p>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.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
1010	

	<p>Inspect the retrieved record for the following information:</p> <p>___ (1) The full name of the voter. ___ (2) The poll worker can observe address of the voter. ___ (3) The poll worker can observe a box labeled “Address Unchanged”</p> <p><i>Expected: Items 1-3 are displayed.</i></p> <p><i>Actual:</i></p>
<p>1020</p>	<p>Use the designed method to select the “Address Unchanged” box. Continue with the designated process to “Check In” the voter selected.</p> <p><i>Expected: The voter “Check In” process can be completed and “Address Unchanged” is recorded and can be retrieved for future observation.</i></p> <p><i>Actual:</i></p>
<p>1030</p>	<p>Use the designed method to input the voter information to retrieve the voter registration record for an eligible voter who is issued an absentee ballot. Input the voter information and retrieve the voter record.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1040</p>	<p>Inspect the retrieved record for the following information:</p> <p>___ (1) The full name of the voter. ___ (2) The poll worker can observe address of the voter. ___ (3) The poll worker can observe a box labeled “Address Unchanged”</p> <p><i>Expected: Items 1-3 are displayed.</i></p> <p><i>Actual:</i></p>
<p>1050</p>	<p>Attempt to use the designated process to “Check In” the voter selected without selecting the box labeled “Address Unchanged” and do not update the address information that has been displayed. Proceed through the remainder of the process.</p> <p><i>Expected: The “Check In” process cannot be completed without selecting the “Address Unchanged” box or updating the address information.</i></p> <p><i>Actual:</i></p>
<p>1060</p>	<p>Use the designed method to input the voter information to retrieve the voter registration record for voter flagged to provide additional documentation. Input the voter information and retrieve the voter record.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>

<p>1070</p>	<p>Inspect the retrieved record for the following information:</p> <p>___ (1) The full name of the voter. ___ (2) The poll worker can observe the address of the voter. ___ (3) The poll worker can observe a box labeled “Address Unchanged”</p> <p><i>Expected: Items 1-3 are displayed.</i></p> <p><i>Actual:</i></p>
<p>1080</p>	<p>Use the designed method to update the address information updating the street address information only. Continue the “Check In” process with the updated information.</p> <p><i>Expected: The voter information is able to be updated.</i></p> <p><i>Actual:</i></p>
<p>1090</p>	<p>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 and updated in step 1080. Input the voter information and retrieve the voter record.</p> <p><i>Expected: The voter information is able to be input and the correct record is retrieved.</i></p> <p><i>Actual:</i></p>
<p>1100</p>	<p>Inspect the retrieved record and ensure the street address information is the updated street address.</p> <p><i>Expected: The street address displayed is the correct address from step 1080.</i></p> <p><i>Actual:</i></p>
<p>1110</p>	<p>Use the designated method to generate a report.</p> <p><i>Expected: A report is produced.</i></p> <p><i>Actual:</i></p>
<p>Criteria for Evaluation of the Test Results: All voter records can be retrieved and accurately displayed with the required information for expected data and the “Address Unchanged” box is required to “Check In” a voter or the address information is required to be updated.</p>	

TCI: 17 Unique Identifier	
Indiana Electronic Poll Book (ePollBook) Certification Test Protocol – Appendix A, ePollBook Certification Checklist: Section D	<i>Submit a detailed description of how your ePB solution enables counties to comply with subsections (d) and (e) of IC 3-11-10-26</i>
Test Objective: To validate that the ePB is capable of printing the unique identifier.	Test Configuration: An electronic poll book (ePB) configured for election day.
Equipment:	ePB with Printer
Special Procedural Requirements:	A voter dataset that includes at least 2 voters that require an unique identifier as per <i>subsections (d) and (e) of IC 3-11-10-26</i>
Assumptions:	It is assumed that the utilized dataset is sufficient to demonstrate compliance.

Step	Procedure
0000	<p>The vendor is to provide a written detailed description of how the ePB solution enables counties to comply with subsections (d) and (e) of IC 3-11-10-26.</p> <p>The description shall include:</p> <ul style="list-style-type: none"> • A detailed description of the unique identifier • Instructions on how to verify that the unique identifier is correct • List all locations where the unique identifier is displayed • Confirm that the unique identifier can be printed
1010	<p>Use the designated method defined in Step 0000 to check in a voter that utilizes subsections (d) and (e) of IC 3-11-10-26.</p> <p><i>Expected: Voter is checked in</i></p> <p><i>Actual:</i></p>
1020	<p>Verify that the voter’s record now shows that the voter received a ballot.</p> <p><i>Expected: Voter’s record shows as having received a ballot.</i></p> <p><i>Actual:</i></p>
1030	<p>Use the designated method defined in Step 0000 to check in a second voter that utilizes subsections (d) and (e) of IC 3-11-10-26.</p> <p><i>Expected: Voter is checked in</i></p> <p><i>Actual:</i></p>
1040	<p>Validate that the second voter’s record now shows that the voter received a ballot.</p> <p><i>Expected: Voter’s record shows as having received a ballot.</i></p> <p><i>Actual:</i></p>

1050	Validate that a unique identifier is printed for each voter. <i>Expected: unique identifiers printed</i> <i>Actual:</i>
Criteria for Evaluation of the Test Results: The electronic poll book is capable of printing the unique identifier.	

TCI: 18 SVRS Web Services Framework (WSF)	
EPollbook Acceptance Testing	Indiana ePollbook Communication Testing Scenarios for VSTL, Document Version 0.1 (11-28-2018)
Test Objective: To test the ability of the ePB solution to successfully interface with the Statewide Voter Registration System (SVRS) and effectively and appropriately downloading and uploading voter data.	Test Configuration: The vendor is to provide sufficient access to the ePB solution so that it can demonstrate compliance. This may be done at the lab, vendor's facility, or remotely, but the venue must be approved by VSTOP and the VSTL before testing starts.
Equipment:	<ul style="list-style-type: none"> • Vendor's WSF Solution as defined in the vendor's documentation. • ePB
Special Procedural Requirements:	<ul style="list-style-type: none"> • VSTOP to approve the employed county dataset*. • SVRS to determine transfer schedules**. • The vendor is not to have any communications with SVRS operators without the VSTL's approval during the testing window, and all communications are to be logged by the vendor with a copy provided to the VSTL before the report is released. • The VSTL is to select all voter check-ins. • Designated methods are defined in vendor documentation.
Assumptions:	<ul style="list-style-type: none"> • It is assumed that the utilized dataset is sufficient to demonstrate compliance.
Step	Procedure: **Use the Indiana ePollbook Communication Testing Scenarios for VSTL, Document Version 0.1 (11-28-2018) as a guide for interfacing with the SVRS. The below order of operation may be adapted to match at hand system and/or testing parameters and/or operations.
0000	The vendor is to supply a complete detailed description of the WSF solution to VSTOP and the VSTL before testing starts. This should include any hardware, software, and practical dataflow graphical representations. Expected: A testable solution has been presented to and is satisfactorily accessible by the VSTL. Actual:
1000	Use the designated method to configure the ePB WSF solution to download *initial voter data & signatures. Expected: Download scheduled. Actual:

<p>1010</p>	<p>After the initial download is completed, verify download for content & formatting.</p> <p>Expected: Accurate voter data properly downloaded.</p> <p>Actual:</p>
<p>1020</p>	<p>Use the designated method to push voter data to an ePB controlled by the VSTL.</p> <p>Expected: The ePB has been updated and is ready to check in voters.</p> <p>Actual:</p>
<p>1030</p>	<p>Check in at least 10 unsystematically selected early-voters on the ePB. Mark at least 3 of these voters as Address Changed---make signatures uniquely distinguishable for later verification.</p> <p>NOTE: In conjunction with this step it is permissible to also mark 10 voters as having received an absentee ballot---can be same voters.</p> <p>Expected: At least 10 voters are checked in on the ePB.</p> <p>Actual:</p>
<p>1040</p>	<p>Use the designated method to push the STEP 1030 voter check-in data from the ePB back to the SVRS. Along the way verify the checked in voter's:</p> <ul style="list-style-type: none"> • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Electronic signature <p>NOTE: In conjunction with this step it is permissible to also (not using STEP 1030 voters):</p> <ul style="list-style-type: none"> • Create voter deltas • Delete voters • Add voters <p>Expected: The WFS and SVRS includes and shows correctly the updated voter data.</p> <p>Actual:</p>
<p>1050</p>	<p>Next, check in at least 10 unsystematically selected election-day-voters and push them up to the SVRS. Mark at least 3 of these voters as Address Changed---make signatures uniquely distinguishable for later verification.</p> <p>Expected: The SVRS can verify 10 new voters checked in.</p> <p>Actual:</p>
<p>1060</p>	<p>If not performed previously verify voter signatures created during STEPS 1030 & 1050 on the WSR & SVRS. If previously performed note the "actual".</p> <p>Expected: Signatures appear as uniquely created.</p> <p>Actual:</p>

1070	<p>If not performed previously use the designated method to designate at least 10 voters as receiving absentee ballots. If previously performed note the “actual”.</p> <p>Expected: Absentee voters created.</p> <p>Actual:</p>
1080	<p>Verify absentee voter data on the WSF and SVRS.</p> <p>Expected: Absentee voters verified.</p> <p>Actual:</p>
1090	<p>If not performed previously use the designated method to create some voter deltas. If previously performed note the “actual”.</p> <p>Expected: Voter deltas created.</p> <p>Actual:</p>
1100	<p>Verify voter deltas on the WSF and SVRS.</p> <p>Expected: Voter deltas verified.</p> <p>Actual:</p>
1110	<p>If not performed previously use the designated method to delete voter(s). If previously performed note the “actual”.</p> <p>Expected: Voter(s) deleted from the voter roll.</p> <p>Actual:</p>
1120	<p>Verify voter(s) deleted.</p> <p>Expected: The deleted voter(s) no longer appears on the voter roll.</p> <p>Actual:</p>
1130	<p>If not performed previously use the designated method to add voter(s). If previously performed note the “actual”.</p> <p>Expected: voter(s) added to the voter roll.</p> <p>Actual:</p>
1140	<p>Verify voter(s) added.</p> <p>Expected: The added voter(s) appears on the voter roll.</p> <p>Actual:</p>

1150	Verify all steps have been successfully addressed. Expected: WSF and SVRS verifies that the voter database correctly reflects all data updates made during testing. Actual:
Criteria for Evaluation of the Test Results: The ePB solution accurately handles all voter data manipulation in an appropriate manner.	

TCI: 19 Provisional Voter Check-in	
IC 3-11.7-2-2 IC 3-11-8-25.1	<p>Provisional Voter Must Sign the Poll List</p> <p>A voter casting a provisional ballot must sign the poll list, complete the affidavit of challenged voter (PRE-4), enclose the provisional ballot in the PRO-2 envelope, and sign the PRO-2 security envelope.</p> <p>Challenged Voter Who Completes Challenged Voter Affidavit is Required to Sign the Poll Book</p> <p>A voter who is challenged and executes the challenged voter affidavit to vote a provisional ballot is required to sign the poll book.</p>
Test Objective: To validate that the ePB is capable of checking in provisional voters who are found in the voter database on the ePB and provisional voters who are not found in the voter database on the ePB.	Test Configuration: An electronic poll book (ePB) configured for early voting and election day.
Equipment:	ePB with Printer
Special Procedural Requirements:	The electronic poll book SYSTEM will be 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 build
Assumptions:	It is assumed that the utilized dataset is sufficient to demonstrate compliance.
Step	Procedure
0000	The vendor is to provide a written detailed description of how the ePB solution enables counties to check-in provisional voters provisional voters who are not found in the voter database on the ePB.
1010	Use the designated method to randomly check in a non-provisional voter <i>Expected: Voter is checked in</i> <i>Actual:</i>
1020	Use the designated method defined in Step 0000 to check in 3 provisional voters who are found on the ePB. Expected: 3 provisional voters are checked in Actual:

1030	<p>Verify that the voters' records now show that the voters received provisional ballots.</p> <p><i>Expected: Voters' records show as having received provisional ballots.</i></p> <p><i>Actual:</i></p>
1040	<p>Use the designated method defined in Step 0000 to check in 3 provisional voters who are not found on ePB. The voter record should consist of the following fields:</p> <ol style="list-style-type: none"> 1. First Name, 2. Middle Name, 3. Last Name, 4. Date of Birth, 5. Address and 6. Signature. <p><i>Expected: Voter is checked in</i></p> <p><i>Actual:</i></p>
1050	<p>Verify that the voters' records now show that the voters received provisional ballots.</p> <p><i>Expected: Voters' records show as having received provisional ballots.</i></p> <p><i>Actual:</i></p>
1060	<p>Use the designated method to randomly check in a non-provisional voter</p> <p><i>Expected: Voter is checked in</i></p> <p><i>Actual:</i></p>
1070	<p>Print reports detailing provisional check ins.</p> <p><i>Expected: The following two report are printed</i></p> <ol style="list-style-type: none"> a. <i>Provisional records for the voters that are not found on the ePB.</i> <i>The following fields should be part of the report:</i> <ol style="list-style-type: none"> 1. <i>First Name,</i> 2. <i>Middle Name,</i> 3. <i>Last Name,</i> 4. <i>Date of Birth,</i> 5. <i>Address and</i> 6. <i>Signature.</i> b. <i>Provisional records for the voters that are found on the ePB.</i> <p><i>Actual:</i></p>
<p>Criteria for Evaluation of the Test Results: The electronic poll book is capable of checking in provisional voters who are found in the voter database on the ePB and provisional voters who are not found in the voter database on the ePB.</p>	

APPENDIX D

Web Services Framework (WSF) Communication Testing

Indiana Electronic Poll Book Communication Testing Scenarios for VSTL Document Version 3.0

Initial Draft: November 28, 2018
Revised: November 9, 2021
Created by: Civix, VSTOP, and Baker Tilly

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Revision History

Name	Date	Reason for Change	Version
Tyler Johnson	11/28/2018	Initial draft	0.1
Tyler Johnson	02/22/2019	Added Voter Info and Vote History Deltas	0.2
Tyler Johnson	02/25/2019	Modified Absentee Delta Section	0.3
Tyler Johnson	06/06/2019	Added note about automated emails, removed DRAFT watermark, changed version number	1.0
Tyler Johnson	10/01/2021	Minor updates	2.0
Tyler Johnson	11/09/2021	Inclusion of Travel Board test case in Sections 5-2 and 5-11	2.1
Elizabeth Beatrice	01/03/2022	Changed language slightly on Travel Board test case scenarios	2.2

1 Introduction

This document contains test scripts for conducting communications testing of Electronic Pollbooks as part of certification in Indiana. The test focuses on the ability of ePBs to communicate with the Statewide Voter Registration System (SVRS) using Web Services Framework (WSF) to download and upload appropriate data used in conducting Elections in the state of Indiana.

1.1 Purpose

The script is to be used for communications testing of the ePB solution.

1.2 Assumptions

- The ePB undergoing testing has been delivered to the approved testing agency (VSTL).
- The lab and vendor have reviewed this document as well as the Web Services Framework Developer Reference.
- Non-certified Electronic Poll Book Vendors working with the State of Indiana on initial certification will be provided scrambled data to test communications testing with the Web Service Framework.

2 Permitted Times for Executing WSF Calls and Data Processing Times

WSF Call	Execution Time
SVRSGetControlFile	May be called at any time of day and must be executed prior to any other call
SVRSGetFTPInfo	May be called at any time of day and should be called in succession to SVRSGetControlFile
SVRSGetVoterInformation	Only between 4:00 am and 7:30 am (ET)
SVRSGetAbsenteeBallots	Only between 4:00 am and 7:30 am (ET)
SVRSGetVoterSignatures	Only between 4:00 am and 7:30 am (ET)
SVRSPutAbsenteeBallots	May be called as the need arises
SVRSPutVoterInformation	The first time this call may be executed is the day AFTER Election Day. The call must be executed within 30 days after Election day.
SVRSPutVoteHistory	The first time this call may be executed is the day AFTER Election Day. The call must be executed within 30 days after Election day.
SVRSPutVoterSignatures	The first time this call may be executed is the day AFTER Election Day. The call must be executed within 30 days after Election day.

3 SVRS WSF Data Processing Times

Job	Processing Time During Acceptance Testing in Sandbox	Processing Time During Elections in Production
SVRSPutVoterInformation	Every 30 Minutes between 03:00 AM and 11:59 PM (ET)	Occurs once daily at 5:00 AM (ET)
SVRSPutAbsenteeBallots	Occurs every hour from 3:00 AM and 11:59PM (ET)	Occurs every 20 Minutes between 5:00 AM and 11:59 PM (ET)
SVRSPutVoteHistory	Occurs every 30 Minutes between 3:00 AM and 11:59 PM (ET)	Occurs every 30 Minute(s) between 6:00 PM and 06:00 AM (ET)
SVRSPutVoterSignatures	Occurs every 30 Minutes between 03:00 AM and 11:59 PM (ET)	Occurs once at 03:00 AM (ET)

Note: Please remember that there are 68 EPB counties currently. Depending on the volume of records in queue at the time your information is sent, processing time may be longer than expected.

4 Populate ePB Client

Steps	Action Description	Responsibility	When
1-2	Using the WSF interface functions SVRSGetFTPInfo and SVRSGetControlFile 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. <ul style="list-style-type: none"> • Notification of Success for SVRSGetFTPInfo Email • Notification of Success for SVRSGetControlFile Email 	Vendor	Pre-Election
4	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
5	Using the WSF interface function SVRSGetVoterSignatures with the parameter IsFullExport=TRUE, the ePB vendor shall download the signature files.	Vendor	Pre-Election
6	Using the WSF interface function SVRSGetAbsenteeBallots with the parameter IsFullExport=TRUE, the ePB vendor shall download the absentee records.	Vendor	Pre-Election
7	The lab shall verify ePB workstation was loaded with data provide from the above steps.	Vendor	Pre-Election

5 Early Voting Check-in

Steps	Action Description	Responsibility	When
1	<p>Using the ePB client, the lab/vendor personnel shall retrieve the voter information records for 10 voters.</p> <p>The personnel shall verify that the following information exposed by the ePB client matches the information in SVRS:</p> <ul style="list-style-type: none"> • Name • Address • Birth date • Voter registration status • Absentee status • Precinct • Electronic signature 	Lab/vendor	Pre-Election
2	Using the ePB client the lab/vendor personnel may receive absentee ballots from the ten voters in the step above. Two of the ten ballots should include Travel Board addresses.	Lab/vendor	Pre-Election
3	The lab/vendor personnel 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.	Lab/vendor	Pre-Election
10	An automated email will be sent immediately to those on the WSF distribution list indicating if the connection was successful or if it failed.	Civix	Pre-Election
11	Civix personnel will confirm records are loaded, process from hopper and notify when complete. Confirmation will also be provided that Travel Board information was received successfully.	Civix	Pre-Election
12	An automated audit email will be sent the following morning to those on the WSF distribution list indicating how many records were loaded. This email will include a spreadsheet attachment with a sample of records that data was loaded for.	Civix	Pre-Election

6 Early Voting Deltas

1	The following day the lab/vendor personnel shall execute the WSF call SVRSGetAbsenteeBallots with the parameter IsFullExport=FALSE, the ePB vendor shall download the absentee records.	Lab/vendor	Pre-Election
2	The lab/vendor personnel shall confirm that the individuals whom were checked in the previous day are not eligible for check in now.	Lab/vendor	Pre-Election

7 Voter Information Deltas

Steps	Action Description	Responsibility	When
1	Using SVRS Sandbox, Civix shall apply updates to 5 voter registration records. At least one of these updates should be an address change to a different county. Civix will communicate to the Lab/Vendor what those changes are and to whom they were made.	Civix	Pre-Election
2	Using the WSF interface function SVRSGetVoterInformation with the parameter IsFullExport=FALSE, the ePB vendor shall download the delta list of voters	Lab/vendor	Pre-Election
3	The lab/vendor shall verify: <ul style="list-style-type: none"> • The number of records received • That the changes are displaying on the ePB application 	Lab/vendor	Pre-Election

8 Voter Signature Deltas

Steps	Action Description	Responsibility	When
1	Using SVRS Sandbox, Civix shall apply updates to 5 voter signatures. Civix will communicate to the Lab/Vendor what those changes are and to whom they were made.	Civix	Pre-Election
2	Using the WSF interface function SVRSGetVoterSignatures with the parameter IsFullExport=FALSE, the ePB vendor shall download the delta list of voters	Lab/vendor	Pre-Election
3	The lab/vendor shall verify: <ul style="list-style-type: none"> • The number of records received • That the changes are displaying on the ePB application 	Lab/vendor	Pre-Election

9 Vote History

Steps	Action Description	Responsibility	When
1	The Lab/vendor personnel shall identify an additional 10 voter records and assign Election Day Vote History	Lab/vendor	Election Day
2	The Lab/vendor personnel shall execute the WSF procedures designated for transmitting voter history (SVRSPutVoteHistory) from voter check-ins executed on the ePB client in the steps above.	Lab/Vendor	Post-Election
3	An automated email will be sent immediately to those on the WSF distribution list indicating if the connection was successful or if it failed.	Civix	Post-Election

Steps	Action Description	Responsibility	When
4	An automated audit email will be sent the following morning to those on the WSF distribution list indicating how many records were loaded. This email will include a spreadsheet attachment with a sample of records that data was loaded for.	Civix	Post-Election

10 Voter Signature

1	The Lab/vendor personnel shall execute the WSF procedures designated for transmitting voter signatures (SVRSPutVoterSignature) from the Absentee and Election Day voter check-ins executed on the ePB client in the steps above.	Lab/Vendor	Post-Election
2	An automated email will be sent immediately to those on the WSF distribution list indicating if the connection was successful or if it failed.	Civix	Post-Election
3	An automated audit email will be sent the following morning to those on the WSF distribution list indicating how many records were loaded. This email will include a spreadsheet attachment with a sample of records that data was loaded for.	Civix	Post-Election

Note: Currently the only information transmitted in the Voter Information call is the PERSON_UID, FirstName, MiddleName, LastName, ProofOfResidencyCode, DateOfAffirmation, ExportDate and ExportUser

11 Voter Information

1	The Lab/vendor personnel shall execute the WSF procedures designated for transmitting voter information (SVRSPutVoterInformation) from Absentee and Election day voter check-ins executed on the ePB client in the steps above.	Lab/Vendor	Post-Election
2	An automated email will be sent immediately to those on the WSF distribution list indicating if the connection was successful or if it failed.	Civix	Post-Election
3	An automated audit email will be sent the following morning to those on the WSF distribution list indicating how many records were loaded. This email will include a spreadsheet attachment with a sample of records that data was loaded for.	Civix	Post-Election

Note: Currently the only information transmitted in this call is the PERSON_UID, FirstName, MiddleName, LastName, ProofOfResidencyCode, DateOfAffirmation, Expo

rtDate and ExportUser

APPENDIX E

Electronic Poll Book Field Test Report

VSTOP
ELECTRONIC POLL BOOK (ePB) CERTIFICATION SCRIPT
(Section 1: Form 55319 Verification)

- A. Identify all members from the ePB Vendor and the VSTOP Field Test teams present
 - Members from ePB Vendor:
 - Members from the VSTOP Field Test Team:
 - Date and Place of Test:
- B. Have vendor fill-out and sign the ePB Field Testing Affidavit (see Section 4)
 - 1. Vendor completes the top portion and signs in front of Notary.
 - 2. Notary completes the bottom section confirming identity of signatory.
- C. Confirm Appropriate Box is Checked on page 1 of Form 55319
- D. Confirm Applicant Information in PART 1 of Form 55319
 - 1. Confirm Vendor name, address and telephone number of the ePB vendor
 - 2. Confirm name, address and telephone number of contact person for the vendor representative
 - 3. Identify ePB name, model number, telephone number
 - 4. Confirm general description of system and functionality of each component
 - 5. Identify all hardware, firmware and software components and serial numbers by manually inspecting equipment
- E. Confirm Information in PART 2 of Form 55319
 - 1. Confirm technical documentation and describe any changes or updates
 - 2. Have the vendor verify that the TDP submission checklist, which was previously submitted to the vendor during the initial certification process, correctly documents the proper information.
- F. Confirm signature, title and date of filing of Form 55319

VSTOP
ELECTRONIC POLL BOOK (ePB) CERTIFICATION SCRIPT
(Section 2: Functionality Test)

1. Brief description of all hardware components attached to the electronic poll book in the demonstration units present.
2. Walk through the process of ePB connecting statewide voter registration system (SVRS) data (including the software components included in the process)
3. Visual inspection of internal memory storage
4. Explain the process of printing Audit reports
5. Explain the precautionary information for each component
6. Explain pre-election tasks on ePB
7. Explain the troubleshooting procedures for the following:
 - a. Loss of Connectivity
 - b. Syncing Issue
 - c. Loss of Power
 - d. ePB failure
 - e. Insufficient Memory
 - f. Unresponsiveness Issues
 - g. Printer Not Found
8. Walk through the process of configuring elections for the following:
 - a. Primary Election
 - b. General Election
 - c. Municipal Election
 - d. Special Election
9. Explain the process of displaying Voter Information
10. Walk through the process of check-in (refer to flowchart) for following users:
 - a. Registered User
 - b. Registered User with Name Change
 - c. Registered User with Address Change
 - d. Registered User Not found on ePB (Voter not Found)
 - e. Non-Registered User
 - f. Certificate of error process
11. Explain post-election tasks on ePB
12. Explain any additional features provided by the Vendor
13. Do you swear or affirm that the electronic poll book only contains software that is needed for the essential purpose of running the electronic poll book and that each unit delivered to a client county will meet this same requirement?
14. Follow-up question based on additional features

VSTOP
ELECTRONIC POLL BOOK (ePB) CERTIFICATION SCRIPT
(Section 3: Mock Check-In Process)

1. At least 4 units are required to perform mock check-in scenarios. Both vote center and non-vote center configurations will be covered
2. Formatted scrambled test data obtained from GCR will be used
3. Import SVRS formatted data onto ePB Server
 - a. Show the data conversion steps (if any involved)
 - b. Load data onto ePB Units
4. Perform check-in process on 50 voters, generate receipts or tickets, and generate sample report that shows check-ins, voter updates, voter history etc., for validation. The covered scenarios will include:
 - a. Registered User
 - b. Registered User with Name Change
 - c. Registered User with Address Change
 - d. Registered User Not found on ePB (Voter not Found)
 - e. Non-Registered User
 - f. Certificate of error process
5. Perform hands-on testing on any additional features provided by the vendor

Note: All sections of this field testing and vendor affirmations will be recorded and documented in a video.

APPENDIX F

Affidavit for Electronic Poll Book Field Test

VSTOP
ELECTRONIC POLL BOOK (ePB) CERTIFICATION SCRIPT
(ePB Field Testing Affidavit)

Vendor Name:	
Vendor Address (Number, Street, City, State, & ZIP):	
Vendor Phone Number:	
Vendor Representative Name(s) Printed:	
Electronic Poll Book Name:	Electronic Poll Book Model Number:

I swear or affirm that the information on this form and that I am about to present and provide during the video recorded Electronic Poll Book field testing is correct to the best of my knowledge and belief. I understand that making a false statement during the field testing may constitute the crime of perjury.

Signature:	Date (month, day, year):
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The above record was signed and sworn to me at _____, Indiana on the date of _____.

Printed Name of Notary:	
Signature of Notary:	
County of Residence:	My Commission Expires On: