

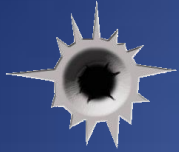
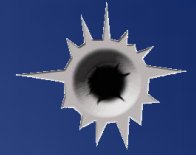
State Certification Conference

June 5, 2014

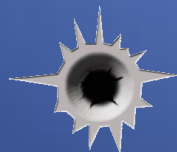


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Certifying E-Poll Books: The Indiana Experience



The Good, The Bad and The Ugly



Epoll book standards

- Why Indiana decided to certify:
 - Maryland and Denver experienced epoll book related problems in 2006 elections (system capacity issues.)
 - Build and preserve confidence of election administrators, poll workers, and voters in new election system devices.

2013 Standards & Certification

- Indiana legislation enacted in 2013.
- First in USA to:
 - Establish e-poll book (EPB) standards by law
 - Establish state certification system following testing and provide for regular renewal

Development of EPB Standards

- VSTOP consulted with numerous experts
 - Indiana Election Division
 - Election Officials throughout the country
 - Election Assistance Commission
 - Election Professionals
 - VSTLs - Voting System Testing Labs
 - EPB Vendors

The EPB Certification Protocol

- Creation of the Indiana Electronic Poll Book (ePollBook) Certification Test Protocol for the Voting System Technical Oversight Program (VSTOP)
- Approved by Hon. Connie Lawson, Secretary of State of Indiana on October 31, 2013

Essential EPB Operations

- Verify voter eligibility
- Collect voter data
- Confirm ballot delivery to voter
- Share voter information securely with every other polling place
- Communicate with Statewide Voter Registration System (SVRS)

Requirements of IC 3-11-8-10.3

Examples of Key Areas to Test

- Reliability
- Accuracy
- Integrity (Data Retention and Recovery)
- Ability to communicate with County Server
- Ability to facilitate data updates to and from SVRS
- Redundancy (internal and external memory)
- Auditability
- Demonstrated ease of use
- Availability of Training Materials
- Quality Control

The Certification Process

- Administrative Review
 - Application and Documentation Review
 - Includes review of complete technical data package and all user and training materials
 - Confirmation from Vendors that their EPB solution meets the standards
 - Mapping of EPB functionality with the standards
 - Upon successful completion of this review, VSTOP will ask Vendor to proceed to Lab Testing

The Certification Process

- National Laboratory Testing
 - Functional Configuration Audit (FCA)
 - Telecommunications/Compliance Testing
 - List of approved labs
 - Pro V & V Labs, Huntsville, AL
 - SLI Global Solutions, Denver, CO
 - Wyle (Now NTS) Labs, Huntsville, AL
 - Others may be added
 - VSTOP provides test data
 - Standard Reporting Template
 - No application fees to State; Vendor pays lab fees

The Certification Process

- Review of the Lab Report by VSTOP
 - Recommendation by VSTOP to SOS
 - Approve
 - Approve with conditions
 - Reject
- SOS makes final decision regarding certification
- Certification for a period up to 2 years

The Certification Process

- Acceptance Testing
 - Takes place when the equipment is delivered
 - County officials oversee testing
 - Vendor must demonstrate ability of product to communicate with SVRS
 - Failure to perform may result in certification being rescinded by SOS

Indiana EPB Certification Protocol: Some Technical Details

- Software, hardware and peripherals
- Test Specifications
- Indiana SVRS Test Data
 - SVRS Web Services Framework (WSF)
 - Vendors and Counties
- Security
- Test Report
- ECOs

Preliminary Assessment: The Good

- Five vendors certified
 - Robis
 - ES&S
 - Decision Support
 - KnowINK
 - Hart InterCivic
- Vendor Reviews Appeared to Proceed Smoothly
- Facilitated Collaboration
 - Other states
 - Labs
 - Vendors
- Evolutionary process
 - Expect Refinements
 - Recommended Legislative Changes
 - E.g., terminology: poll list v. poll book



Preliminary Assessment: The Bad

- SVRS Operator had not yet completed creating Web Service Framework Interface
 - VSTOP was nevertheless pushed to complete certification based on PROJECTED Specs
- This delay created confusion and need for continuous adjustments by vendors
- Delayed training of County Election Personnel



Preliminary Assessment: The Ugly

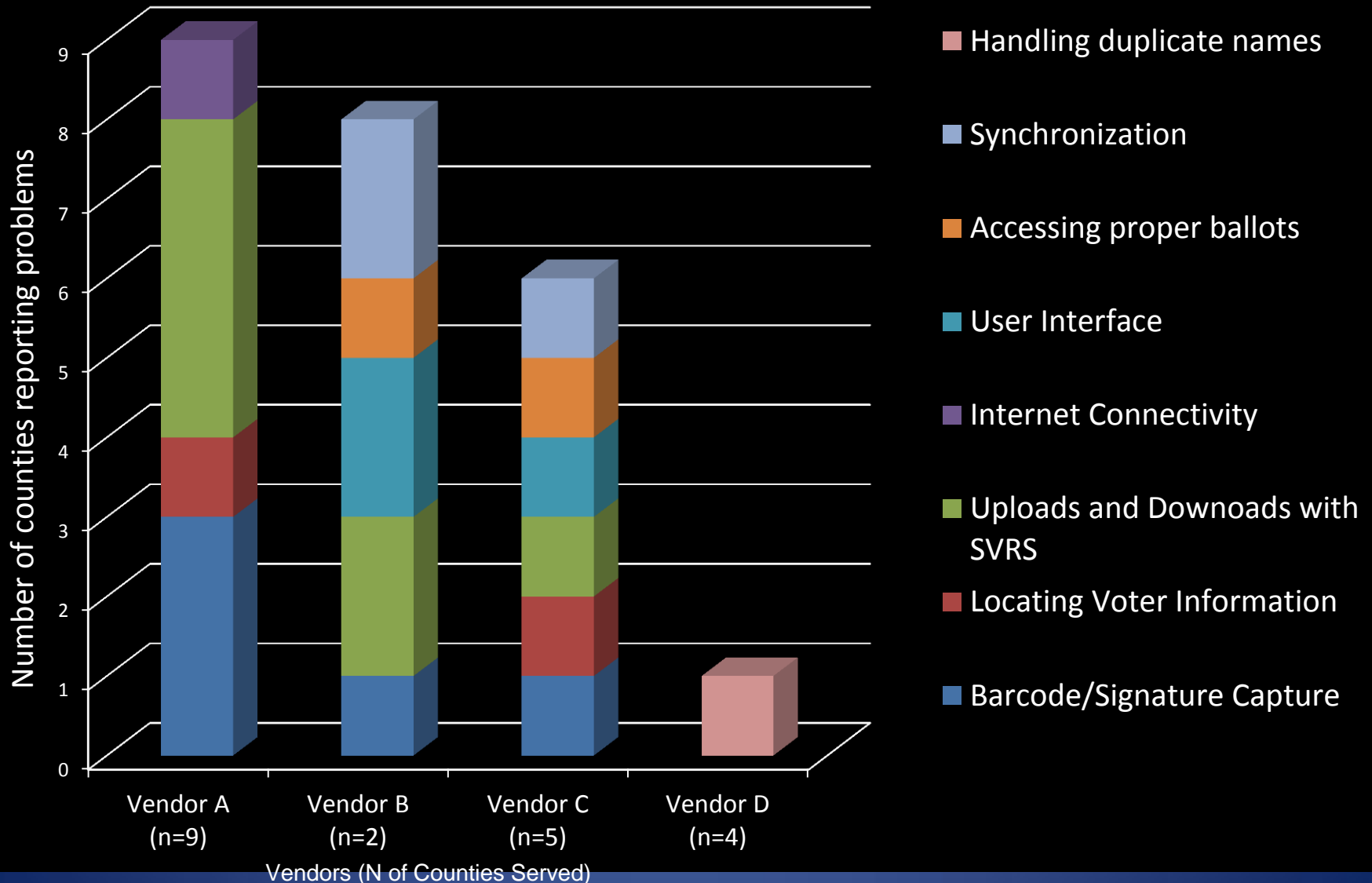


- Protocol established rigid requirements for peripherals necessitating vendors return to labs multiple times to certify each configuration. Counties' existing equipment not reusable
- Lack of readiness of SVRS web service and need for continual adjustment means software in field may not be identical to software originally certified
- Uncertainty about whether County Clerks understand acceptance test procedures. May have been performed in some case by vendors.

Follow-Up

- Revision of protocol
- Feedback & Discussion with SVRS
- Survey of clerks in field
 - 20 Counties utilizing EPBs Surveyed
 - 12 Counties Responding
 - 4 Makes of EPBs Represented

Responses from Counties



EPB Solution – Design & Implementation

- EPB solution that closely fulfills the requirements of the Indiana Code
IC 3-11-8-10.3
- Software that takes input from the voters' information files
- Voter identification and verification
- Generate and export report during and after the election

Application Description

- Two applications
 - Server application, run in the county office and operated by the county admin
 - Client application, run in a polling place and operated by a poll worker
- Voter information stored on the server as well as on the client machine

Application Description

- For testing the solution
 - Server at Ball State University (BSU)
 - Transmission through the BSU Virtual Private Network (VPN)
- Real-time report
 - details of the voters
 - the types of ballots issued

Voter Search

EPB Client for XYZ County Indiana


Voter Poll Data Reports

Last Name	First Name	Middle Name	Address	City	State	Zip	
SMITH	ROBERT	WILBsheERT	3405 S 10TH ST	LAFAYETTE	IN	479092919	
SMITH	RICK	L	824 S 28TH ST	LAFAYETTE	IN	479043307	
SMITH	THOMAS		3501 SOLDIERS HOME RD	WEST LAFAYETTE	IN	479069755	
SMITH	CHRISTIN	PAUL	755 CUMBERLAND AVE	WEST LAFAYETTE	IN	479061523	
SMITH	PHYLLIS		3501 SOLDIERS HOME RD	WEST LAFAYETTE	IN	479069755	

Select field to search by: Last Name

Voter Details

Voter Details

Name:	<input type="text" value="SMITH, CHRISTIN PAUL"/>	DOB:	<input type="text" value="1947-11-12"/>	
Address:	<input type="text" value="755 CUMBERLAND AVE"/>	ID Number:	<input type="text" value="8919133128"/>	
Precinct:	<input type="text" value="WABASH 15"/>	Sub Precinct:	<input type="text" value="1"/>	
Ballot Issued:	<input type="text" value="No"/>	Absentee:	<input type="text" value="No"/>	Signature: 
Provisional:	<input type="text" value="No"/>	Additional ID Required:	<input type="text" value="No"/>	
Comments:	<input type="text"/>			

Voter Report

EPB Client for XYZ County Indiana

Voter Poll Data Reports

First Name	Middle Name	Last Name	Address Line 1	City	State	Zip	Country	Absentee	Provisional
STACY	L	KING	37 RUSHGROVE CT	LAFAYETTE	IN	479098437	US	No	Yes
SCOTT	E	RICE	314 CASTLEWOOD CT	LAFAYETTE	IN	479057626	US	No	No
BRENDAN	MICHAEL	ROSE	5014 BRITANIA CT	LAFAYETTE	IN	479057826		No	No
PHYLLIS		SMITH	3501 SOLDIERS HOME RD	WEST LAFAYETTE	IN	479069755		No	No
ROBERT	B	WHITE	188 WOODS EDGE CT	WEST LAFAYETTE	IN	479065716		No	No
MICHAEL	EDWARD	WHITE	2103 EDGEWOOD DR	WEST LAFAYETTE	IN	479069686		No	No
LORI	A	WHITE	815 BROWN ST APT B	LAFAYETTE	IN	479011060	US	No	No

Refresh Export Report