From the Vendor Trace document or declaration, identify all documents that incorporate the Configuration Management Plan. Each submitted (Vol. 1, Sect. 1.1) Technical Data Package document (Vol.2 Sect. 6.6) is reviewed (Vol. 1, Sect. 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 Reviewer 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)
- **Y, N, NT or NS** (Findings) column:
  - **"Y"** indicates that the document(s) fulfill the requirement.
  - **"N"** indicates that the document(s) do not fulfill the requirement.
  - **"NT"** (not tested) indicates requirements that are applicable to the system configuration but outside the scope of this certification review effort (only for a partial or delta cert).
  - **"NS"** (not supported) indicates requirements that apply to features that are not supported in the configuration being tested (such as paper ballots).
- **Comments** column:
  - Explain "**N**", "**NT**" or "**NS**" findings here.
  - In addition, use the Comments column to enter any comments that would be helpful throughout the project.
  - **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 :	**ES&S**	Reviewer(s):	M. Schirmer
Voting System:	**EVS 5.2.3.0**	Review Date:	11/2/2017, 11/3/2017 1/2/2018 – corrected file names, LH

Applicable TDP Documents

Document Title (from cover pg), version, date	Doc #	File name
Technical Documentation Program Revision 1.0 10/20/2017	#1	EVS5230_DOC_P_1000_TDProgram
Configuration Management Program Revision 2.1 4/19/2016	#2	ESSSYS_CM_P_1000_CM Program
	#3	

Document Title (from cover pg), version, date	Doc #	File name
	#4	
	#5	

Trace Table

Req #	VVSG 2005 – Vol. 2 unless otherwise specified	Traced	Y, N, NT or NS	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.)*			
j.	At minimum, the TDP shall contain the following documentation: Configuration management plan;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
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 any item presented.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
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.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.

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2.11	**Configuration Management Plan**			
	Vendors shall submit a Configuration Management Plan that addresses the configuration management requirements of Volume I, Section 9. This plan shall describe all policies, processes, and procedures employed by the vendor to carry out these requirements. Information submitted by the vendor shall be used by the accredited test lab to assist in developing and executing the system certification test plan. This information is particularly important to support the design of test plans for system modifications. A well-organized, robust and detailed Configuration Management Plan will enable the accredited test lab to more readily determine the nature and scope of tests needed to fully test the modifications. The Configuration Management Plan shall contain the sections identified below.			
2.11.1	**Configuration Management Policy**			
	The vendor shall provide a description of its organizational policies for configuration management, addressing the specific requirements of Volume I, Subsection 9.2.			
a.	These requirements pertain to: Scope and nature of configuration management program activities;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: Breadth of application of vendor's policy and practices to the voting system.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
2.11.2	**Configuration Identification**			
	The vendor shall provide a description of the procedures and naming conventions used to address the specific requirements of Volume I, Section 9.3.			
a.	These requirements pertain to: Classifying configuration items (encompasses all system components) into categories and subcategories;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: Uniquely numbering or otherwise identifying configuration items;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.

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c.	These requirements pertain to: Naming configuration items.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
Vol 1, 9.3.2	**Versioning Conventions**			
	When a system component is part of a higher level system element such as a subsystem, the vendor shall describe the conventions used to:			
a.	Identify the specific versions of individual configuration items and sets of items that are incorporated in higher level system elements such as subsystems			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	Uniquely number or otherwise identify versions			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c.	Name versions			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
2.11.3	**Baseline and Promotion**			
	The vendor shall provide a description of the procedures and naming conventions used to address the specific requirements of Volume I, Subsection 9.4.			
a.	These requirements pertain to: Establishing a particular instance of a system component as the starting baseline;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: Promoting subsequent instances of a component to baseline throughout the system development process for the first complete version of the system submitted for testing;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c.	These requirements pertain to: Promoting subsequent instances of a component to baseline status as the component is maintained throughout its life cycle until system retirement (i.e., the system is no longer sold or maintained)			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
2.11.4	**Configuration Control Procedures**			
	The vendor shall provide a description of the procedures			

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	used by the vendor to approve and implement changes to a configuration item to prevent unauthorized additions, changes, or deletions to address the specific requirements of Volume I, Subsection 9.5.			
a.	These requirements pertain to: Developing and maintaining internally developed items;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: Developing, acquiring and maintaining third-party items;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c.	These requirements pertain to: Resolving internally identified defects;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
d.	These requirements pertain to: Resolving externally identified and reported defects.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
2.11.5	**Release Process**			
	The vendor shall provide a description of the contents of a system release, and the procedures and related conventions by which the vendor installs, transfers, or migrates the system to accredited voting system testing laboratories and customers to address the specific requirements of Volume I, Subsection 9.6.			
a.	These requirements pertain to: A first release of the system to an accredited test lab;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: A subsequent maintenance or upgrade release of a system, or particular components, to an accredited test lab;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c.	These requirements pertain to: The initial delivery and installation of the system to a customer;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
d.	These requirements pertain to: A subsequent maintenance or upgrade release of a system, or particular components, to a customer, including confirmation that the installed version of the			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.

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	system matches exactly the certified system version			
2.11.6	**Configuration Audits**			
	The vendor shall provide a description of the procedures and related conventions for the two audits required by Volume I, Subsection 9.7.			
a.	These requirements pertain to: Physical configuration audit that verifies the voting system components submitted for certification to the vendor's technical documentation;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to: Functional configuration audit that verifies the system performs all the functions described in the system documentation.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
Vol. 1, 9.7.1	**Physical Configuration Audit**			
	The Physical Configuration Audit is conducted by the accredited test lab to compare the voting system components submitted for certification to the vendor's technical documentation. For the PCA, a vendor shall provide:			
a	Identification of all items that are to be a part of the software release			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b	Specification of compiler (or choice of compilers) to be used to generate executable programs			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c	Identification of all hardware that interfaces with the software			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
d	Configuration baseline data for all hardware that is unique to the system			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
e	Copies of all software documentation intended for distribution to users, including program listings, specifications, operations manual, voter manual, and maintenance manual			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
f	User acceptance test procedures and acceptance criteria	Doc #1 refers to the Manufacturing Quality Assurance Program (EVS	Y	

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		5230_M_P_1100_MNFQAPROGRAM Rev 1.1 10/23/2017 Sec 8.1 EVS Manufacturing Acceptance Checklists- EVOTE 1"0_L_AcptChcklst_001RevC		
g	Identification of any changes between the physical configuration of the system submitted for the PCA and that submitted for the FCA, with a certification that any differences do not degrade the functional characteristics			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
h	Complete descriptions of its procedures and related conventions used to support this audit by:			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
i	Establishing a configuration baseline of the software and hardware to be tested			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
ii	Confirming whether the system documentation matches the corresponding system components			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
Vol. 1, 9.7.2	**Functional Configuration Audit**			
	The Functional Configuration Audit is conducted by the accredited test lab to verify that the system performs all the functions described in the system documentation. The vendor shall:			
a	Completely describe its procedures and related conventions used to support this audit for all system components			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b	Provide the following information to support this audit:			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
i	Copies of all procedures used for module or unit testing, integration testing, and system testing		Y	DISC #2 Missing copies of all procedures used for module or unit testing, integration testing and system testing pertaining to the optimization of the imaging of activation barcodes and EEPROM management

(The optimization would require a re- |

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				test for the reading of barcodes and inadvertent clearing of serial numbers) Received Test Rails for testing on 11/1/2017 – MLS
ii	Copies of all test cases generated for each module and integration test, and sample ballot formats or other test cases used for system tests		Y	DISC #3 Missing copies of all test cases and sample ballot formats criteria pertaining to the optimization of the imaging of activation barcodes and EEPROM management (The optimization would require a re-test for the reading of barcodes and inadvertent clearing of serial numbers) Received Test Rails for testing on 11/1/2017 – MLS As per John P. – Sample ballots were received with the equipment delivery.
iii	Records of all tests performed by the procedures listed above, including error corrections and retests		Y	DISC #4 Missing records of all tests performed, including error corrections and retests pertaining to the optimization of the imaging of activation barcodes and EEPROM management (The optimization would require a re-test for the reading of barcodes and inadvertent clearing of serial numbers) Received Test Rails for testing on 11/1/2017 - MLS
2.11.7	**Configuration Management Resources**			
	The vendor shall provide a description of the procedures and related conventions for maintaining information about configuration management tools required by Volume I, Subsection 9.8.			

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a.	These requirements pertain to information regarding: Specific tools used, current version, and operating environment;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
b.	These requirements pertain to information regarding: Physical location of the tools, including designation of computer directories and files;			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.
c.	These requirements pertain to information regarding: Procedures and training materials for using the tools.			Not reviewed. No substantive changes from EAC certified EVS 5220 documentation.

End of Document