From the Vendor Trace document or declaration, identify all documents that pertain to the Quality Assurance Program. Each submitted (Vol. 1, Sec. 1.1) Technical Data Package document (Vol. 2 Sec. 6.6) is reviewed (Vol. 1, Sec. 1.6.2.2).

Note about revisions: The first time a review form is completed, the form revision number is 01. As the review process continues, newer versions of vendor documents, or additional documents, will be submitted to close discrepancies. Each time new versions of documents are examined, the review form is saved with a new revision number. Save the form with the new revision (Save As) before you update the document names, versions and/or file names. Enter your name and date on the new revision.

Applicable TDP Documents table: List each applicable TDP document. Put the Title from inside the document in the first column, along with the version and date. Under "File name," copy the full document file name.

Trace Table: Verify whether the vendor correctly documented each applicable VVSG requirement listed in this template. Use the following notations to indicate results:

- **Traced** column: For each positive finding, enter the document number(s) corresponding to the **Applicable TDP Documents** Table below, with the section number(s) in each applicable document where the requirement is fulfilled. (Example: Doc. 2, Sec. 1.2)
- **Comments** column:
  o **"Y"** indicates that the document(s) fulfill the requirement.
  o **"N"** indicates that the document(s) do not fulfill the requirement.
  o **"P"** indicates that the document(s) partially fulfill the requirement
  o **"NT"** (not tested) indicates documents that are part of the system configuration but outside the scope of this certification review effort (only if not a full cert).
  o **"NS"** (not supported) indicates requirements that apply to features that are not supported in the configuration being tested (such as paper ballots).
  o Explain "**P**", "**N**", "**NT**" or "**NS**" findings here.
  o In addition, use the Comments column to enter any comments that would be helpful throughout the project.
  o **Discrepancies:**
    - List discrepancies in red.
    - A Documentation discrepancy is written when a VVSG requirement is not fulfilled or is partially fulfilled in the TDP.
    - An Informational discrepancy is written when the issue is outside the scope of the certification; Informational discrepancies are provided to the client but do not preclude certification.
    - Enter the discrepancy number of any discrepancies written (from the separate discrepancy report), with a short description in the Comments column.

Vendor:	**Hart InterCivic**	Reviewer(s):	Lesley Hoppert
Voting System:	**Verity 1.0**	Review Date:	2/16/2015

Applicable TDP Documents

Document Title (from cover pg), version, date	Doc #	File name
Quality Manual, D.02, 4/1/2013	#1	Quality Manual - 1000490 D02
Voting System Implementation And Maintenance Process Document, C.00, 2/19/2013	#2	Voting System Implementation and Maintenance 1000745 C00

Document Title (from cover pg), version, date	Doc #	File name
Supplier Qualification and Management Procedure, C.01, 3/6/2013	#3	Supplier Qualification and Management 1000563 C01
Verity Trace - Quality Assurance, 1/19/2015	#4	Verity Trace - Quality Assurance
Hardware Design and Developement Procedure, D.01, 03/07/2013	#5	Hardware Design Development Procedure - 1000513 D00
Verity 1.0 Technical Data Package Overview, A.12, 2/13/2015	#6	Verity 1.0 TDP Overview 4005511 A12
Hardware Verification and Validation Process, D.00, 3/7/2013	#7	Hardware Verification and Validation Process - 1000514 D00
VSTL Product Submission Procedure, D.01, 3/6/2013	#8	VSTL Product Submission Procedure - 1000565 D01
Software Test Design and Development Procedure, D.01, 2/13/2013	#9	Software Test Design Development - 1000508 D01
Verity - Operations PRD Ops/Services/Supply Chain Planning Document, Rev A.01, 12/11/2014	#10	Verity OPS-Services-SC Plan 4005302 A01

Trace Table

Req #	VVSG 2005 Testing Standards - Vol.2 unless otherwise specified	Traced	Comments
2	**Technical Data Package**		
2.1	**Scope**		
2.1.1	**Content and Format**		
2.1.1.1	**Required Content for Initial Certification** *(Indicate "*" if this document does not fall into the identified category of documentation.)*		
k.	At minimum, the TDP shall contain the following documentation: Quality assurance program;	Doc #1 - Entire doc	Y
2.1.1.3	**Format**		
	The requirements for formatting the TDP are general in nature; specific format details are of the vendor's choosing. The TDP shall include a detailed table of contents for the required documents, an abstract of each document and a listing of each of the informational sections and appendices presented. A cross-index shall be provided indicating the portions of the documents that are responsive to documentation requirements for	Doc #4 - Entire doc Doc #6 - Entire doc	Y

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	any item presented.		
2.1.3	**Protection of Proprietary Information**		
	The vendor shall identify all documents, or portions of documents, containing proprietary information not approved for public release. Any person or test agency receiving proprietary information shall agree to use it solely for the purpose of analyzing and testing the system, and shall agree to refrain from otherwise using the proprietary information or disclosing it to any other person or agency without the prior written consent of the vendor, unless disclosure is legally compelled.	Doc #6 identifies the proprietary documents	Y
2.12	**Quality Assurance Program**		
	Vendors shall submit a Quality Assurance Program that addresses the quality assurance requirements of Volume I, Section 8. This plan shall describe all policies, processes and procedures employed by the vendor to ensure the overall quality of the system for its initial development and release and for subsequent modifications and releases. This information is particularly important to support the design of test plans by the accredited test lab. A well-organized, robust and detailed Quality Assurance Program will enable the accredited test lab to more readily determine the nature and scope of tests needed to test the system appropriately. The Quality Assurance Program shall, at a minimum, address the topics indicated below.	Doc #1 - Entire doc	Y
2.12.1	**Quality Assurance Policy**		
a.	The vendor shall provide a description of its organizational policies for quality assurance, including: Scope and nature of Quality Assurance activities;	Doc #1 - Entire doc Doc #2 - Entire doc	Y
b.	The vendor shall provide a description of its organizational policies for quality assurance, including: Breadth of application of vendor's policy and practices to the voting system.	Doc #1 - Entire doc Doc #2 - Entire doc Doc #3 - Entire doc	Y
2.12.2	**Parts & Materials Tests**		

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	The vendor shall provide a description of its practices for parts and materials tests and examinations that meet the requirements of Volume I, Subsection 8.5.	Doc #5 - Entire doc Doc #7 - Entire doc	Y
Vol. 1, 8.5	**Parts and Materials Special Tests and Examinations**		
a	In order to ensure that voting system parts and materials function properly, vendors shall: Select parts and materials to be used in voting systems and components according to their suitability for the intended application. Suitability may be determined by similarity of this application to existing standard practice or by means of special tests	Doc #5 - Entire doc Doc #7 - Sections 4.1-4.2	Y
b	In order to ensure that voting system parts and materials function properly, vendors shall: Design special tests, if needed, to evaluate the part or material under conditions accurately simulating the actual voting system operating environment	Doc #7 - Sections 4.1-4.2	Y
c	In order to ensure that voting system parts and materials function properly, vendors shall: Maintain the resulting test data as part of the quality assurance program documentation	Doc #5 - Entire doc Doc #7 - Entire doc	Y
2.12.3	**Quality Conformance Inspections**		
	The vendor shall provide a description of its practices for quality conformance inspections that meet the requirements of Volume I, Subsection 8.6.		
a.	For each test performed, the record of tests provided shall include: Test location;	Doc #10 - Section 6.12.3	Y - DISC **VTY-34** The QA Process documentation does not specify that the quality conformance inspection records shall include the test location, and SLI has not received these test/inspection records. **CLOSED**, L. Hoppert, 12/15/14: Traced to doc "Verity OPS-Services-SC Plan 4005302 A01" section 6.12.3

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b.	For each test performed, the record of tests provided shall include: Test date;	Doc #10 - Section 6.12.3	Y - DISC **VTY-35** The QA Process documentation does not specify that the quality conformance inspection records shall include the test date, and SLI has not received these test/inspection records. **CLOSED**, L. Hoppert, 12/15/14: Traced to doc "Verity OPS-Services-SC Plan 4005302 A01" section 6.12.3
c.	For each test performed, the record of tests provided shall include: Individual who conducted the test;	Doc #10 - Section 6.12.3	Y - DISC **VTY-36** The QA Process documentation does not specify that the quality conformance inspection records shall include the individual who conducted the test, and SLI has not received these test/inspection records. **CLOSED**, L. Hoppert, 12/15/14: Traced to doc "Verity OPS-Services-SC Plan 4005302 A01" section 6.12.3
d.	For each test performed, the record of tests provided shall include: Test outcomes.	Doc #10 - Section 6.12.3	Y - DISC **VTY-37** The QA Process documentation does not specify that the quality conformance inspection records shall include the test outcomes, and SLI has not received these test/inspection records. **CLOSED**, L. Hoppert, 12/15/14: Traced to doc "Verity OPS-Services-SC Plan 4005302 A01" section 6.12.3
Vol. 1, 8.6	**Quality Conformance Inspections**		
a.	To meet the conformance inspection requirements the vendor or manufacturer shall: Inspect and test each voting system or component to	Doc #7 - Entire doc (Hardware) Doc #9 - Entire doc (Software)	Y

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	verify that it meets all inspection and test requirements for the system		
b.	To meet the conformance inspection requirements the vendor or manufacturer shall: Deliver a record of tests or a certificate of satisfactory completion with each system or component		Y - DISC **VTY-38** Unable to confirm that the manufacturer shall deliver a record of tests or a certificate of satisfactory completion with each system or component. SLI has not yet received the test and verification specification or test records. Update 12/15/14: Still open - Vendor response traces this to Doc #10 section 6.12.3, which does not address whether the vendor shall deliver [to the VSTL] a record of tests or a certificate of satisfactory completion with each system or component **Update 1/27/15:** Still open - SLI has not received the artifacts required to be delivered: a record of tests or a certificate of satisfactory completion with each system or component. **CLOSED** 2/16/15, L. Hoppert: Hardware component test reports were delivered with the hardware portion of the TDP. SLI was given access to Hart's HPQC system to review the software tests.
2.12.4	**Documentation**		
	The vendor shall provide a description of its practices for documentation of the system and system development process that meet the requirements of Volume I, Subsection 8.7.	Doc #8, Section 4.1	Y
Vol. 1, 8.7	**Documentation**		
	Vendors are required to produce documentation to support the independent testing required for their products to be granted national certification. Volume II, Section 2, Description of the Technical Data Package, identifies the documentation required for the national certification testing process. This documentation shall be sufficient to serve the needs of the test lab, election	Entire TDP	Y - NOTE: SLI has not yet received the documents for two of these areas as of 10/8/2014, but Hart InterCivic has indicated their intention to deliver them.

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	officials, and maintenance technicians. It shall be prepared and published in accordance with standard commercial practice for information technology and electronic and mechanical equipment. It shall include, at a minimum, the following: • System overview • System functionality description • System hardware specification • Software design and specifications • System security specification • System test and verification specification • System operations procedures • System maintenance procedures • Personnel deployment and training requirements • Configuration management plan • Quality assurance program • System change notes		

End of Document