



JON HUSTED
OHIO SECRETARY OF STATE

180 EAST BROAD STREET, 16TH FLOOR
COLUMBUS, OHIO 43215 USA
TEL: (677) 767-6446 FAX: (614) 644-0649
WWW.SOS.STATE.OH.US

Request for Proposals

UOCAVA Ballot Delivery & Tracking System

I. INTRODUCTION

The Ohio Secretary of State's Office (SOS) has been awarded grant funds from the Federal Voting Assistance Program (FVAP) as part of FVAP's Electronic Absentee Systems for Elections (EASE) Grants (Grant Solicitation #HQ0034-FVAP-11-BAA-0001, reposted under H98210-BAA-11-0001). The purpose of the grant is to provide funds to fulfill a public purpose of support by improving the voting experience of voters under the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA), reduce voting impediments faced by them, and stimulate the development of innovative approaches to absentee voting by UOCAVA voters.

II. PURPOSE OF GRANT

The SOS is charged with administering elections in Ohio through a partnership with the state's 88 county boards of elections. Improving access and opportunity for Military and Overseas voters is one aspect of this responsibility.

The purpose of this document is to describe the requirements for a vendor to submit a proposal for the State of Ohio's UOCAVA Ballot Delivery and Tracking system (the System) as part of the Federal Voting Assistance Program's Electronic Absentee System for Elections (EASE) Grant. The purpose of the System is to provide automated service to Ohio's counties and UOCAVA voters for the delivery and marking of a blank ballot and transcription of that ballot upon receipt at the election office. The vendor must have a product that can interface with Ohio's five voter registration systems, four voting system vendor products, and other county-specific requirements. Additionally, Ohio's grant focuses on the collection of data from the UOCAVA voting process so that the SOS can identify those areas that need continued improvement.

The System will be used from the 2012 general election through the 2016 Presidential Election. The System must be operational for all federal, state, and local elections that

occur during this time period. All data collection requirements apply for all elections that occur during this time period as well.

III. GRANT APPLICATION PROCESS

The SOS invites proposals under a competitive, semi-formal, RFP process, and will award the grant to the most qualified vendor per the requirements of this RFP.

All RFP responses and/or questions should be sent or emailed to the following contact information:

EASE Grant RFP
Ohio Secretary of State
c/o Matt Damschroder, State Election Director
180 E. Broad St., Suite 1500, Columbus, OH 43215
EASE@ohiosecretaryofstate.gov

The RFP responses should be divided into two separate submissions:

1. Functional/Administrative Proposal – Must cover the requirements outlined in sections IV and V of this RFP.
2. Cost Proposal – Must cover the requirements outlined in section VI of this RFP.

The two submissions should be submitted as separate documents under separate cover sheets.

The Administrative / Functional Proposals will be scored as follows:

- Section IV: Administrative Requirements (30 pts)
- Section V: Functional Requirements (70 pts)

The Cost Proposal will be evaluated separately from the Administrative/Functional proposal. The scores of the Administrative/Functional review will be combined with the cost proposal review in order to determine the best value for the State of Ohio.

All responses to this RFP must be received by this office by COB **February 10, 2012**. Any RFP responses submitted after that date will not be accepted.

Once all RFP responses have been evaluated and a vendor has been selected the SOS will notify the selected vendor and begin the process of negotiating a contract with that vendor. All prospective vendors should be aware of the payment information below:

- Vendor will be paid upon presentation of a valid invoice.
- Invoices may be sent through e-mail or regular mail.
- SOS will pay a valid invoice within 30 days.
- Payments will be made based on specific deliverables.
- Payment will be made following verification that work was performed/completed

The SOS is subject to the requirements of the Ohio Public Records Act, R.C. § 149.43. By applying, the applicant indicates that it understands and agrees that information and other materials submitted in response to this RFP or in connection with any agreement that results from this RFP may be subject to disclosure as a public record, except where protected from disclosure by applicable state and/or federal laws.

The SOS will not reimburse any expenses incurred by the applicant in submitting a response to this RFP.

The SOS reserves the right to reject any or all RFP responses, in whole or in part. The office also reserves the right to advertise for new responses, abandon the need for such services and to cancel the RFP if it is in the best interest of this office.

The SOS reserves the right to contact an applicant for more information or clarification about a proposal during the evaluation process.

The successful applicant will have the opportunity to enter into further negotiations with the SOS concerning the terms and conditions of the grant award, including but not limited to financial reporting and auditing requirements. The grant award is conditional upon the parties' successful negotiation of a written agreement concerning the same.

Applicants may not communicate with any SOS staff member or proposal reviewer concerning this RFP, except through the e-mail address listed above, until an applicant is selected and an agreement is executed.

Any failure to meet a deadline may result in the SOS, in its sole discretion, refusing to consider the applicant's proposal.

IV. ADMINISTRATIVE REQUIREMENTS

In its response to the RFP, each applicant vendor should provide the following information concerning its staffing, qualifications, and financial stability:

- The vendor must provide their balance sheet for the last three years.
- The vendor must produce audited financials from any audits conducted by third party auditors over the last three years.
- The vendor must show a work breakdown structure for this project.
- The vendor must provide resumes for all key personnel who will work on the project.
- The vendor must list five references. The references must be jurisdictions that have successfully used the vendor's technology that will be utilized for this project.
- The vendor must list all public sector customers they have executed contracts with for similar products and services as to be provided for this project within the last three years. This list should include an indication of any public sector

customers the vendor has executed a contract with that did not receive the product or services and the reason why services were not provided.

- The vendor must provide a specific point of contact for all references provided. The point of contact must have a working knowledge of the project referenced.
- The vendor must list all certifications or qualifications they (including any partners or system developers outside of the submitting company) have received from an official entity. These can include EAC, FVAP, NIST, ISO, ANSI or other certifications.
- Vendor must disclose any pending litigation filed by or against the vendor relating to the election systems or services to be provided.

V. FUNCTIONAL REQUIREMENTS

The System has certain functional requirements, as described below. In response to the RFP, each applicant vendor should address, in detail, how its proposal meets those requirements:

Voter registration

- The System must be able to automate the import of necessary data from the voter registration systems.
- The System must be able to identify the correct ballot style for a voter based on the street files from the voter registration.
- The System must help voters fill in the federal postcard application (“FPCA”) form and pre-populate as much information as possible in the return form.
- The System must create a barcode of the information on the pre-populated FPCA so that the SOS office or a local election office can scan the FPCA information and it is loaded into the VR system.
- The System must track and provide statistics on registration forms including FPCA’s and FWAB’s accessed, filled, and completed. This information will be tracked against Ohio’s Statewide Registration Database.
- The System must be able to transform the data automatically read from the FPCAs into several formats (XML, CSV, etc.) for election official to automate loading into the voter registration system.

Pre-election requirements

- The System must allow the implementation of all election processes according to Ohio’s election laws and regulations.
- The System must include a ballot translation tool that is able to automate the import of any election information extracted from the jurisdiction’s current election management systems.

- The ballot translation tool must convert election information from the jurisdiction's election management system or VR System to a data format based on the IEEE P1622 format for presentation as an online ballot.
- The System must import all the election definition information from the existing EMS system.
- The System must import all the election definition information from the existing VR systems.

Pre-election Testing & Logging

- The System must support Logic & Accuracy testing and the approval of the Election Officials before going live.
- The vendor must provide technical support for pre-election logic and accuracy testing. This testing will include the ability for a jurisdiction to load blank ballots online. Mark the ballots online. Print the ballots. Scan the barcodes on the ballot in order to transcribe the contents of the ballot, and tabulate the votes as scanned. Election officials have to be able to perform L&A on every ballot style and return materials including the contents of the ballot secrecy envelope.
- The System must allow an independent auditor to check if the election information used by the voting platform has been approved by the Election Board.
- The System must be hosted on a secured environment and accessible to auditors upon request to do on-site verification of the applications running on the servers and the data stored in the database.
- The system must provide a means for the State of Ohio to validate that critical applications have not been modified after pre-election testing and verification is completed.
- The System must log all events. These events include but are not limited to the following:
 - Log in and Log out. Must be tracked by class of user (e.g. voter, system admin, etc.)
 - Failed log in attempts.
 - Blank ballots downloaded.
 - Completed ballots printed.
 - Blank FPCA's downloaded.
 - Completed FPCA's printed.
 - Page loading failures.

Quality Assurance

- Please provide vendor process for Quality Assurance Testing. QA processes descriptions should include QA processes for any partners or system developers working with the submitting vendor.

- Vendor must have a defined organizational unit dedicated to Quality Assurance processes. Please provide a list of Quality Assurance personnel and their certifications.

Voting Process Requirements

- Voters must not be required to manually install any specific election software or hardware on their personal computer to access the voting process (with the exception of Adobe Acrobat).
- The System must allow invalidating voters before and during the voting process (e.g. the voter's authentication mechanism has been compromised). If the invalidation is done on a voter who already cast a ballot, it must be tagged as invalid and rejected from any further processing if received.
- Contests must appear one at a time. Voters must not have to scroll to read a contest unless the SOS approves the formatting with scrolling.
- The System must enable configuration of ballot rotation according to Ohio Revised Code.
- The System must enable configuration of write-ins according to Ohio Revised Code.
- Voting options must support the use of multiple languages. Specifically the System must support presentation, marking, and printing of the ballot in English and Spanish.
- The System must clearly distinguish between selected voting options from non-selected ones.
- The System must allow voters to download blank ballots.
- The System must allow voters to verify their ballot selections before downloading and printing their ballot.
- The System must provide the voter with the option of modifying their selections by navigating directly to the appropriate race from the review screen. After the voter has reviewed the race, regardless whether a revision was made, the System must permit the voter to return to the review screen without requiring the voter to re-navigate through other races.
- The System must generate for the voter all the return materials pre-filled with the required information about the voter, the county and the election official's office. Return materials includes the completed ballot, ballot security envelope including signature and date line, and mailing envelope.
- The voter's voting information (e.g. voting address, name, and mailing address) must be printed in the form of a bar code on the ballot secrecy envelope in order to allow for automated check-in of the voter's ballot without needing to open the ballot secrecy envelope.
- The System must track any status updates in the VR system that are relevant for the tracking information expected by the voter.
- The System must enable automated ballot transcription for the county Board of Elections. This automated transcription can be accomplished either by scanning a barcode and printing on a ballot-on-demand printer, or by scanning a barcode

which transcribes the ballot content onto a memory device which can then be loaded into the election management system.

- The automated process must prevent the processing of the same ballot more than once.
- The automated process must not require pre-printed ballot styles.
- The automated process must guarantee that the same ballot received twice will be duplicated only once (meaning the same voter submits the same ballot twice).
- The automated ballot duplication process must support write-ins.
- The voter's privacy must be protected throughout the ballot transcription process.

Data Collection Requirements

- The System must collect statistics during the process. Vendor must provide a description of all data/statistics the System is capable of collecting. The RFP submission should indicate which of the following items the system can collect automatically, can be collected based on information entered into the system, and cannot be collected:
 - How many total registered voters in your jurisdiction?
 - How many total registered UOCAVA voters in your jurisdiction?
 - How many total Federal Post Card Applications did you receive (before and after the 45-day deadline) by the following modes of submission?
 - Postal Mail
 - Fax
 - E-mail
 - Online submission
 - How many UOCAVA non-Federal Post Card Application registrations or absentee ballot requests did you receive (before and after the 45-day deadline) by the following modes of submission?
 - Postal Mail
 - Fax
 - E-mail
 - Online submission
 - How many total FPCAs did you reject?
 - How many total UOCAVA FPCA registrations or absentee ballot requests did you reject because they were received after your jurisdiction's voter registration or absentee ballot deadline?
 - How many total UOCAVA non-FPCA registrations or absentee ballot requests did you reject because they were received after your jurisdiction's voter registration or absentee ballot deadline?
 - How many total UOCAVA non-FPCA registrations or absentee ballot requests were rejected?
 - How many UOCAVA absentee ballots were transmitted using the following modes of transmission?
 - Postal Mail
 - Fax

- Email
 - Online submission
- How many UOCAVA ballots were cast?
- How many UOCAVA ballots were returned as undeliverable?
- How many total regular absentee ballots were sent?
- How many regular absentee ballots were cast using the following modes of transmission?
 - Postal Mail
 - Fax
 - Email
 - Online submission
- How many regular absentee ballots were rejected?
- How many regular absentee ballots were rejected because they were received after the ballot receipt deadline?
- How many FWABs were cast?
- How many FWABs were rejected?
- How many FWABs were rejected after the ballot receipt deadline?
- To assist FVAP with establishment of a baseline for UOCAVA voter performance, please provide a full absentee ballot roster (i.e. voter history report) with mailing address reflecting voting history in federal elections from 2004 to the present in a comma delimited or text file format. All personally identifiable information should be excluded from the report.
- A summary of the comments that you receive from users.
- Number of new registrations?
- How many new military registrations?
- How many new overseas registrations?
- How many rejected?
- How many non UOCAVA registrations?
- Number of ballot applications received.
- Number of ballots accessed using online system?
- Number of applications to FPO/APO/ DPO address
- Number of ballots to overseas address (non FPO/APO/ DPO address)
- Number of domestic military ballot applications received.
- Number of applications from domestic IP address
- Summary of geographic locations of the IP addresses
- Number of applications from foreign IP address
- Summary of geographic locations of the IP addresses
- Number of people that accessed the system.
- Number of ballots downloaded.
- Number of ballots returned by postal service
- Number of ballots returned by fax
- Number of ballots returned by email
- Number of ballot downloaded multiple times from same user (include geographic location)
- Number of ballots downloaded from domestic IP address

- Summary of geographic locations of the IP addresses
- Number of ballots downloaded from foreign IP address
- Summary of geographic locations of the IP addresses
- How many ballots were counted? (include geographic locations)
- How many ballots were rejected?
- What were the reasons why ballots were not counted?
- Number of UOCAVA voters in each participating county.
- How many ballots were scanned using the 2-D barcode for UOCAVA voters?
- How many ballots counted?

Security Requirements

- Voter's privacy must be protected throughout the voting process.
- The System must use strong password requirements for all System user log-ins with the exception of any voter log-in requirements. A strong password requirement means an eight character or more password that contains alpha, numeric, and symbol characters.
- The System must allow voters to access only the ballot style which they are eligible to vote.
- The System must be available 24x7, handle traffic spikes gracefully, and provide industry standard counter-measures against attacks on availability (e.g. Distributed Denial-of-Service).
- The SOS must be the only entity with the ability to authorize individuals to use the System.
- The System must have an intrusion detection System that alerts the System administrator to the presence of a person or entity that is not approved for access to the System.
- The System must prevent the System administrator, System vendor and anyone else with access from having the ability to tally or count the votes from information created and stored by the action of the voter marking the ballot.
- The System must prevent or detect a man-in-the-middle attack.
- The servers hosting the System must be protected by common industry practices that include firewalls, 24/7 monitoring, and limited access protected by proper access controls.
- All personal identifying information must be protected via encryption or a substantially similar method.
- All system logs must be protected from manipulation in such a way that any manipulation of the logs can be detected.

Usability/Accessibility

- The System must meet the following accessibility standards:
 - Web Content Accessibility Guidelines (WCAG) 2.0

- Section 508 of the U.S. Rehabilitation Act, Web-based Intranet and Internet Information and Applications (1194.22)
- The System must be compatible with commercially available off-the-shelf (“COTS”) screen readers.
- The System must provide a user-friendly voter interface, so that the voting process is intuitive and no previous training for using this voting channel is necessary.
- The System must support the use of the most common Internet browsers and operating systems.
- The System must not allow for a voter to over-vote a contest.
- The System must provide a clear warning on the summary screen if a voter is choosing to under-vote a contest.
- Voters must select their voting options by directly selecting the candidate instead of using a code or indirect selection method.
- The System must provide clear plain language instructions and warning messages.
- The System must require a voter to deselect a choice prior to changing their selection in a given race.

Additional Features

Please provide a brief description of other features your system offers that are not already required by the requirements of this RFP.

DELIVERABLES

- System technical description, implementation roles and responsibilities, and concept of operations statement.
 - Technical description is a high level description of the System components and how they interact.
 - Implementation roles designates who has to do what tasks in order to make the System operational (e.g. state/local election officials have to provide ballot data, VR and EMS vendors have to provide data formats...etc.).
 - Concept of Operations is a description of who needs to do what jobs in order to keep the System operational.
 - Disaster recovery plan.
- Vendor test plans and test reports. These can include internal test plans and test results as well as any outside testing that has been conducted and results of that testing.
- Training Materials for State and Local Election Officials.
- System Administrator Manual – must provide all information that a System administrator would need in order to operate the System, troubleshoot issues, and support non-administrators who are interacting with the System.
- Voter Instruction Guide for the System.

- Help Desk/Support instructions.
- Once the System is operational the following must be delivered by the vendor:
 - Weekly delivery of help desk logs.
 - Regular reporting of issues reports.
 - Regular reporting of security reports. This report must include any intrusion detection notices as well as security improvements or patches.
- Progress reports. Progress reports must be delivered once a month. The reports must include a brief narrative of progress achieved, issues identified, how those issues were resolved, and monthly and cumulative costs.

Project Documentation

- Vendor must provide a detailed project plan. This plan must include descriptions of key milestones and dates for the duration of the project.
- The project plan is to be kept up to date and provided to the SOS on a weekly basis. The project plan must include any issues and their resolutions.
- Vendor must supply a full risk assessment plan that analyzes the project risks posed to the System to be supplied and the mitigations to those risks.
- Vendor must supply a fully risk assessment plan that analyzes technical risks posed to the System to be supplied and the mitigations to those risks.
- Vendor must supply a product lifecycle and roadmap for the period between 2011 - 2016. This roadmap must indicate any certifications currently in use that will need to be recertified or are impacted by changes to software or firmware. In addition, the roadmap must provide an indication of all COTS products used in the vendors products and their possible impact on the lifecycle of the product.

VI. COST PROPOSAL

All cost proposals must be submitted as a separate document. Cost proposals must include the following:

- A line-by-line cost breakdown of the products and services to be provided per the specs of this RFP.
- Documentation of the initial start up costs of the project that the SOS will need to pay in order to make the system operational.
- Documentation of the ongoing costs of the project in order to maintain the level of service required by this RFP through the end of the grant period.
- Documentation of those services which can be scaled up and scaled down based on the type and size of the election in order to create cost savings.
- Any other documentation which the SOS will need in order to effectively evaluate the cost of the system proposed.