

ATTACHMENT 5

BOARD OF ELECTIONS APPLICATION FOR APPROVAL



NEW YORK STATE BOARD OF ELECTIONS
ELECTION OPERATIONS UNIT
40 North Pearl Street Ste 5
ALBANY, NEW YORK 12207

Application for Approval of Electronic Poll Book System (EPBS)

NAME OF VENDOR:

CONTACT PERSON:

ADDRESS OF COMPANY:

TELEPHONE NUMBER:

FAX NUMBER:

E-MAIL ADDRESS:

CELL PHONE:

Description of EPBS:

EPBS Hardware Information (List all):

EPBS Firmware and Software Release Information (List all):

General information

Do you own all rights to this system?
If not, please explain:

Yes

No

Date system and documentation/artifacts will be delivered
to the New York State Board of Elections for examination: _____

Is any part of the system manufactured or assembled by another company?

Yes

No

If "yes," name & address:



Applicant hereby agrees:

To provide the Electronic Poll Book System (EPBS) and to furnish all documentation/artifacts required by the state board of elections or its designee. Applicant understands that it may be required to place the EPBS in the state board's possession for as long as such system is in use in New York State.

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

That the submitted EPBS software does not contain any code, procedures or other material (including but not limited to 'viruses', 'worms', 'time bombs', and 'drop-dead' devices that may cause the EPBS to cease functioning at a future time), which may disable, damage, disarm or otherwise affect the proper operation of the EPBS, any hardware, or any system or other property of state board or county board.

Applicant consents to vulnerability and penetration testing on their electronic poll book system as allowed by Public Law 105-304 - Digital Millennium Copyright Act, §1201(j) Security Testing.

All proposals and submissions are subject to New York's Freedom of Information Law. It is the policy of the New York State Board of Elections, in relation to applications for approval of EPBS, that the State Board shall make available to the public all non-proprietary documentation submitted by the Vendor. The Vendor may designate those portions of the proposal that contain trade secrets or other proprietary data that must remain confidential. Blanket statements that either attempt to cover all information in a document, or which allows for a reactive assertion of exemption by the Vendor upon a future request for disclosure, will not be accepted.

Date

Signature of Applicant

Title



Electronic Poll Book System (EPBS) Application for Approval Checklist

Instructions: Use this checklist to confirm that all required items will be submitted to the NYS Board of Elections by close of business on May 3, 2019. Vendors must provide a response to each vendor submission requirement. Vendors shall submit this checklist as part of their application package.

Vendor Name: _____

Applicant Name: _____ **Title:** _____

Vendor Submission Requirements:

_____ Complete and signed application

_____ Written responses/artifacts to identified requirements:

- *Functional (19 Response/Artifact submissions required)*

F-21 F-25 F-32 F-33 F-34 F-36 F-42 F-43 F-44 F-45 F-50 F-51
F-52 F-53 F-54 F-58 F-66 F-67 F-69

- *Challenge Report (1 Response/Artifact submission required)*

CR-1

- *Security (55 Response/Artifact submissions required)*

S-1 S-2 S-3 S-4* S-5 S-6 S-7 S-8 S-9 S-11 S-12 S-14
S-15 S-25 S-26 S-27 S-29 S-31 S-38 S-39 S-40 S-41 S-42 S-43
S-44 S-45 S-46 S-47 S-48 S-49 S-50 S-51* S-52 S-53 S-57 S-58
S-60 S-61 S-62 S-63 S-64 S-65 S-66 S-67 S-68 S-70 S-71 S-72
S-73 S-74 S-75 S-76 S-77 S-78 S-79

* indicates optional requirement

_____ Complete EPBS

_____ Complete EPBS for Approval Checklist

Technical Data Package:

_____ A list of all documents submitted which relate to the design, construction, operation, and maintenance of the EPBS

_____ Technical Data Package (TDP) contents (at a minimum, consists of):

- System configuration overview
- System hardware specifications
- System test and verification specifications
- User/system operations procedures
- Personnel deployment and training requirements
- Quality assurance program
- System functionality description
- Software design and specifications
- System security specifications
- System maintenance procedures
- Configuration management plan
- System change notes

Vendor Instructions:

Electronic poll book system (EPBS) vendors are required to respond to each requirement. The requirements are presented in three tabs:

- Functional Requirements
- Challenge Report Requirements
- Security Requirements

Each requirement tab has a 'Demonstration' column and a 'Response/Artifact' column.

If an 'X' is present in the 'Demonstration' column, then the vendor will be required to demonstrate the mandatory functionality when on-site at the New York State Board of Elections.

If an 'X' is present in the 'Respond/Artifact' column, then the vendor will be required to provide documentation/narrative with associated artifacts that provides evidence of meeting the requirement if applicable. Example artifacts include but are not limited to screenshots, logs, etc. Artifacts will be used in determining requirement compliance.

If there is an 'X' in both columns, then the vendor will be required to fulfill the requirements as stated above for each.

If the vendor is unable to meet the requirement, then provide a description of how they do not meet the requirement. Mandatory requirements are designated in the 'Status' column. If the vendor believes they have implemented compensating controls or meets the requirement in another manner, they are requested to document how that was done.

The vendor shall make references to existing documentation in their responses. The reference shall state the specific sections and pages of documentation where the requirement(s) are met. If the vendor believes a requirement is not applicable to their system, the vendor must indicate why with a detailed description.

Term	Definition
Electronic poll book system (EPBS)	Includes all software (e.g. operating systems, vendor applications, etc.) and connected hardware (e.g. electronic poll books, laptops, and peripherals including scanners, printers, signature pads, routers, servers, removable media devices, chargers, batteries, etc.) configured to support the creation of Computer Generated Registration List of voters for use during elections.
Electronic poll book system - Poll Site (EPBS-PS)	The parts of the electronic poll book system to be used at the poll site (EPBS-PS).

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-1	The parts of the electronic poll book system to be used at the poll site (EPBS-PS) shall have the capability to be labelled, locked and sealed in carrying cases with tamper-evident security seals when transported to and from the county board of elections.	Mandatory	Security	§4-134(2)	X		
F-2	The EPBS-PS shall have the capability to be labelled, locked and sealed in carrying cases with tamper-evident security seals when not in use at the poll site.	Mandatory	Security	§4-134(2)	X		
F-3	The EPBS-PS shall support a dual authentication feature where the coordinated action of (2) election inspectors who are not members of the same political party is required to enable use of the electronic poll books when poll sites open.	Mandatory	Security	§8-202	X		
F-4	The EPBS-PS shall display the date of the election being conducted on each screen.	Mandatory	Functional	§6212.9	X		
F-5	The EPBS-PS shall be capable of utilizing an "appropriate marking device" to capture the signature as signed by the registered voter.	Mandatory	Functional	§4-128(1), §4-132(c)	X		
F-6	The EPBS-PS shall conceal the voter's facsimile signature until after the voter has completed signing their signature, at which point both signatures will be displayed for inspector comparison.	Mandatory	Functional	§8-304(3)	X		
F-7	The EPBS-PS shall have the ability to display an electronic list of voters in alphabetical order for a: - single election district or - poll site.	Mandatory	Functional	§1-104(38)	X		
F-8	The EPBS electronic list of voters shall be generated from a computer registration file for each election.	Mandatory	Functional	§1-104(38)	X		
F-9	When used at a primary election, the EPBS-PS shall have the ability to display the names of the voters enrolled in a particular political party.	Mandatory	Functional	§5-506(3)(c)	X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-10	<p>The EPBS shall display, for each voter record, at least the following:</p> <ul style="list-style-type: none"> - County Voter ID - Name - Street Address - Town, City or Ward - Election District - Assembly District, where appropriate - Date of Birth - Date of Registration (Month/Day/Year) - Party enrollment - Facsimile of the voter's signature or an indication that the voter is unable to sign his/her name - A notation indicating if the voter's identity was not yet verified as required by the federal Help America Vote Act. 	Mandatory	Functional	§5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)	X		
F-11	<p>The EPBS-PS shall include for each voter listed the following:</p> <ul style="list-style-type: none"> - Place where a voter can sign his/her name or where it can be indicated by the inspectors that a voter is unable to sign his/her name - For voters requiring assistance, a place to enter the name of each officer or person rendering such assistance - Place for inspectors to record the number appearing on the stub of any election day paper ballot given to the voter, or other information to allow for ballot reconciliation - Place for inspectors to sign their names or initials after satisfaction of signature comparison and by comparison of his/her appearance with the descriptive material in the poll record - Place for inspectors to indicate that a voter has produced one of the required types of identification if ID has not been verified. 	Mandatory	Functional	§5-506(3)(c), 6212.9(b), 8-306(3), §8-304(1), §8-302(2)(a)	X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-12	For voters requiring assistance, the EPBS-PS should display the assistance oath.	Optional	Functional	§8-306(5)	X		
F-13	For the canvass of absentee, military or special ballots, or ballots cast by voters with registration poll records missing, or for voters that have not had their identity previously verified or who have moved after registering, the EPBS shall provide an ability for the inspectors to place their initials in a space provided if the person is found to be registered and signatures are found to correspond.	Optional	Functional	§9-209(2)(a)(i)(C)	X		
F-14	For voters described in F-13, the EPBS shall provide an ability for the inspectors to record information including but not limited to the following items: - absentee vote, - military vote, - year of election, - month of election	Optional	Functional	§9-209(2)(a)(i)(D)	X		
F-15	The EPBS-PS shall enable a poll worker to search for a voter's record. Search criteria must include either a complete or partial match to one or more of the following: - Last Name - First Name - Date of Birth - Address	Mandatory	Functional	§8-302	X		
F-16	For primary elections, the search criteria should include all items from F-15, as well as Party Enrollment.	Optional	Functional	§8-302	X		
F-17	The EPBS-PS shall have the ability to display the names of special federal voters separate and apart from other voters contained in the list.	Mandatory	Functional	§11-206	X		
F-18	The EPBS-PS may provide a street finder or other tool that would enable election inspectors and/or poll site coordinators to determine the correct election district and polling place for a voter who is in an incorrect poll site.	Optional	Functional	§8-302	X		
F-19	The EPBS shall indicate whether a voter has already cast a ballot.	Mandatory	Functional		X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-20	In addition to alphabetical order, the EPBS-PS should be configurable to provide a list of voters in some other order defined by an administrative user.	Optional	Functional		X		
F-21	The vendor shall describe how their EPBS shall be configurable to allow for the importing of voter registration data from voter registration systems in use by a County Board of Elections in New York State.	Mandatory	Functional		X	X	
F-22	The EPBS shall provide the ability for county board of elections staff to verify the import of any and all data previously exported from the county board's voter registration system (voter records, poll site files, etc.).	Mandatory	Functional		X		
F-23	The EPBS shall be configurable to allow for the exporting of election data (both early and election day) in a format that can be imported into any voter registration system in use by a County Board of Elections in New York State.	Mandatory	Functional		X		
F-24	The EPBS shall be capable of exporting voter history in a format that can be used to transfer such information into any voter registration system in use by a County Board of Elections in New York State.	Mandatory	Functional		X		
F-25	The vendor shall describe the process by which maintenance and diagnostic activities of EPBSs, when performed by an entity other than a CBOE, is coordinated with a CBOE, and what allowances the CBOE has to monitor and control these activities.	Mandatory	Functional			X	
F-26	The EPBS shall have the ability to export any voter signature captured by a EPBS-PS in a well established, non-proprietary format.	Mandatory	Functional		X		
F-27	The EPBS must guarantee that a voter can be checked in at most once during normal connectivity.	Mandatory	Functional		X		
F-28	The EPBS shall identify voters that have been checked in at two or more different electronic poll books.	Mandatory	Functional		X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-29	In the event of a temporary interruption of connectivity within an EPBS, the EPBS-PS must permit the continuation of the voter check-in process.	Mandatory	Functional		X		
F-30	In the event of a temporary interruption of connectivity within an EPBS, the EPBS must automatically restore voter list consistency across the EPBS-PS after connectivity is restored.	Mandatory	Functional		X		
F-31	In the event of a temporary interruption of connectivity within an EPBS, the EPBS must indicate that there has been an interruption of connectivity by entering relevant event information into the audit log.	Mandatory	Functional		X		
F-32	The vendor shall describe the process by which they will develop and provide training options and materials to each County Board of Elections under contract which will allow CBOE staff and polling inspectors to be trained in the use of the EPBS/EPBS-PS, where appropriate.	Mandatory	Training			X	
F-33	The vendor shall provide help-desk support to each County Board of Elections under contract and describe the following: - Help-desk ticket submission process - Help-desk ticket response time standards (follow-up and resolution). - Help-desk ticket escalation and resolution model - Help-desk ticket status reporting - Schedule of Help-desk hours of operation and availability (at minimum help-desk support must be provided from 9:00 a.m. to 5:00 p.m. – Eastern Time – Monday to Friday.	Mandatory	Technical Support			X	

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F-34	The vendor shall provide enhanced help desk services to support CBOE during the following peak timeframes: - For the period of Early Voting Day 1 to Early Voting Day 9, telephone support shall be provided between the hours of 5:00 am and 10:00 pm Eastern Time. - For the period including Election Day minus 1, Election Day and Election Day plus 1, telephone support must be available during this entire 72-hour period. - For the post election period, which is defined as Election Day plus 1 through Election Day plus 15, phone support shall be provided by the vendor, on each of said days, between the hours of 7:00 am until 7:00 pm, EST.	Mandatory	Technical Support			X	
F-35	The EPBS shall have the ability to generate reports based on any defined data fields.	Mandatory	Reporting		X		
F-36	Vendor shall provide a list of data fields which the EPBS is capable of generating a bar code for in a report.	Mandatory	Reporting			X	
F-37	The EPBS should allow authorized users the capability to create, modify and save custom reports and queries.	Optional	Reporting		X		
F-38	The EPBS shall generate reports in a well established, non-proprietary format including, but not limited to, one of the following: - Hypertext Markup Language (.html) - Microsoft Excel (.xlsx) - Microsoft Excel (.csv) - Adobe Acrobat Portable Document Format (.pdf) - Microsoft Word (.docx) - Rich Text Format (.rtf)	Mandatory	Reporting		X		
F-39	The EPBS should allow authorized users to select from a list of available report templates and enter report criteria prior to generating the report.	Optional	Reporting		X		
F-40	The EPBS shall allow authorized users to view reports before saving or printing them.	Mandatory	Reporting		X		

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F-41	The EPBS should allow including the name of the report, the date generated, and the page number on each page of a report.	Optional	Reporting		X		
F-42	The vendor shall describe the required electrical supply specifications for the EPBS-PS in polling places.	Mandatory	Power/Battery			X	
F-43	The vendor shall describe the EPBS-PS battery specification including but not limited to: - Hours of continual use by inspectors - Hours of stand-by (when not being used to check in a voter)	Mandatory	Power/Battery			X	
F-44	The vendor shall describe how to: - Charge the EPBS-PS battery before deployment to a poll site - Charge the EPBS-PS battery at the poll site both during voting hours and when the polls are closed (include specification on power plug length)	Mandatory	Power/Battery			X	
F-45	The vendor shall describe how the EPBS-PS retains its data when power to the device is exhausted.	Mandatory	Power/Battery			X	
F-46	In the event of a temporary loss of power, the EPBS-PS must permit a voter to check-in. The electronic poll book system's battery supply must allow for at least two (2) hours of operation without external power supply.	Mandatory	Power/Battery		X		
F-47	The EPBS-PS shall be configured in such a way that the operator is provided with a continuous visual indication of whether the device is operating on battery or AC power and, if the former, a visual indication of how much battery power remains.	Mandatory	Power/Battery		X		
F-48	The EPBS-PS shall be capable of automatically switching to a backup power source (e.g. battery) and not interrupt the operation or integrity of the data.	Mandatory	Power/Battery		X		
F-49	The EPBS shall concurrently support all connected devices from all poll site locations within the county.	Mandatory	Non-Functional		X		
F-50	The vendor shall attest that they will have the ability to deliver the contracted number of EPBS-PS. If the vendor contracts with all CBOE, the estimated number is between 18,000 and 20,000 EPBS-PS.	Mandatory	Non-Functional			X	

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-51	As of the date of the vendor's application for approval of the EPBS by the NYSBOE, the vendor must provide a complete and working iteration of their EPBS to NYSBOE including, but not limited to: - At least three (3) EPBS-PS devices - Any equipment, as defined in the configuration submitted, necessary to network the devices either together or to a backend software system - URL and credentials to access any hosted or cloud-based backend software system configured to work with any hardware components submitted	Mandatory	Non-Functional			X	
F-52	The vendor must provide a list of customers who are using, or have previously used, the vendor's EPBS. This list must be current as of the date of the vendor's application for approval of the EPBS by NYSBOE.	Mandatory	Non-Functional			X	
F-53	The vendor must provide a description of any known anomalies in the function of the EPBS as well as a description of the method for resolving those anomalies. This list must be current as of the date of the vendor's application for approval of the EPBS by NYSBOE.	Mandatory	Non-Functional			X	
F-54	The vendor shall provide instructions and materials sufficient for the CBOE to carry out a pre-election test of the EPBS (including EPBS-PS) to verify the integrity of the system components before their use in an election.	Mandatory	Non-Functional		X	X	
F-55	The EPBS shall provide means for the integration of an additional EPBS-PS into its configuration at any point throughout the election without requiring a shutdown or a restart of the EPBS. This system event must be documented in the audit log.	Mandatory	Technical		X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-56	The EPBS shall provide means for the exclusion of an existing EPBS-PS from its configuration at any point throughout the election without requiring a shutdown, or restart of the EPBS. This action does not require physical access to the EPBS-PS that is to be excluded. This system event must be documented in the audit log.	Mandatory	Technical		X		
F-57	Each EPBS-PS within an EPBS configuration must have a unique identifier. Any component within an EPBS configuration must be able to uniquely identify said EPBS-PS by its identifier.	Mandatory	Technical		X		
F-58	The EPBS must be designed to tolerate any single point of failure scenarios.	Mandatory	Technical		X	X	
F-59	The EPBS-PS shall have the capability to display a prompt or warning if an individual cannot be found in the list of voters during the check in process.	Mandatory	Functional		X		
F-60	An EPBS-PS must provide a user interface through which authorized users can verify an individual's voting eligibility and document the voter's election related activity.	Mandatory	User Interface		X		
F-61	The EPBS-PS should provide election inspectors with access to on-screen support, configurable by administrative users and relevant to the action being executed at a given time.	Optional	User Interface		X		
F-62	The EPBS must provide a user interface through which authorized users can configure the system. This includes the initial setup of the system, reconfiguration, viewing the current configuration, as well as adding or removing an EPBS-PS device.	Mandatory	User Interface		X		
F-63	The EPBS must provide a user interface through which authorized users can manage user accounts. This includes adding and disabling and managing their access privileges.	Mandatory	User Interface		X		
F-64	The EPBS-PS may include a bar code reader.	Optional	Barcode		X		
F-65	The EPBS-PS should display a voter's record based on the processing of information contained within a bar code when scanned by a bar code reader.	Optional	Barcode		X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
F-66	The vendor shall describe how their EPBS supports existing Section 203 Language Provisions of the Voting Rights Act and the ability to add languages if designated by the Director of Census.	Mandatory	Functional			X	
F-67	The vendor shall describe how their EPBS provides accessibility functionality for voters with disabilities (e.g. high contrast, large font or audio).	Mandatory	Functional			X	
F-68	The EPBS should be capable of importing ballot schema that will enable the printing of a receipt with the voter's ballot style or be used in conjunction with a ballot on demand printer solution.	Optional	Functional		X		
F-69	Vendor shall provide the results and supporting documentation related to any 3rd party or internal usability testing performed on the EPBS. Supporting documentation shall include, but not be limited to, test plans, test cases and results from all usability testing that was conducted.	Mandatory	Functional			X	

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
CR-1	<p>County Board of Elections are required to complete a challenge report based on the criteria set forth in New York State Election Law §8–508. Challenge report; preparation.</p> <p>The vendor shall describe if and how their solution implements the requirements for each section of the challenge report. If the vendor's solution does not meet the challenge report requirements, the vendor shall document 'solution does not implement this functionality' in their response. Please see</p>	Mandatory	Functional	§8–508		X	
CR-2	<p>Section One – change of name or address</p> <p>The EPBS-PS may provide inspectors of election the ability to enter the name, address and registration serial number of each person who claims a change in name, or a change of address within the election district, together with the new name or address of each such person. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to</p>	Optional	Functional	§8–508	X		
CR-3	<p>Section Two – voters challenged</p> <p>The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each person who is challenged on the day of election, together with the reason for the challenge. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section two' or provide a separate section for the inspectors to enter such information in the EPBS-PS. If no voters are</p>	Optional	Functional	§8–508	X		
CR-4	<p>Section Three – voters requiring assistance and who assisted</p> <p>The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each voter given assistance, together with the reason the voter was allowed assistance, the name of the person giving such assistance and his address if not an inspector. The EPBS-PS may provide a place next to the voter's name for the inspectors to record the information required to be entered in such 'section three' or provide a place for the</p>	Optional	Functional	§8–508	X		

Req #	Electronic Poll Book System Functional Requirements	Status	Category	NYS Reference	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
CR-5	Section Four – voters pursuant to court order or affidavit The EPBS-PS may provide inspectors the ability to enter the name, address and county voter ID of each person who was permitted to vote pursuant to a court order, or to vote on a paper ballot which was inserted in an affidavit envelope. The EPBS-PS may provide a place in the voter's record for the inspectors to record the information required to be entered in such 'section four' or provide a place for the inspectors to enter such information in the	Optional	Functional	§8-508	X		
CR-6	The EPBS-PS may be capable of printing a challenge report which contains the names of: - All persons who were reported a name or address change (section 1); - All persons who were challenged on the day of election, and that each voter so reported as having been challenged took the oaths as required (section 2), - All voters to whom such board gave or allowed assistance and lists the nature of the disability which required such assistance to be given and the names and family relationship, if any, to the voter of the persons by whom such assistance was rendered; that each such assisted voter informed such board under oath that he required such assistance and that each person	Optional	Functional	§8-508	X		
CR-7	The EPBS-PS may be capable of printing a certification at the end of the challenge report stating that the entries made are a true and accurate record	Optional	Functional	§8-508	X		
CR-8	The EPBS-PS may be capable of printing additional information on the challenge report including but not limited to: - City / town - Ward - Election District - Assembly district - Oath - Space for signatures of the board of inspectors of election	Optional	Functional	§8-508	X		

Req #	Electronic Poll Book System Security Requirements	Status	Category	Is control implemented at poll endpoint device, network, or backend system or all of the above	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
S-1	Vendor shall provide a system overview and functional diagram of the entire EPBS and how each component integrates into it. The description shall include how the entire system is administered, configured and managed.	Mandatory	Documentation	Entire ePoll Book System		X	
S-2	Vendor shall provide a system architecture diagram for their proposed solution that includes a description of how the solution is architected addressing on-prem and cloud or hosted or any hybrid combination thereof. If customer systems are needed to host software, information on how those systems must be configured and hardened shall be provided.	Mandatory	Documentation	Vendor		X	
S-3	Vendor shall provide software system design documentation describing the logical design of the software. This documentation shall clearly indicate the various modules of the software, their functions, and their interrelationships with each other. This shall include the data format(s) the system is capable of importing and exporting.	Mandatory	Documentation	Vendor		X	
S-4	Vendor should provide, for any cloud hosted components, proof that those components have achieved a FedRAMP compliance and are hosted by a FedRAMP authorized cloud service provider. Vendor should provide proof of FedRAMP compliance as well as documentation of who is responsible for each required security control.	Optional	Documentation	Vendor		X	
S-5	All EPBS data shall remain in the Continental United States (CONUS). Any EPBS data stored, or acted upon, must be located solely in data centers in CONUS. Services which directly or indirectly access EPBS data shall only be performed from locations within CONUS. Vendor shall provide proof of	Mandatory	Access Control	Entire ePoll Book System	X	X	
S-6	All EPBS data in transit shall remain in CONUS and be encrypted in accordance with requirement #S-55 below. Vendor shall provide proof of compliance.	Mandatory	Encryption	Entire ePoll Book System	X	X	

Req #	Electronic Poll Book System Security Requirements	Status	Category	Is control implemented at poll endpoint device, network, or backend system or all of the above	Demonstration	Response/Artifact	Vendor Response: Name and Location (Section and Page Number) in Document/Artifact where requirement is met
S-7	Vendor shall provide, for any non-cloud hosted components, evidence of any third party validation of security controls or assessments that have been completed.	Mandatory	Documentation	Vendor		X	
S-8	Vendor shall develop, document and maintain the baseline configuration of the EPBS hardware and software components. The vendor documentation shall describe all maintenance activities that are necessary to ensure the EPBS remains in the desired configuration and functioning in a secure manner. This baseline configuration and maintenance procedures document shall be provided and shall clearly identify the software versions that must be in place to maintain the baseline	Mandatory	Documentation	Entire ePoll Book System		X	
S-9	Vendor shall provide documentation on how the poll book solution and its related components have been hardened to any applicable Center for Internet Security (CIS) benchmarks, or to other standards (e.g., DoD DISA STIGs). Name all standards used and to which component they apply to (e.g., servers,	Mandatory	Documentation	Entire ePoll Book System		X	
S-10	The EPBS shall support the use of multi-factor authentication for all privileged and administrator access other than at the poll	Mandatory	Access Control	Entire ePoll Book System	X		
S-11	The EPBS shall incorporate protections to prevent fraudulent manipulation of the voter check-in process. Vendor shall describe both the preventative and detective controls within	Mandatory	Access Control	Entire ePoll Book System	X	X	
S-12	The EPBS shall employ the principle of least privilege for each permitted role within the system, allowing only authorized accesses for users (or processes acting on behalf of users) that are necessary to accomplish assigned tasks such as poll worker and voter roles as well as administrators. Vendor shall document how incorporated role based access controls	Mandatory	Access Control	Entire ePoll Book System	X	X	
S-13	The EPBS shall require the coordinated action of (2) election inspectors who are not members of the same political party to enable use of the electronic poll books for poll site operation.	Mandatory	Access Control	ePoll Book/Poll Site	X		

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S-14	Vendor shall describe what configuration item changes can be made by authorized individuals through system defined Administration role(s).	Mandatory	Access Control	Entire ePoll Book System		X	
S-15	Vendor shall describe the capabilities of the EPBS related to automated timeout of inactive sessions (e.g. poll devices, remote admin connections, account login sessions, etc.).	Mandatory	Access Control	Entire ePoll Book System		X	
S-16	The EPBS shall prevent unauthorized or unrecognized electronic poll book device communication with known and trusted components, including poll book backend servers, peer poll book devices and/or wireless access points.	Mandatory	Access Control	Entire ePoll Book System	X		
S-17	The EPBS shall not require a direct connection to any other election system or election system component (i.e. voter registration system, voting machines, etc.).	Mandatory	Access Control	Entire ePoll Book System	X		
S-18	The EPBS shall support: a. The ability to define groups and role-based access b. The ability to create, enable, modify, disable, and archive EPBS accounts c. The ability to monitor the use of EPBS accounts	Mandatory	Access Control	Entire ePoll Book System	X		
S-19	The EPBS shall: a. Enforce a configurable limit of consecutive invalid login attempts by a user b. Automatically disable or lock an account until released by an administrator or after a configurable time period when the maximum number of unsuccessful attempts is exceeded	Mandatory	Access Control	Entire ePoll Book System	X		

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S-20	The EPBS shall: a. Prevent access to the system by initiating a session lock after a configurable number of minutes of inactivity <u>or</u> upon receiving a request from a user b. Retains the session lock until the user reestablishes access using established identification and authentication procedures c. Conceals via the session lock, information previously visible on the display	Mandatory	Access Control	Entire ePoll Book System	X		
S-21	The EPBS shall: a. Monitor for and prevent all unauthorized remote access, including wireless where relevant, to the EPBS b. Allow and monitor all authorized connection(s) for all privileged and non-privileged accounts, including usage restrictions, configuration/connection requirements and implementation guidance for each type of remote access allowed c. Employ cryptographic mechanisms to protect the	Mandatory	Access Control	Entire ePoll Book System	X		
S-22	The EPBS shall support the use of unique user IDs.	Mandatory	Access Control	Entire ePoll Book System	X		
S-23	The EPBS shall support industry best practices regarding passwords (e.g. password length, password aging, password	Mandatory	Access Control	Entire ePoll Book System	X		
S-24	The EPBS shall support mutual device authentication.	Mandatory	Access Control	Entire ePoll Book System	X		
S-25	Vendor shall describe how the EPBS components can be tracked, recovered, or disabled if stolen or removed from the polling location. Vendor shall describe any preventative, corrective or detective controls that are present in the system to handle such a scenario.	Mandatory	Access Control	Entire ePoll Book System		X	
S-26	The EPBS shall be capable of providing comprehensive audit logs that can be exported in non-proprietary, human readable	Mandatory	Audit	Entire ePoll Book System	X	X	
S-27	Vendor shall provide a listing and description of what messages and events generated by the EPBS (including poll book devices) become part of the audit record.	Mandatory	Audit	Entire ePoll Book System		X	

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S-28	The EPBS shall support capturing, at a minimum, date and time-stamped records for the following actions performed by any user on the EPBS, including but not limited to: a. All related operating system events b. All user related events c. All system administration activities d. All network activity	Mandatory	Audit	Entire ePoll Book System	X		
S-29	The EPBS shall support the generation of alerts to responsible staff (by role) when a log processing error occurs (e.g. lack of space, logging stops unexpectedly, etc.). Vendor shall describe what alerting thresholds are configurable and what alerting methods can be used (page, email, text, phone call, etc.).	Mandatory	Audit	Entire ePoll Book System	X	X	
S-30	The EPBS shall manage and allocate audit record storage capacity and configure auditing to reduce the likelihood of such capacity being exceeded.	Mandatory	Audit	Entire ePoll Book System	X		
S-31	The EPBS shall provide the capability to review and analyze EPBS audit records regularly for indications of inappropriate or unusual activity. The EPBS shall not alter the original content or date/time marking of audit records. Vendor shall describe what alerting thresholds are configurable and what alerting methods can be used (page, email, text, phone call, etc.) if any activity described is identified.	Mandatory	Audit	Entire ePoll Book System	X	X	

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S-32	The EPBS shall: a. Use internal system clocks to generate time stamps for audit records b. Record time stamps for audit records that can be mapped to Coordinated Universal Time (UTC) or Greenwich Mean Time (GMT) and is accurate to within 30 seconds	Mandatory	Audit	Entire ePoll Book System	X		
S-33	The EPBS shall protect audit information and audit tools from unauthorized access, modification, and deletion.	Mandatory	Audit	Entire ePoll Book System	X		
S-34	The EPBS shall: a. Support the back up of audit records onto a physically different system or system component other than the system or component being audited b. Export data into a format that can be used to reconstruct the backend database on another server	Mandatory	Backup & Recovery	Backend System	X		
S-35	The EPBS shall support a hot-swappable feature to be configured in such a manner to automatically replicate and securely encrypt a copy of the data at any time to a removable/relocatable memory device or via obtaining configuration data from another electronic poll book device. The saved or imported data will be sufficient to restore another electronic poll book in the event of a malfunction. This functionality shall not require a network connection beyond	Mandatory	Backup & Recovery	Entire ePoll Book System	X		
S-36	The EPBS shall be able to recover from the following events: a non-catastrophic failure of an electronic poll book, a power failure, or from any error or malfunction that is within the poll worker's ability to correct. Recovery from a non-catastrophic failure will mean the restoration of the electronic poll book to the operating condition existing prior to the error or failure, without loss or corruption of data previously stored in the	Mandatory	Backup & Recovery	Entire ePoll Book System	X		

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S-37	The EPBS shall: a. Conduct backups of user and system level information contained in the EPBS in a configurable frequency b. Protect the confidentiality, integrity, and availability of backup information	Mandatory	Contingency Planning	Entire ePoll Book System	X		
S-38	Vendor shall provide documentation on how their Software Development Life Cycle (SDLC): a. Aligns with industry standard SDLC practices to incorporate information security control considerations b. Identifies individuals having information system security roles and responsibilities c. Integrates the organizational information security risk management process into system development life cycle	Mandatory	Documentation	Vendor		X	
S-39	Vendor shall describe how it employs best practices and methodologies for protecting against supply chain threats to the EPBS and its system components. The vendor shall indicate whether any components of the EPBS have been previously reviewed by other government entities (e.g., National Information Assurance Partnership [NIAP]) as part of a comprehensive, defense-in-breadth information security	Mandatory	Documentation	Vendor		X	
S-40	Vendor shall describe what capabilities the EPBS has to detect, alert and or prevent any suspicious software behavior in any part of the EPBS.	Mandatory	Documentation	Vendor		X	
S-41	Vendor shall provide documentation and testing results showing that the electronic poll book solution does not exhibit vulnerabilities and weaknesses from sources such as Open Web Application Security Project (OWASP) and the Common Weakness Enumeration (CWE).	Mandatory	Documentation	Vendor		X	

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S-42	Vendor shall provide all the documentation necessary for the identification of the full system configuration submitted for evaluation and for the development of an appropriate test plan for conducting system testing, collectively referred to as the Technical Data Package (TDP). Minimum TDP documentation: system configuration overview, system functionality description, system hardware specifications, software design and specifications, system maintenance, system test and verification specifications, system security specifications, user/system operations procedures, system maintenance procedures, personnel deployment and training requirements, configuration management plan, quality assurance program, and system	Mandatory	Documentation	Vendor		X	
S-43	Vendor shall provide documentation from other election jurisdictions (other states) that have: a. Certified/approved/authorized the proposed EPBS b. Denied certification/approval/authorization of the proposed EPBS c. Withdrawn certification/approval/authorization of the proposed EPBS	Mandatory	Documentation	Vendor		X	
S-44	Vendor documentation shall include recommendations for protecting all electronic poll books from electrical damage related to power surges, brownouts, lightning and other transient current and voltage spikes.	Mandatory	Documentation	Vendor		X	
S-45	Vendor shall provide detailed information concerning all consumables used by the EPBS and the vendor's supply chain for those consumables.	Mandatory	Documentation	Vendor		X	

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S-46	Vendor shall describe encryption and other security measures in place to protect data if the proposed system involves Internet or Cloud based transmission of data to and from local electronic poll book components.	Mandatory	Documentation	Vendor		X	
S-47	Vendor shall describe recommended or included, internet intrusion detection / intrusion prevention and control protocols for any part of the system which involves network connections.	Mandatory	Documentation	Network		X	
S-48	Vendor shall provide documentation on a system's non-functional qualities including, but not limited to, Accessibility, Performance, Availability, Reliability, Safety, Security, Usability	Mandatory	Documentation	Entire ePoll Book System		X	
S-49	Vendor shall describe the security controls used in the development of the system. Such controls include code management to ensure no unauthorized code is entered into the system, coding standards used by developers to give assurance that the code is not subject to known security errors, QA processes during the development cycle and any security	Mandatory	Documentation	Vendor		X	
S-50	Vendor shall provide "User Guide" documentation for each user role that specifies how each user can utilize the system in a secure and functional manner.	Mandatory	Documentation	ePoll Book/Poll Site		X	
S-51	Vendor shall describe all recommended controls, processes and procedures, relevant to the EPBS, available to a county BOE to assist them in developing: a. Policy and supporting procedures to facilitate the implementation of the security and privacy awareness training b. Associated security and privacy awareness and training	Optional	Documentation	Vendor		X	
S-52	Vendor shall describe, when cryptography is required and used within the EPBS, the capabilities of the EPBS to establish and manage cryptographic keys including, but not limited to, key generation, distribution, storage, access, and destruction.	Mandatory	Encryption	Entire ePoll Book System		X	

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S-53	<p>Vendor shall describe, when cryptographic mechanisms are used, the encryption products used have been validated under the Cryptographic Module Validation Program (see http://csrc.nist.gov/cryptval/) to confirm compliance with FIPS 140-2, in accordance with applicable federal laws, executive orders, directives, policies, regulations, and standards. The vendor shall provide the certificate number.</p> <p>When Cryptographic Module Validation Program (CMVP) validated modules are not used, vendor shall describe details on the encryption that is used, in a manner sufficient to determine how closely the solution adheres to the principles espoused in the CMVP.</p>	Mandatory	Encryption	Entire ePoll Book System		X	
S-54	The EPBS shall support non-repudiation and protection against an individual (or process acting on behalf of an individual) falsely denying having performed a particular action.	Mandatory	Encryption	Vendor	X		
S-55	The EPBS shall encrypt all data at rest and in transit utilizing FIPS 140-2 validated modules compliant encryption. For data in transit, only secure protocols shall be used (e.g., TLS, IPSEC,	Mandatory	Encryption	Entire ePoll Book System	X		
S-56	The EPBS shall utilize cryptographic hashing and storage for all system credentials.	Mandatory	Encryption	Vendor	X		
S-57	Vendor shall describe how it protects and controls digital (e.g., CD, DVD, USB drive etc.) and non-digital media (e.g., paper), defined within NIST SP 800-88 (Guidelines for Media Sanitization), containing sensitive information during transport outside of controlled areas (e.g., delivery to SBOE or CBOE) through the use of digital signatures, cryptography (FIPS 140-2 encryption) and/or tamper evident packaging.	Mandatory	Evaluation	Entire ePoll Book System		X	

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S-58	Vendor shall provide the results and supporting documentation related to any 3rd party or internal testing performed on the EPBS. Supporting documentation shall include, but not be limited to, test plans, test cases and results from all security testing (vulnerability, penetration, etc.) that was done on the system. Vendor shall also provide how any vulnerabilities were mitigated and any which are outstanding.	Mandatory	Evaluation	Vendor		X	
S-59	The EPBS shall uniquely identify and authenticate defined types of devices that require authentication mechanisms before establishing a connection that, at a minimum, use shared information (i.e., MAC or IP address) and access control lists to control remote network access.	Mandatory	Identification & Authorization	Entire ePoll Book System	X		
S-60	Vendor shall describe, for hosted solution offerings, how their incident response plan documentation aligns with NIST SP 800-	Mandatory	Incident Response	Vendor		X	
S-61	Vendor shall describe how any file to be used within the EPBS, (e.g., for information exchange with other election systems, audit purposes, etc.,) can be hashed and/or cryptographically signed before it is exported from the EPBS. Vendor shall describe if their solution achieves this in compliance with Federal Information Processing Standard (FIPS) 186-4, Digital	Mandatory	Integrity	Vendor		X	
S-62	The EPBS shall be protected against malware. The vendor shall provide documentation of controls within the system and procedural recommendations relevant to this.	Mandatory	Integrity	Vendor	X	X	
S-63	Vendor shall describe how they: a. Identify, report, and correct EPBS flaws b. Test software and firmware updates related to flaw remediation for effectiveness and potential side effects before installation c. Install security-relevant software and firmware updates as required d. Incorporate flaw remediation into the organizational	Mandatory	Integrity	Vendor		X	

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S-64	Vendor shall describe how remote system administration, software package deployment and system updates are done securely (e.g. secure protocols such as TLS, IPSEC, etc.).	Mandatory	Integrity	Entire ePoll Book System		X	
S-65	Vendor shall describe how their EPBS solution verifies the integrity of the code base and future software updates (e.g. hashing algorithms, digital signatures, etc.).	Mandatory	Integrity	Vendor		X	
S-66	Vendor shall describe how EPBS-PS are synchronized/networked with other EPBS-PS within the same polling place/county (including any diagrams or flow charts).	Mandatory	Network	ePoll Book/Poll Site	X	X	
S-67	Vendor shall describe how all voter activity shall be securely captured and protected during an interruption in network connectivity of an EPBS-PS. The EPBS-PS shall have the capacity to securely transmit that voter activity upon connectivity being restored.	Mandatory	Network	Entire ePoll Book System	X	X	

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S-68	Vendor shall describe, if an electronic poll book device be enabled or installed with wireless technology, the wireless security controls that are in place to include, but not be limited to, the following: a. Encryption type and strength: Wi-Fi Protected Access II (WPA2) / Wi-Fi Protected Access III (WPA3) – Advanced Encryption Standard (AES) must be utilized and a minimum 256-bit key encryption length b. Use of personal firewall on wireless client devices c. What default factory settings have been changed (e.g., SSIDS, pass phrases) d. What wireless settings/options are configurable by CBOE (e.g., SSIDS, pass phrases, transmission power) e. How the wireless access points are physically protected against tampering f. Type of authentication used between access point and connected devices g. Use of static IP address, no DHCP utilized h. What wireless settings/options cannot be changed	Mandatory	Network	Network		X	
S-69	The EPBS shall enable WPA3 for all wireless connections, if available. If WPA3 is not available, WPA2 shall be used.	Mandatory	Network	Network	X		
S-70	Vendor shall provide a detailed list of system error messages one might see while using the EPBS, definition of what the message means, and actions which shall be taken to address	Mandatory	Operational	ePoll Book/Poll Site		X	
S-71	Vendor shall describe how the EPBS protects against unauthorized use. Vendor shall describe what physical or logical controls are in place to lock down or disable unused EPBS hardware interfaces (e.g. tamper evident seals, physical locks, disabled via secure configuration baseline) during use.	Mandatory	Physical	Vendor		X	

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S-72	Vendor shall describe what options are available to protect the EPBS-PS devices from theft or destruction during transport and voting (e.g. sealed case or enclosure).	Mandatory	Physical	ePoll Book/Poll Site		X	
S-73	Vendor shall describe for EPBS-PS, what security risks are mitigated through the use of and verification upon removal of tamper evident seals.	Mandatory	Physical	ePoll Book/Poll Site		X	
S-74	Vendor shall describe how redundancy is built into the EPBS to minimize risk of failure or data loss and to ensure high	Mandatory	Server	Entire ePoll Book System		X	
S-75	Vendor shall document how the EPBS protects the integrity and confidentiality of transmitted information.	Mandatory	System and Communication	Vendor		X	
S-76	Vendor shall describe how, if utilized, public key certificates are issued under an appropriate certificate policy or public key certificates are obtained from an approved service provider.	Mandatory	System and Communication	Network		X	
S-77	Vendor shall describe how the EPBS fails to a known secure state for all failures, while preserving the maximum amount of system state information.	Mandatory	System and Communication	Entire ePoll Book System		X	
S-78	Vendor shall produce security patches within the service-level agreement (SLA) timelines and shall provide instructions on how to keep the hardware and software up to date.	Mandatory	Network	Entire ePoll Book System		X	
S-79	Vendor shall describe how software and devices meet the least functionality principle and disable unneeded services such as telnet, SNMP and remote administration (Web Mode) etc.	Mandatory	Network	Network		X	