

ES&S Acceptance Testing Warehouse Process

| Process # | Description  | Owner                | Related Forms                |
|-----------|--|----------------------|------------------------------|
| 1         | <p><b><i>Send Purchase Orders to Vendor(s) in Order Received</i></b></p> <p>OGS – Finance coordinates all voting system purchasing for the State of New York. OGS – Finance prepares Purchase Orders (POs) for each County’s voting system request based on the order received (time stamped). OGS – Finance will send PO to the appropriate approved voting system vendor.</p>  | OGS – Finance        | County Purchase Orders (POs) |
| 2         | <p><b><i>Prepare Voting Systems for Acceptance Testing Delivery</i></b></p> <p>Voting system vendor will receive POs from OGS – Finance. The voting system vendor will prepare a shipment for delivery to the New York State Acceptance Testing Warehouse (ATW) NYS Campus Building #3.</p>  | Voting System Vendor | POs                          |
| 3         | <p><b><i>Coordinate Delivery with SBOE (shipment will be based on PO number sequence)</i></b></p> <p>Voting system vendor will contact SBOE to coordinate the shipment of voting systems to the ATW. The delivery schedule will be based on PO number sequence.</p> <p>Each vendor that committed to delivering 10% of each counties order will be required to follow the OGS county ranking.</p> <p>For vendors who did not commit to the 10% delivery, such vendors will be required to follow the OGS ranking for filling orders.</p> | Voting System Vendor | POs                          |
| 4         | <p><b><i>Ship voting systems to NYS Campus Building #3 (warehouse)</i></b></p> <p>Voting system vendor will ship voting system to ATW based on the requirements from VVSG.</p>   | Voting System Vendor |                              |
| 5         | <p><b><i>Take delivery of voting systems at acceptance testing warehouse</i></b></p>   | Voting System Vendor |                              |

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|           | Voting system vendor will manage all aspects of delivery. SBOE must be informed on the date and time of each delivery.  |   |                               |
| 6         | <p><b><i>Unload voting systems from truck and place in vendor area of warehouse</i></b></p> <p>Voting system vendor will manage the unloading of every voting system entering the ATW.</p>  | Voting System Vendor / Shipping company |                               |
| 7         | <p><b><i>Unpack, setup, apply county identification sticker and conduct initial inspection of voting systems</i></b></p> <p>Voting system vendor will prepare each voting system for acceptance testing. The vendor has the following responsibilities upon arrival:</p> <ul style="list-style-type: none"> <li>• Unpack / Uncrate voting system</li> <li>• Setup</li> <li>• Apply county identification sticker that designates which County it will be shipped to at the completion of acceptance testing</li> <li>• Conduct initial inspection</li> <li>• Ensures that machine turns on</li> </ul> | Voting System Vendor                    | Vendor Verification Form      |
| 8         | <p><b><i>Conduct inventory of voting systems in testing area</i></b></p> <p>SBOE will inventory each voting system. SBOE will:</p> <ul style="list-style-type: none"> <li>• Verify Master Serial Number</li> <li>• Verify County Serial Number</li> <li>• Perform Inventory – Verify items are present</li> <li>• Conduct final inspection for physical damage</li> </ul>   | SBOE Campus                             | Inventory and Inspection Form |
| 9         | <p><b><i>Randomly select BMD(s) for comprehensive functional testing.</i></b></p> <p>SBOE will randomly select required number of BMD(s) per delivery to conduct comprehensive functional testing and will place a sticker for clear</p>  | SBOE Campus                             |                               |

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|           | identification.   |             |                               |
| 10        | <p><b><i>Conduct Hash Check and Scan Bar Code(s)</i></b></p> <p>SBOE conducts hash check to ensure that the system has the same firmware / software that was authorized by the ITA.</p> <p>SBOE scans bar codes to log into inventory tracking system.</p>  | SBOE Campus | Hash Check Procedures         |
| 11        | <p><b><i>Pass</i></b></p> <p>Firmware verification decision point Pass / Fail.</p>  | SBOE Campus | Firmware Verification Form    |
| 12        | <p><b><i>Return to Vendor</i></b></p> <p>SBOE will return the voting system to the vendor if it doesn't pass the hash check. The voting system vendor will have to correct the problem before the voting system moves forward with any acceptance testing. The contract allows the vendor 15 days to correct deficiency / issue. The vendor may elect to correct the deficiency / issue onsite in their designated area of the ATW or send system offsite for repair. If the vendor elects to send the system offsite the system will have to start the acceptance testing process from the beginning upon return to the ATW.</p> | SBOE Campus | Acceptance Testing Issue Form |
| 13        | <p><b><i>Attach security seals (if appropriate)</i></b></p> <p>SBOE will attach tamper resistant security seals to signal that the voting system has passed the hash check verification and will be scanned into the inventory tracking system. The seals will be placed on the systems components that contain the firmware / software. If the seals show any evidence of being tampered with the voting system will be sent back for another hash check test. These seals will be placed on voting systems according to vendor provided procedures.</p>   | SBOE Campus | Firmware Verification Form    |

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| 14        | <p><b><i>Place results in voting system acceptance testing packet</i></b></p> <p>SBOE will signoff on the hash check verification form.</p>   | SBOE                     | Firmware Verification Form   |
| 15        | <p><b><i>Determine what voting systems are assigned to each temp staff worker</i></b></p> <p>SBOE will assign voting systems to each temp staff that has the appropriate training. SBOE will inform the temp staff to which functional test will be performed: Comprehensive or Standard functional test.</p> | SBOE                     |                              |
| 16        | <p><b><i>Conduct Acceptance Testing per SBOE provided checklist</i></b></p> <p>Temp staff will conduct acceptance test by completing each step listed on the checklist.</p>   | Temp Staff               | Functional Verification Form |
| 17        | <p><b><i>Pass Acceptance Testing</i></b></p> <p>Acceptance Testing Decision Point – Pass / Fail</p>   | Temp Staff               |                              |
| 18        | <p><b><i>Notify Onsite SBOE staff to review reason for failure</i></b></p> <p>Temp staff must immediately notify SBOE staff if a voting system has failed any step on the checklist.</p>  | Temp Staff / SBOE Campus |                              |
| 19        | <p><b><i>Determine action required to mitigate failure issue</i></b></p> <p>SBOE will review the issue with designated Temp Staff involved. SBOE will determine if it is a true system failure or a training issue.</p>   | SBOE Campus              |                              |
| 20        | <p><b><i>Retrain staff on Acceptance Testing Procedures</i></b></p> <p>SBOE will retrain temp staff if the failure was caused by a training issue. If</p>   | SBOE Campus              |                              |

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|           | the Temp Staff is unable to conduct the acceptance test the SBOE will seek resolution with temp agency per contract agreement.   |               |                        |
| 21        | <p><b><i>Notify vendor, attach sticker and arrange to send system back</i></b></p> <p>SBOE will notify the onsite vendor representative of deficiency / issue and send the system to the vendor area of the warehouse. The system will have a sticker placed on the voting system designating that the system has failed acceptance testing. This allows for easy identification of all parties involved in the acceptance testing process. The vendor may elect to correct the deficiency / issue onsite in their designated area of the ATW or send system offsite for repair. If the vendor elects to send the system offsite the system will have to start the acceptance testing process from the beginning upon return to the ATW.</p> | SBOE Campus   | Issue Form             |
| 22        | <p><b><i>Compile and Sign-off on Acceptance Testing Packet</i></b></p> <p>Temp staff will gather all required documentation and sign all required documents verifying a successful acceptance test. The temp staff will place all materials into a packet designated by SBOE.</p>  | Temp Staff    | Acceptance Test Packet |
| 23        | <p><b><i>Return packet and BMD to SBOE</i></b></p> <p>Once the packet is complete the temp staff will deliver the packet and BMD to SBOE for their final review.</p>   | Temp Staff    | Acceptance Test Packet |
| 24        | <p><b><i>Review acceptance testing packet for completeness</i></b></p> <p>SBOE reviews acceptance testing packet for completeness.</p> <ul style="list-style-type: none"> <li>• Review all forms for accuracy and signatures</li> <li>• Review ballots cast for accuracy</li> </ul>  | SBOE - Campus | Acceptance Test Packet |
| 25        | <p><b><i>Attach Final Security Seals and Scan Bar Codes</i></b></p>  | SBOE - Campus | Acceptance Test        |

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|           | SBOE will attach final security seals and their associated serial numbers will be scanned into the inventory tracking system.   |                      | Packet                           |
| 26        | <p><b><i>Sign-off on the completion of the acceptance test</i></b></p> <p>SBOE will review the completed packet to ensure that all tests have been conducted and have received a ‘pass’. SBOE signs all necessary paper work confirming that the system has passed the acceptance test. SBOE places the acceptance test packet in the ballot box containing the following:</p> <ul style="list-style-type: none"> <li>• a copy of the checklist.</li> <li>• a copy of the county receipt form</li> </ul>          | SBOE - Campus        | Acceptance Test Packet           |
| 27        | <p><b><i>Place acceptance testing packet into secure storage</i></b></p> <p>SBOE retains acceptance testing packet according to NYS Rules and Regulations and places packet in secured storage.</p>   | SBOE - Steuben       | Acceptance Test Packet           |
| 28        | <p><b><i>Notify OGS – Finance that County order has been fully accepted</i></b></p> <p>SBOE notifies OGS – Finance that a county order has been fully accepted by completing the Receiving copy of the purchase order including the date, number of voting systems being accepted and signature or accepting party. Copies of the Receiving copy of the PO should be made to facilitate reporting of receiving of partial orders. This notification allows OGS – Finance to proceed with the payment process.</p> | SBOE - Steuben       | Receiving copy of Purchase Order |
| 29        | <p><b><i>Send voting system back to vendor area for packing</i></b></p> <p>SBOE sends voting system back to vendor area to be prepared for packing.</p>   | SBOE - Campus        |                                  |
| 30        | <p><b><i>Prepares voting system for shipment to county</i></b></p>  | Voting System Vendor |                                  |

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|           | Voting system vendor prepares voting system for shipment.   |                      |               |
| 31        | <p><i>Coordinates shipment with county per contract</i></p> <p>Voting system vendor will manage all aspects of shipment. OGS – Finance and SBOE must be informed on the date and time of each shipment. Voting system vendor will coordinate the transfer of ownership from vendor to county.</p> | Voting System Vendor | Contracts     |