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Test Plan for EAC VVSG 1.0 Certification Testing Election Systems & Software (ES&S) Voting System (EVS) 5.2.4.0

EAC Project Number: EVS5240

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U.S. Election Assistance Commission

VSTL

EAC Lab Code 1501

The NVLAP logo features the letters 'NVLAP' in a stylized, outlined font. The letter 'P' is significantly larger and more decorative than the others, with a registered trademark symbol (®) to its upper right.

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SIGNATURES

Approved by:



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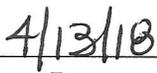


Date

Approved by:



Wendy Owens, VSTL Program Manager



Date

REVISIONS

| Revision | Description | Date |
|-----------------|--------------------|-------------|
| NR | Initial Release | 4/13/2018 |
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1.0 INTRODUCTION

The purpose of this Test Plan is to document the procedures that Pro V&V, Inc. will follow to perform certification testing during a system modification campaign for the Election Systems and Software (ES&S) Voting System (EVS) 5.2.4.0 to the requirements set forth for voting systems in the U.S. Election Assistance Commission (EAC) 2005 Voluntary Voting System Guidelines (VVSG), Version 1.0. Prior to submitting the voting system for testing, ES&S submitted an application package to the EAC for certification of the EVS 5.2.4.0. The application was accepted by the EAC and the project was assigned the unique Project Number of EVS5240.

At test conclusion, the results of all testing performed as part of this test campaign will be submitted to the EAC in the form of a national certification test report.

1.1 Description and Overview of EAC Certified System Being Modified

The EAC Certified System that is the baseline for the submitted modification is described in the following subsections. All information presented was derived from the previous Certification Test Report, the EAC Certificate of Conformance and/or the System Overview.

The following subsections describe the baselined EVS 5.2.3.0.

ES&S EVS 5.2.3.0 is comprised of the following components: ExpressVote Universal Voting System version 1.0 (ExpressVote 1.0); AutoMARK Voter Assist Terminal (AutoMARK) versions A100, A200, and A300; DS450 high through-put scanner and tabulator (DS450); DS200 precinct-based scanner and tabulator (DS200); DS850 high-speed scanner and tabulator (DS850); Electionware Election Management System (Electionware); Election Reporting Manager (ERM); ES&S Event Log Service (ELS); and Removable Media Service (RMS).

- The ExpressVote 1.0 is a universal vote capture device designed for all voters, with independent voter-verifiable paper record that is digitally scanned for tabulation. This system combines paper-based voting with touch screen technology. The ExpressVote includes a mandatory vote summary screen that requires voters to confirm or revise selections prior to printing the summary of ballot selections using the internal thermal printer. Once printed, ES&S tabulators process the vote summary card. The ExpressVote can serve all voters, including those with special needs, allowing voters to cast ballots autonomously. ES&S has fully integrated the ExpressVote with the existing suite of ES&S voting system products.
- AutoMARK Voter Assist Terminal enables voters who are visually or physically impaired and voters more comfortable reading or hearing instructions and choices in an alternative language to privately mark optical scan ballots. The AutoMARK supports navigation through touchscreen, physical keypad or ADA support peripheral such as a sip and puff device or other binary tactile device.
- DS200 digital scanner and tabulator is a paper ballot tabulator designed for use as a polling place scanner. After the voter makes their selections on their paper ballot, their ballot and/or vote summary card is inserted into the unit for immediate tabulation.

Both sides of the ballot are scanned at the same time using a high-resolution image-scanning device that produces ballot images.

- The DS850 is a high-speed, digital scan central ballot tabulator that uses cameras and imaging algorithms to capture voter selections on the front and back of a ballot, evaluate results and then sort ballots into discrete bins without interrupting scanning. A dedicated audit printer generates a continuous event log. Machine level reports are produced from a second, laser printer. The scanner saves voter selections and ballot images to an internal hard disk and exports results to a USB memory stick for processing with ERM.
- The DS450 high-throughput scanner and tabulator that simultaneously scans the front and back of a paper ballot and/or vote summary card. It can also handle folded ballots and can read ballots in any of four orientations. The DS450 sorts tabulated ballots into discrete output bins without interrupting scanning. Optionally, this device may be configured to transmit tabulation results to the results server through a closed network connection rather than using physically transported USB flash drives.
- Electionware integrates the election administration functionality into a unified application. Its intended use is to define an election and create the resultant media files used by the ExpressVote, DS200, AutoMARK, DS850, and ERM. An integrated ballot viewer allows election officials to view the scanned ballot and captured ballot data side-by-side and produce ballot reports.
- ES&S Event Log Service (ELS) is a Windows Service that runs in the background of any active ES&S Election Management software application to monitor the proper functioning of the Windows Event Viewer. The ELS closes any active ES&S software application if the system detects the improper deactivation of the Windows Event Viewer.
- Removable Media Service (RMS) is an application that runs in the background of the EMS client workstation and supports the installation and removal of election and results media.
- Election Reporting Manager (ERM) generates paper and electronic reports for election workers, candidates, and the media. Jurisdictions can use a separate ERM installation to display updated election totals on a monitor as ballot data is tabulated, and send the results' reports directly to the media outlets. ERM supports accumulation and combination of ballot results data from all ES&S tabulators. Precinct and accumulated total reports provide a means to accommodate candidate and media requests for totals and are available upon demand. High-speed printers are configured as part of the system accumulation/reporting stations PC and related software.

1.1.1 Baseline Certified System

The baseline system for this modification is the EVS 5.2.3.0. The tables below describe the certified equipment and firmware versions.

Detailed descriptions of the EVS 5.2.3.0 test campaign are contained in SLI Report No. ESY-009-CTR-01, Rev. 3.0, which is available for viewing on the EAC's website at www.eac.gov.

Table 1-1. EVS 5.2.3.0 EAC Certified System Components

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|---------------------------|-------------------------------------|---|---|
| ExpressVote | 1.4.1.6 | 1.0 | Universal Voting System. |
| ExpressVote Rolling Kiosk | --- | 98-00049 | Kiosk for use with ExpressVote |
| DS200 | 2.12.2.0 | 1.2.1, 1.2.3, 1.3 | Precinct Count Tabulator that scans voter selections from both sides of the ballot simultaneously |
| DS200 Ballot Box | --- | 1.2, 1.3 | Plastic Ballot Box |
| DS200 Ballot Box | --- | 1.0,1.1,1.2 | Metal Ballot Box |
| Auto MARK A100 | 1.8.6.1 | 1.0 | ADA Ballot Marking Device |
| AutoMARK A200 (SBC 2.0) | 1.8.6.1 | 1.1 | ADA Ballot Marking Device |
| AutoMARK A200 (SBC 2.5) | 1.8.6.1 | 1.3 | ADA Ballot Marking Device |
| AutoMARK A300 (SBC 2.0) | 1.8.6.1 | 1.3 | ADA Ballot Marking Device |
| DS850 | 2.10.2.0 | 1.0 | Central Count Scanner, high-speed |
| DS450 | 3.0.0.0 | 1.0 | Central Count Scanner, high-throughput |
| EMS Client Workstation | --- | Dell OptiPlex 980 or 5040 | Workstation for EMS Reporting |
| EMS Server | --- | Dell PowerEdge T710 | Server for EMS |
| EMS Client Workstation | --- | Dell Latitude E6410 | Laptop for EMS Reporting |
| DS850 Report Printer | --- | Oki B431dn & Oki B431d | Laser report printer |
| DS850 Audit Printer | --- | Oki Microline 420 | Dot Matrix Printer |
| DS450 Report Printer | --- | Dell S2810dn | Laser report printer |
| DS450 Audit Printer | --- | Oki Microline 420 | Dot Matrix Printer |
| DS450 UPS | --- | APC Back-UPS Pro 1500 | UPS for DS450 |
| DS850 UPS | --- | APC Back-UPS RS 1500 or APC Back-UPS Pro 1500 | UPS for DS850 |
| DS450 Surge Protector | | Tripp Lite Spike Cube | Surge Protector for DS450 |

Table 1-1. EVS 5.2.3.0 System Components (continued)

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|---|-------------------------------------|---|--|
| USB Flash Drive | --- | Delkin 512MB, 1GB, 2GB, 4GB, 8GB | Storage for election and ballot definition |
| USB Flash Drive | --- | Delkin 16 GB | Storage for election and ballot definition |
| Compact Flash | --- | Delkin Devices 1.0 GB capacity | Storage for election and ballot definition |
| CF Card Reader | --- | 6381 | Delkin compact flash reader |
| CF Card Reader | --- | 018-6305 | SanDisk compact flash reader |
| USB Flash Drive | --- | SanDisk 512MB, 1GB, 2GB, | Storage for election and ballot definition |
| Barcode Scanner | --- | DS457- SR20009 | Barcode scanner manufactured by Zebra integrated with rolling kiosk |
| QR Code Scanner | --- | DS9208 | Barcode scanner manufactured by Symbol |
| Headphones | --- | 86002 | COTS headphones manufactured by Avid |
| Electionware | 4.7.1.1 | --- | Election management software that provides end-to-end election management activities |
| Election Reporting Manager (ERM) | 8.12.1.1 | --- | Election results reporting program |
| Event Log Service (ELS) | 1.5.5.0 | --- | Logs users' interactions with EMS. |
| Removable Media Service (RMS) | 1.4.5.0 | --- | Utility that runs in the background of the Windows operating system |
| ExpressVote Previewer | 1.4.1.6 | --- | Application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the ExpressVote |
| AutoMARK VAT Preview | 1.8.6.1 | --- | Application within the EMS program |
| Adobe Acrobat Standard | 11 | --- | --- |
| Cerberus FTP | 8.0.6 (x64) | --- | --- |
| Microsoft Server 2008 | R2 w/SP1 | --- | --- |
| Microsoft Windows 7 | 64-bit/SP1 | --- | --- |
| WSUS Microsoft Windows Offline Update Utility | 10.7.4 | --- | --- |

Table 1-1. EVS 5.2.3.0 System Components (continued)

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|--|------------------------------|---------------------|-------------|
| Micro Focus RM/COBOL Runtime | 12.06 | --- | --- |
| Symantec Endpoint Protection | 12.1.6 | --- | --- |
| Symantec Endpoint Protection Intelligent Updater | 20160829-002-v5i64 | --- | --- |

1.1.2 Description of Modification

The EVS 5.2.4.0 is a modified voting system configuration that includes upgrades to the components of the EVS 5.2.3.0 and introduces two new hardware versions of the ExpressVote (version 2.1.0.0 and 2.1.2.0). EVS 5.2.4.0 adds four new ExpressVote configuration options: Quad Express Cart, MXB ExpressVote Voting Booth, ExpressVote Single Table and ExpressVote Double Table. EVS 5.2.4.0 also: adds a new ADA table configuration for the AutoMARK; provides security upgrades to third-party EMS COTS products; and contains minor enhancements to Electionware and ExpressVote.

The list below includes specific changes between EVS 5.2.4.0 and the baseline of the EVS 5.2.3.0:

General

- Security upgrades to third-party EMS COTS products

ExpressVote Universal Voting System

- Introduced two new hardware versions of the ExpressVote (2.1.0.0 and 2.1.2.0). Hardware 2.1.2.0 includes displays 6.4 and 6.8.
 - The new hardware version for the ExpressVote addresses end-of-life components as well as improved manufacturability
- Introduced new configuration options for the ExpressVote
 - ExpressVote Single Table: Holds one ExpressVote in place while providing privacy for the voter. The table features a hole for cord management and a privacy screen. With side approach, this table accommodates voters in wheelchairs as well as standing voters
 - ExpressVote Double Table: Holds two ExpressVote units in place while providing privacy for each voter. The table features a hole for cord management and a double privacy screen.

- MXB ExpressVote Voting Booth: A configurable voting booth solution that accommodates seated voters on one side and standing voters on the other. Each side of this voting booth includes privacy screens
- Quad Express Cart: A rolling cart with four locking caster wheels. It is capable of holding up to four ExpressVote units in place. Three of the units are positioned for standing voters while the fourth accommodates a seated voter. Each of the four stations on this cart include deployable privacy screens
- Resolved an issue with write-in entries using a binary tactile device in multi-language elections
- Resolved an issue where very long candidate text can truncate instead of displaying the entire text string.

AutoMARK

- Introduced a new configuration option
 - AutoMARK Table: Holds one AutoMARK in place while providing privacy for the voter. The table features a hole for cord management. With side approach, this table accommodates voters in wheelchairs as well as standing voters

Electionware

- Updated audio prompts for enhanced support of ADA voting with a binary tactile device
- Updated Users xml export filename
- Updated User Guide

DS200

- Introduced the collapsible ballot box as a new configuration option

1.1.3 Initial Assessment

An initial assessment on the submitted modifications was performed to determine the scope of testing. Testing from the previous test campaign was used to establish the baseline. Based on the assessment, it was determined the following tasks would be required to verify compliance of the modifications:

- Source Code Review, Compliance Build, Trusted Build, and Build Document Review
- System Level Testing
 - System Integration
 - Accuracy
- Technical Documentation Package (TDP) Review
- Functional Configuration Audit (FCA)

- System Loads & Hardening
- Physical Configuration Audit (PCA)
- Regression Testing

1.1.4 Regression Test

Regression testing for this test campaign will consist of the execution of the System Integration and Accuracy Tests.

1.2 References

- Election Assistance Commission 2005 Voluntary Voting System Guidelines (VVSG) Version 1.0, Volume I, “Voting System Performance Guidelines”, and Volume II, “National Certification Testing Guidelines”
- Election Assistance Commission Testing and Certification Program Manual, Version 2.0
- Election Assistance Commission Voting System Test Laboratory Program Manual, Version 2.0
- National Voluntary Laboratory Accreditation Program NIST Handbook 150, 2016 Edition, “NVLAP Procedures and General Requirements (NIST HB 150-2016)”, dated July 2016
- National Voluntary Laboratory Accreditation Program NIST Handbook 150-22, 2008 Edition, “Voting System Testing (NIST Handbook 150-22)”, dated May 2008
- United States 107th Congress Help America Vote Act (HAVA) of 2002 (Public Law 107-252), dated October 2002
- Pro V&V, Inc. Quality Assurance Manual, Revision 1.0
- Election Assistance Commission “Approval of Voting System Testing Application Package” letter dated May 6, 2016
- EAC Requests for Interpretation (RFI) (listed on www.eac.gov)
- EAC Notices of Clarification (NOC) (listed on www.eac.gov)
- SLI Report No. ESY-009-CTR-01, Rev. 3.0, “Certification Test Report – Modification ES&S EVS 5.2.3.0”
- EAC Certificate of Conformance ES&S EVS 5.2.3.0, dated February 8, 2018
- ES&S Technical Data Package (*A listing of the EVS 5.2.4.0 documents submitted for this test campaign is listed in Section 4.6 of this Test Plan*)

1.3 Terms and Abbreviations

This subsection lists terms and abbreviations relevant to the hardware, the software, or this Test Plan.

“ADA” – Americans with Disabilities Act 1990

“BMD” – Ballot Marking Device

“CM” – Configuration Management

“COTS” – Commercial Off-The-Shelf

“EAC” – United States Election Assistance Commission

“ELS” – Election Log Service

“EMS” – Election Management System

“ERM” – Election Reporting Manager

“ES&S” – Election Systems and Software

“FCA” – Functional Configuration Audit

“HAVA” – Help America Vote Act

“ISO” – International Organization for Standardization

“NOC” – Notice of Clarification

“PCA” – Physical Configuration Audit

“QA” – Quality Assurance

“RMS” – Removable Media Service

“RFI” – Request for Interpretation

“TDP” – Technical Data Package

“UPS” – Uninterruptible Power Supply

“UVS” – Universal Voting System

“VAT” – Voting Assist Terminal

“VSTL” – Voting System Test Laboratory

“VVSG” – Voluntary Voting System Guidelines

1.4 Project Schedule

The Project Schedule for the test campaign is located in Appendix A. The dates on the schedule are not firm dates but planned estimates based on the anticipated project work flow.

1.5 Scope of Testing

The scope of testing focused on evaluating the modifications detailed in Section 1.1.2 of this Test Plan. Primarily, these modifications focused on upgrades to the components of the previously certified EVS 5.2.3.0 and the introduction of two new hardware version for the ExpressVote (version 2.1.0.0 and 2.1.2.0).

EVS 5.2.4.0 includes the following hardware: ExpressVote Universal Voting System hardware version 1.0 (ExpressVote 1.0), ExpressVote Universal Voting System hardware versions 2.1.0.0 and 2.1.2.0 (ExpressVote HW 2.1), AutoMARK Voter Assist Terminal (AutoMARK), DS200 precinct-based scanner and tabulator (DS200), DS450 high through-put scanner and tabulator (DS450), and DS850 high-speed central scanner and tabulator (DS850). ExpressVote 1.0 was previously certified with EVS 5.2.3.0 and will remain certified with this system. ExpressVote 2.1 (hardware versions 2.1.0.0 and 2.1.2.0) are being incorporated in the EVS 5.2.4.0 as a modification and will be subjected to testing as part of this test campaign.

EVS 5.2.4.0 system components submitted for testing are listed in Table 1-2, below.

Table 1-2. EVS 5.2.4.0 System Components

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|-----------------------------|-------------------------------------|----------------------------|--|
| ExpressVote 1.0 | 1.4.1.7 | 1.0 | Universal Voting System vote capture device designed for all voters, with independent voter-verifiable paper record that is digitally scanned for tabulation on a compatible ES&S tabulator. This system combines paper-based voting with touch screen technology. |
| ExpressVote 2.1 (Marker) | 2.4.2.0 | 2.1.0.0,2.1.2.0 | Universal Voting System that combines paper-based voting with touch screen technology. Includes a mandatory vote summary screen that requires voters to confirm or revise selections prior to printing the summary of ballot selections. |
| ExpressVote 2.1 (Tabulator) | 2.4.2.0 | 2.1.0.0,2.1.2.0 | Universal Voting System that combines paper-based voting with touch screen technology. Includes all functions of the ExpressVote Marker and also provides the optional capability of tabulating printed vote summary cards. |

Table 1-2. EVS 5.2.4.0 System Components (continued)

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|---------------------------|-------------------------------------|---|---|
| ExpressVote Rolling Kiosk | --- | 98-00049 | Kiosk for use with ExpressVote |
| DS200 | 2.12.2.0 | 1.2, 1.2.3, 1.3 | Precinct Count Tabulator that scans voter selections from both sides of the ballot simultaneously |
| DS200 Ballot Box | --- | 1.2, 1.3,1.4,1.5 | Plastic Ballot Box |
| DS200 Ballot Box | --- | 1.0,1.1,1.2 | Metal Ballot Box |
| Auto MARK A100 | 1.8.6.1 | 1.0 | ADA Ballot Marking Device |
| AutoMARK A200 | 1.8.6.1 | 1.1,1.3 | ADA Ballot Marking Device |
| AutoMARK A300 | 1.8.6.1 | 1.3 | ADA Ballot Marking Device |
| DS850 | 2.10.2.0 | 1.0 | Central Count Scanner, high-speed |
| DS450 | 3.0.0.0 | 1.0 | Central Count Scanner, high-throughput |
| EMS Client Workstation | --- | Dell OptiPlex 980 or 5040 | Workstation for EMS Reporting |
| EMS Server | --- | Dell PowerEdge T710 | Server for EMS |
| EMS Client Workstation | --- | Dell Latitude E6410 | Laptop for EMS Reporting |
| DS850 Report Printer | --- | Oki B431dn & Oki B431d | Laser report printer |
| DS850 Audit Printer | --- | Oki Microline 420 | Dot Matrix Printer |
| DS450 Report Printer | --- | Dell S2810dn | Laser report printer |
| DS450 Audit Printer | --- | Oki Microline 420 | Dot Matrix Printer |
| DS450 UPS | --- | APC Back-UPS Pro 1500 | UPS for DS450 |
| DS850 UPS | --- | APC Back-UPS RS 1500 or APC Back-UPS Pro 1500 | UPS for DS850 |
| DS450 Surge Protector | | Tripp Lite Spike Cube | Surge Protector for DS450 |
| DS850 Surge Protector | | Tripp Lite Spike Cube | Surge Protector for DS850 |
| USB Flash Drive | --- | Delkin 512MB, 1GB, 2GB, 4GB, 8GB | Storage for election and ballot definition |

Table 1-2. EVS 5.2.4.0 System Components (continued)

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|---|-------------------------------------|--------------------------------|---|
| USB Flash Drive | --- | Delkin 16 GB | Validation purposes only |
| Compact Flash | --- | Delkin Devices 1.0 GB capacity | Storage for election and ballot definition |
| CF Card Reader | --- | 6381 | Delkin compact flash reader |
| CF Card Reader | --- | 018-6305 | SanDisk compact flash reader |
| Compact Flash Memory Card | --- | SanDisk 512MB, 1GB, 2GB | Storage for election and ballot definition |
| Barcode Scanner | --- | DS457-SR20009 | Barcode scanner manufactured by Zebra integrated with rolling kiosk |
| QR Code Scanner | --- | DS9208 | Barcode scanner manufactured by Symbol |
| Headphones | --- | 86002 | COTS headphones manufactured by Avid |
| Electionware | 4.7.1.4 | --- | Election management software that provides end-to-end election management activities |
| Election Reporting Manager (ERM) | 8.12.1.1 | --- | Election results reporting program |
| Event Log Service (ELS) | 1.5.5.0 | --- | Logs users' interactions with EMS. |
| Removable Media Service (RMS) | 1.4.5.0 | --- | Utility that runs in the background of the Windows operating system |
| ExpressVote Previewer | 1.4.1.7 (1.0) 2.4.20 (2.1) | --- | Application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the ExpressVote |
| AutoMARK VAT Preview | 1.8.6.1 | --- | Application within the EMS program |
| Adobe Acrobat Standard | 11 | --- | --- |
| Cerberus FTP | 9.0.3.1 (x64) | --- | --- |
| Microsoft Server 2008 | R2 w/SP1 | --- | --- |
| Microsoft Windows 7 | 64-bit/SP1 | --- | --- |
| WSUS Microsoft Windows Offline Update Utility | 11.1.1 | --- | --- |

Table 1-2. EVS 5.2.4.0 System Components (continued)

| System Component | Software or Firmware Version | Hardware Version(s) | Description |
|--|---|----------------------------|--------------------|
| Micro Focus RM/COBOL Runtime | 12.06 | --- | --- |
| Symantec Endpoint Protection | 14.0.1_MP1 | --- | --- |
| Symantec Endpoint Protection Intelligent Updater | 20180227-001-core3sds5i64.exe, 20180226-040-IPS_IU_SEP_14RU1.exe, 20180225-001-SONAR_IU_SEP.exe | --- | --- |

To determine the EVS 5.2.4.0 test requirements, the submitted modifications were evaluated against each section of the EAC VVSG 1.0 to determine the applicable tests to be performed. Based on this assessment, it was determined that multiple areas within the EAC VVSG 1.0 would be evaluated to encompass the required tests.

A breakdown of the areas and associated tests is listed below:

- EAC VVSG 1.0 Volume 1, Section 2: Functional Requirements
 - System Integration Testing
 - Functional Configuration Audit (FCA)
 - Physical Configuration Audit (PCA), including System Loads & Hardening
 - Technical Documentation Package (TDP) Review
 - Accuracy Testing
- EAC VVSG 1.0 Volume 1, Section 5: Software Requirements
 - Source Code Review, Compliance Build, Trusted Build, and Build Document Review
 - Technical Documentation Package (TDP) Review
 - Functional Configuration Audit (FCA)

1.5.2 System Limits

The system limits that ES&S has stated to be supported by the EVS 5.2.4.0 are provided in the table below.

Table 1-3. EVS 5.2.4.0 System Limits

| System Characteristic | Boundary or Limitation | Limiting System Component |
|--|---|----------------------------------|
| Max. precincts allowed in an election | 9,900 | ERM |
| Max. count for any precinct element | 500,000 (99,990 from any tabulator media) | ERM report (ERM results import) |
| Max. candidates allowed per election | Depends on election content (limited by 21,000 maximum counters) | ERM |
| Max. contests allowed in an election | Depends on election content (limited by 21,000 maximum counters) | ERM |
| Max. counters allowed per precinct | Limits candidates and contests assigned to a precinct to 1,000 | ERM |
| Max. contests allowed per ballot style | 200 or # of positions on ballot | N/A |
| Max. candidates (ballot choices) allowed per contest | 175 | ERM (database create) |
| Max. number of parties allowed | General election: 75 Primary election: 20 (including nonpartisan party) | ERM (database create) |
| Max. 'vote for' per contest | 98 | ERM (database create) |
| Ballot formats | All paper ballots used in an election must be the same size. Votable paper ballots must contain the same number of rows | Ballot scanning equipment |
| Max. Ballot Styles | 9,900 | ERM |
| Max. District Types/Groups | 20 | ERM |
| Max. districts of a given type | 40 | --- |

Additionally, the following EVS 5.2.4.0 component limitations have been identified:

Paper Ballot Limitations

1. The paper ballot code channel, which is the series of black boxes that appear between the timing track and ballot contents, limits the number of available ballot variations depending on how a jurisdiction uses this code to differentiate ballots. The code can be used to differentiate ballots using three different fields defined as: Sequence (available codes 1-26,839), Type (available codes 1-30) or Split (available codes 1-40).

2. For paper ballots, if Sequence is used as a ballot style ID, it must be unique election-wide and the Split code will always be 1. In this case the practical style limit would be 26,000.

DS200

1. The ES&S DS200 configured for an early vote station does not support precinct level results reporting. An election summary report of tabulated vote totals is supported.
2. The DS200 storage limitation for write-in ballot images is 3,600 images. Each ballot image includes a single ballot face, or one side of one page.
3. Write-in image review requires a minimum 1GB of onboard RAM.
4. To successfully use the write-in report, ballots must span at least three vertical columns. Using two columns or fewer results in the write-in area being too large to print on the report tape.

AutoMARK Voter Assist Terminal

1. ES&S AutoMARK capacities exceed all documented limitations for the ES&S election management, vote tabulation and reporting system. For this reason, Election Management System and ballot tabulator limitations define the boundaries and capabilities of the AutoMARK system as the maximum capacities of the ES&S AutoMARK are never approached during testing.

Electionware

1. Electionware capacities exceed the boundaries and limitations documented for ES&S voting equipment and election reporting software. For this reason, ERM and ballot tabulator limitations define the boundaries and capabilities of the Electionware system.
2. Limits were calculated using default text sizes for ballot and report elements. Some uses and conditions, such as magnified ballot views or combining elements on printed media or ballot displays, may result in limits lower than those listed. Check printed media and displays before finalizing the election.
3. The Electionware Export Ballot Images function is limited to 250 districts per export.
4. Special characters are not supported and may not appear properly when viewed on equipment displays or reports.
5. Electionware cannot display more than 30,000 images when filtering ballot images for display. Employ one or more filters to ensure that the number of ballots viewed is less than 30,000.

ExpressVote

1. ExpressVote capacities exceed all documented limitations for the ES&S election management, vote tabulation and reporting system. For this reason, Election Management System and ballot tabulator limitations define the boundaries and capabilities of the ExpressVote system as the maximum capacities of the ES&S ExpressVote are never approached during testing.

Election Reporting Manager (ERM)

1. ERM requires a minimum monitor screen resolution of 800x600.
2. ERM Database Create allows 1600 Precincts per Ballot Style.
3. There is a limit of 3510 precincts in the precincts counted/not counted display.
4. There is a limit of 3000 precincts in the precincts counted/not counted scrolling display.
5. Contest/Precinct selection pop up display limited to 3000 contests/precincts.
6. Non-English characters are not supported in ERM. This has to do with the creation of the XML results file out of ERM.
7. ERM's maximum page size for reports is 5,000 pages.

1.5.3 Supported Languages

The following languages are supported by the EVS 5.2.4.0:

- English
- Spanish
- Chinese
- Korean
- Japanese
- Bengali

Support for all stated languages will be verified; however, only English and Spanish language ballots will be cast during the performance of functional testing. Additionally, one character based language (Chinese) will be tested during System Integration Testing.

1.5.4 Supported Functionality

The EVS 5.2.4.0 is designed to support the following voting variations:

- General Election
- Closed Primary
- Open Primary
- Early Voting
- Partisan/Non-Partisan Offices
- Write-In Voting
- Split Precincts
- Vote for N of M

- Ballot Rotation
- Provisional or Challenged Ballots
- Ranked Order Voting

1.5.5 VVSG

The EVS 5.2.4.0 shall be evaluated against the relevant requirements contained in the EAC VVSG 1.0.

1.5.6 RFIs

There are no RFIs released by the EAC as of the date of this Test Plan that pertain to this test campaign that were not in effect at the time of the baseline system certification.

1.5.7 NOCs

There are no NOCs released by the EAC as of the date of this Test Plan that pertain to this test campaign that were not in effect at the time of the baseline system certification.

2.0 PRE-CERTIFICATION TESTING AND ISSUES

This section describes previous testing performed prior to submitting the voting system to the EAC.

2.1 Evaluation of Prior VSTL Testing

Pro V&V evaluated to the published Final Test Report for the EVS 5.2.3.0 in order to baseline the current system under test.

2.2 Evaluation of Prior Non-VSTL Testing

No prior non-VSTL testing of the EVS 5.2.4.0 modifications were considered for this test campaign.

2.3 Known Field Issues

EVS 5.2.4.0 is a modification to a previously certified system and has not been fielded.

3.0 MATERIALS REQUIRED FOR TESTING

The following sections list all materials needed to enable the test engagement to occur.

The materials required for testing of the EVS 5.2.4.0 include all materials to enable the test campaign to occur. This includes the applicable hardware and software as well as the TDP, test support materials, and deliverable materials, as described in the following subsections.

3.1 Software

This subsection lists the proprietary and COTS software to be provided by the manufacturer as part of the test campaign.

All software required for testing is identified in Section 1.5 of this test plan. Pro V&V will perform a comparison on the submitted source code against the previously certified versions. Pro V&V will review the submitted modified source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards.

3.2 Equipment

This subsection lists the proprietary and COTS equipment to be provided by the manufacturer as part of the test campaign.

For COTS equipment, every effort will be made to verify that the COTS equipment has not been modified for use. This will be accomplished by performing research using the COTS equipment manufacturer's websites based on the serial numbers and service tag numbers for each piece of equipment. Assigned test personnel will evaluate COTS hardware, system software and communications components for proven performance in commercial applications other than voting. For PCs, laptops, and servers, the service tag information will be compared to the system information found on each machine. Physical external and internal examination will also be performed when the equipment is easily accessible without the possibility of damage. Hard drives, RAM memory, and other components will be examined to verify that the components match the information found on the COTS equipment manufacturer's websites.

All system hardware required for testing is identified in Section 1.5 of this test plan.

3.3 Test Materials

This subsection lists the test materials required to execute the required tests throughout the test campaign.

- ExpressVote Activation Card Printer (Microcom 4200)
- Security Seals/Locks/Sleeves
- CF Card Reader/Writer
- Headphone Covers
- Ethernet Switch
- Printer Paper
- Ballots and blank ballot grade paper
- Activation cards
- Ballot pens
- CF memory cards

- USB flash drives

3.4 Proprietary Data

All data and documentation considered by the manufacturer to be proprietary will be identified and documented in an independent submission along with a Notice of Protected Information.

4.0 TEST SPECIFICATIONS

Certification testing of EVS 5.2.4.0 submitted for evaluation will be performed to ensure the applicable requirements of the EAC VVSG 1.0 and the EAC Testing and Certification Program Manual, Version 2.0 are met. Additionally, all EAC Request for Interpretations (RFI) and Notices of Clarification (NOC) relevant to the system under test will be incorporated in the test campaign. A complete listing of the EAC RFIs and NOCs is available on the EAC website.

4.1 Requirements (Strategy of Evaluation)

To evaluate the EVS 5.2.4.0 test requirements, the submitted modifications were evaluated against each section of the EAC VVSG 1.0 to determine the applicable tests to be performed. Based on this assessment, it was determined the following evaluations would be required to verify compliance of the modifications:

Section 1: Technical Documentation Package (TDP) Review

A TDP Review will be performed to ensure that all submitted modifications are accurately documented and that the documents meet the requirements of the EAC VVSG 1.0. The preliminary TDP is performed to gather information concerning the system under test and its capabilities or design intentions. Additionally, a TDP review will be performed throughout the test campaign. The TDP Review includes the Initial Review, the Regulatory/Compliance Review, and the Final Review. This review is conducted to determine if the submitted technical documentation meets the regulatory, customer-stated, or end-user requirements and includes reviewing the documents for stated functionality and verification.

Section 2: Functional Requirements

The requirements in this section shall be tested during the FCA, Accuracy Test, and System Integration Test. This evaluation will utilize baseline test cases as well as specifically designed test cases and will include predefined election definitions for the input data.

The FCA targets the specific functionality claimed by the manufacturer to ensure the product functions as documented. This testing uses both positive and negative test data to test the robustness of the system. The FCA encompasses an examination of manufacturer tests, and the conduct of additional tests, to verify that the system hardware and software perform all the functions described in the manufacturer's documentation submitted in the TDP (such as system operations, voter manual, maintenance, and diagnostic testing manuals). It includes a test of system operations in the sequence in which they would normally be performed. These system operations and functional capabilities are categorized as follows by the phase of election activity in which they are required:

- Overall System Capabilities: These functional capabilities apply throughout the election process. They include security, accuracy, integrity, system audit ability, election management system, vote tabulation, ballot counters, telecommunications, and data retention.
- Pre-voting Capabilities: These functional capabilities are used to prepare the voting system for voting. They include ballot preparation, the preparation of election-specific software (including firmware), the production of ballots, the installation of ballots and ballot counting software (including firmware), and system and equipment tests.
- Voting System Capabilities: These functional capabilities include all operations conducted at the polling place by voters and officials including the generation of status messages.
- Post-voting Capabilities: These functional capabilities apply after all votes have been cast. They include closing the polling place; obtaining reports by voting machine, polling place, and precinct; obtaining consolidated reports; and obtaining reports of audit trails.
- Maintenance, Transportation and Storage Capabilities: These capabilities are necessary to maintain, transport, and store voting system equipment.

The system integration testing addresses the integration of the hardware and software. This testing focuses on the compatibility of the voting system software components and subsystems with one another and with other components of the voting system. During test performance, the system is configured as would be for normal field use.

The accuracy test ensures that each component of the voting system can each process 1,549,703 consecutive ballot positions correctly within the allowable target error rate. The Accuracy test is designed to test the ability of the system to “capture, record, store, consolidate and report” specific selections and absences of a selection. The required accuracy is defined as an error rate. This rate is the maximum number of errors allowed while processing a specified volume of data.

Section 5: Software Requirements

The requirements in this section shall be tested utilizing a combination of review and functional testing during the source code review, TDP review, and FCA.

To perform the source code review, Pro V&V will review the submitted source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards. Prior to initiating the software review, Pro V&V shall verify that the submitted documentation is sufficient to enable: (1) a review of the source code and (2) Pro V&V to design and conduct tests at every level of the software structure to verify that design specifications and performance guidelines are met. The source code review includes a compliance build and a trusted build of the submitted source code.

4.1.1 Rationale for ‘Not Applicable’ Requirements

All requirements that were excluded from the previous test campaign (EVS 5.2.3.0) were also deemed not applicable to this test campaign due to the submitted modifications not impacting the specific requirements.

4.2 Hardware Configuration and Design

The EVS 5.2.4.0 is an electronic voting system consisting of the following hardware: ExpressVote 1.0, ExpressVote 2.1 (2.1.0.0 and 2.1.2.0), AutoMARK, DS200, DS450, and DS850. ExpressVote hardware version 1.0 was previously certified with EVS 5.2.3.0 and will remain certified with this system. ExpressVote 2.1 (versions 2.1.0.0 and 2.1.2.0) is being incorporated in EVS 5.2.4.0 as a modification and will be subjected to testing as part of this test campaign.

4.3 Software System Functions

The EVS 5.2.4.0 EMS is an application suite consisting of Electionware, Election Reporting Manager (ERM), Removable Media Service (RMS), Event Log Service (ELS), ExpressVote Previewer (1.0 and 2.1), and VAT Previewer.

Electionware

Electionware is the election management software that provides end-to-end election management activities (from creating the ballots to reporting the voting results) through user interface.

Election Reporting Manager (ERM)

ERM is an election results reporting program used to generate paper and electronic reports for poll workers, candidates, and the media. ERM is designed to display updated election totals on a monitor as ballot data is tabulated.

Removable Media Service (RMS)

RMS is a utility that runs in the background of the Windows Operating System. RMS reads specific information from any attached USB flash drives so that ES&S applications such as Electionware and ERM can use that information for flash drive validation purposes.

Event Log Service (ELS)

ELS is an application that logs users’ interactions with the EMS.

ExpressVote Previewer

ExpressVote Previewer is an application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the ExpressVote.

VAT Previewer

VAT Previewer is an application within the EMS program.

4.4 Test Case Design

Test cases are designed based on the manufacturer's design specifications and the relevant technical requirements set forth by the VVSG. Test cases shall be based on the following aspects of the voting system:

- Hardware qualitative examination design
- Hardware environmental test case design
- Software module test case design and data
- Software functional test case design
- System level test case design

Test cases shall provide information regarding the sequence of actions to be performed for the execution of a test, the requirements being met, the test objective, test configuration, equipment needed, special requirements, assumptions, and pass/fail criteria. Once the test cases are finalized, they will be validated and published for use in the test campaign. The validation of the test case will be accomplished by technical review and approval. This validation will include the following: confirmation of adequate test coverage of all requirements; confirmation that test case results are not ambiguous and gave objective pass/fail criteria; and confirmation that any automated test suites will produce valid results.

4.4.1 Hardware Qualitative Design

The updates to the modified system will not require any hardware testing to be performed.

4.4.2 Hardware Environmental Test Case Design

No hardware testing will be required as part of this test campaign.

4.4.3 Software Module Test Case Design and Data

Pro V&V shall review the manufacturer's program analysis, documentation, and module test case design and shall evaluate the test cases for each module with respect to flow control parameters and entry/exit data. As needed, Pro V&V shall design additional test cases to satisfy the coverage criteria specified in Volume II, Section 7.2.1.

Component Level Testing will be implemented during the FCA for each component and subcomponent.

During the Source Code Review, Compliance Builds, and Security Testing, Pro V&V will utilize limited structural-based techniques (white-box testing). Additionally, specification-based techniques (black-box testing) will be utilized for the individual software components.

Pro V&V shall define the expected result for each test and the ACCEPT/REJECT criteria for certification. If the system performs as expected, the results will be accepted. If the system does not perform as expected, an analysis will be performed to determine the cause. The test will be repeated in an attempt to reproduce the results. If the failure can be reproduced and the expected results are not met, the system will have failed the test. If the results cannot be reproduced, the test will continue. All errors encountered will be documented and tracked through resolution.

4.4.4 Software Functional Test Case Design and Data

Pro V&V shall review the manufacturer-submitted test plans and data to verify that the individual performance requirements specified in the EAC VVSG 1.0 and the TDP are reflected in the software. As part of this process, Pro V&V shall review the manufacturer's test case design and prepare a detailed matrix of system functions and the test cases that exercise them. Pro V&V shall also prepare a test procedure describing all test ballots, operator procedures, and the data content of output reports. Pro V&V shall define abnormal input data and operator actions and then design test cases to verify that the system is able to handle and recover from these abnormal conditions. During this review, emphasis shall be placed on those functions where the manufacturer data on module development, such as the system release notes and comments within the source code, reflects significant debugging problems, and on functional tests that resulted in high error rates.

Pro V&V shall define the expected result for each test and the ACCEPT/REJECT criteria for certification. If the system performs as expected, the results will be accepted.

If the system does not perform as expected, an analysis will be performed to determine the cause. The test will be repeated in an attempt to reproduce the results. If the failure can be reproduced and the expected results are not met, the system will have failed the test. If the results cannot be reproduced, the test will continue. All errors encountered will be documented and tracked through resolution.

4.4.5 System-Level Test Case Design

System Level testing will be implemented to evaluate the complete system. This testing will include all proprietary components and COTS components (software, hardware, and peripherals) in a configuration of the system's intended use.

For software system tests, the tests shall be designed according to the stated design objective without consideration of its functional specification. The system level hardware and software test cases shall be prepared independently to assess the response of the hardware and software to a range of conditions.

4.5 Test Specifications

Descriptions of the tests required to evaluate the EVS 5.2.4.0 to the scope defined in Section 1.5 are provided in the subsections below.

4.5.1 TDP Evaluation

In order to determine compliance of the modified TDP documents with the EAC VVSG 1.0, a limited TDP review shall be conducted. This review will focus on TDP documents that have been modified since the certification of the baseline system. The review will consist of a compliance review to determine if each regulatory, state, or manufacturer-stated requirement has been met based on the context of each requirement. Results of the review of each document will be entered on the TDP Review Checklist and reported to the manufacturer for disposition of any anomalies. This process will be ongoing until all anomalies are resolved.

Any revised documents during the TDP review process will be compared with the previous document revision to determine changes made, and the document will be re-reviewed to determine whether subject requirements have been met.

A listing of all documents contained in the EVS 5.2.4.0 TDP is provided in Table 4-1.

Table 4-1. EVS 5.2.4.0 TDP Documents

| Document ID | Description | Document Revision |
|---|---|-------------------|
| <i>Preface</i> | | |
| EVS5240_C_L_Requirements Matrix | Requirements of the 2005 VVSG Trace to Vendor Testing | 1.0 |
| <i>System Overview</i> | | |
| EVS5240_C_D_0100_SYSOV R | ES&S Voting System 5.2.4.0 System Overview | 1.0 |
| <i>System Functionality Description</i> | | |
| EVS5240_C_D_0200_SFD | ES&S Voting System 5.2.4.0 System Functionality Description | 1.0 |
| <i>System Hardware Specification</i> | | |
| AQS-18-5000-001-F | AutoMARK System Hardware Specification | 6 |
| AQS-18-5002-000-S | AutoMARK System Hardware Overview | 9 |
| DS200HW_M_SPC_0312_H WSPEC | DS200 Hardware Specification, Hardware Revision 1.2 | 3.4 |
| DS200HW_M_SPC_0313_H WSPEC | DS200 Hardware Specification, Hardware Revision 1.3 | 4.5 |
| DS450_1'0_SPC_HWSPEC | DS450 Hardware Specification, Hardware Revision 1.0 | 1.6 |
| DS850HW_M_SPC_0310_HWSPEC | DS850 Hardware Specification, Hardware Revision 1.0 | 1.6 |

Table 4-1. EVS 5.2.4.0 TDP Documents (continued)

| Document ID | Description | Document Revision |
|--|---|--------------------------|
| EVOTEHW_M_SPC_0310_H WSPEC | ExpressVote Hardware Specification, Hardware Revision 1.0 | 3.10 |
| EVOTEHW_M_SPC_0321_H WSPEC | ExpressVote Hardware Specification, Hardware Revision 2.1 | 1.3 |
| <i>Software Design and Specification</i> | | |
| EVS5240_D_SDS00_DS200 | DS200 - Software Design Specification | 1.0 |
| EVS5240_D_SDS00_DS450 | DS450 - Software Design Specification | 1.0 |
| EVS5240_D_SDS00_DS850 | DS850 – Software Design Specification | 1.0 |
| EVS5230_D_SDS00_ELS | ES&S Software Design Specifications Event Log Service ES&S Voting System | 1.0 |
| EVS5240_D_SDS00_ERM | ES&S Software Design Specifications Election Reporting Manager (ERM) ES&S Voting System | 1.0 |
| EVS5240_D_SDS00_ExpressVote_HW1'0 | ExpressVote Software Design and Specification | 1.0 |
| EVS5240_D_SDS00_ExpressVote_HW2'1 | ExpressVote® (Hardware Version 2.1) Software Design Specification | 1.1 |
| ESSSYS_D_P_0400_CODINGSTANDARDS | Coding Standards | 1.2 |
| ESSSYS_1'0_P_SYSDEVELOPMENTPROGRAM | System Development Program | 1.5 |
| ESSSYS_1'0_SPC_LicenseAgreements | License Agreements for Procured Software | 1.3 |
| EVS5240_D_SDS00_ELECTIONWARE | Electionware – Software Design Specification | 1.0 |
| AQS-18-5002-003-S | AutoMARK Ballot Image Processing Specifications | 6 |
| AQS-18-5002-007-S | AutoMARK Ballot Scanning and Printing Specification | 5 |
| AQS-18-5000-002-F | AutoMARK Driver API Specification | 5 |
| AQS-18-5002-005-S | AutoMARK ESS Embedded Database Interface Specifications | 5 |
| AQS-18-5001-005-R | AutoMARK Graphical User Interface Design Specifications | 6 |
| AQS-18-5001-002-R | AutoMARK Operating Software (AMOS) Design Specifications | 5 |
| AQS-18-5002-004-S | AutoMARK Operations and Diagnostic Log Specifications | 5 |
| AQS-18-5001-011-R | AutoMARK Programming Specifications Details | 6 |
| AQS-18-5001-004-S | AutoMARK Software Design Specifications | 7 |
| --- | Software Design and Specifications Overview AutoMARK Voter Assist Terminal (VAT) | 1.8 |

Table 4-1. EVS 5.2.4.0 TDP Documents (continued)

| Document ID | Description | Document Revision |
|---|--|--------------------------|
| AQS-18-5001-006-R | AutoMARK Software Development Environment Specifications | 5 |
| AQS-18-5000-004-F | AutoMARK Software Diagnostics Specification | 5 |
| AQS-18-4000-000-S | AutoMARK ESS Software Standards Specification | 5 |
| <i>System Test and Verification</i> | | |
| EVS5240_QA_D_0500_SYS TESTPLAN | ES&S Voting System 5.2.4.0 System Test Plan | 1.0 |
| AMVATHW_P_D_0510_CIF RptAMVAT | Usability Test Report ES&S AutoMARK Voter Assist Terminal (VAT) Version 1.X | --- |
| DS200HW_P_D_0512_CIFR ptDS200 | Usability Test Report DS200 Precinct Ballot Scanner Version 1.2.1 | --- |
| ExpressVoteHW_P_D_0509_ CIFRptExpressVote | ExpressVote Usability Report ES&S Voting System 5.2.0.0 | --- |
| <i>System Security Specification</i> | | |
| AQS-18-5002-001-S | AutoMARK System Security Specifications | 7 |
| EVS5240_CM_SPC00_SysSe curitySpec | ES&S Voting System Security Specification | 1.0 |
| EVS5240_CM_SPC_CLIEN TWORKSTATIONSETUPC ONFIGGUIDE | ES&S Voting System 5.2.4.0 EMS Client Workstation Secure Setup & Configuration Guide | 1.1 |
| EVS5240_CM_SPC_EMSSE RVERSETUPCONFIGGUID E | ES&S Voting System 5.2.4.0 EMS Server Secure Setup & Configuration Guide | 1.1 |
| EVS5240_CM_SPC02_SECS CRIPTDESC | ES&S Voting System 5.2.4.0 Security Script Description | 1.0 |
| EVS5240_CM_SPC_STAND ALONWORKSTATIONSE TUPCONFIGGUIDE | ES&S Voting System 5.2.4.0 Standalone EMS Workstation Secure Setup & Configuration Guide | 1.1 |
| EVS5240_CM_D_2010_EM SVERIFICATIONPROCED URE | Verification Procedure: Election Management System | 1.1 |
| EVS5240_CM_D_2021_Auto MARKVerificationProcedure | Verification Procedure: AutoMARK Ballot Marking Device | 1.1 |
| EVS5240_CM_D_2050_DS8 50VERIFICATIONPROCED URE | Verification Procedure: DS850 Central Scanner & Tabulator | 1.1 |
| EVS5240_CM_D_2060_DS4 50VERIFICATIONPROCED URE | Verification Procedure: DS450 Central Scanner & Tabulator | 1.1 |
| EVS5240_CM_D_2070_DS2 00VERIFICATIONPROCED URE | Verification Procedure: DS200 Precinct Scanner & Tabulator | 1.1 |

Table 4-1. EVS 5.2.4.0 TDP Documents (continued)

| Document ID | Description | Document Revision |
|--|---|--------------------------|
| EVS5240_CM_D_2081_ExpressVoteVerificationProcedure_HW1'0 | Verification Procedure: ExpressVote HW1.0 Universal Voting System | 1.1 |
| EVS5240_CM_D_2082_ExpressVoteVerificationProcedure_HW2'1 | Verification Procedure: ExpressVote HW2.1 Universal Voting System | 1.0 |
| EVS5240_D_L01_StaticDynamicFileList_Electionware | Electionware Static File List | 1.0 |
| EVS5240_D_L02_StaticDynamicFileList_ExpressVote_HW1'0 | ExpressVote Static Files | 1.0 |
| EVS5240_D_L02_StaticDynamicFileList_ExpressVote_HW2'1 | Validation File List: ExpressVote | 1.1 |
| EVS5240_D_L03_StaticDynamicFileList_DS450 | DS450 Static File List | 1.0 |
| EVS5240_D_L04_StaticDynamicFileList_DS200 | DS200 Static File List | 1.0 |
| EVS5240_D_L05_StaticDynamicFileList_DS850 | DS850 Static File List | 1.0 |
| EVS5240_D_L06_StaticDynamicFileList_AutoMARK | AutoMARK Static File List | 1.0 |
| EVS5240_D_L08_StaticDynamicFileList_ERM | ERM Static File List | 1.0 |
| EVS5240_D_L11_StaticDynamicFileList_ExpressVotePreviewer_HW1'0 | ExpressVote Previewer Static File List | 1.0 |
| EVS5240_D_L11_StaticDynamicFileList_ExpressVotePreviewer_HW2'1 | Validation File List: ExpressVote HW2.1 Previewer | 1.1 |
| EVS5240_D_L15_StaticDynamicFileList_ELS | Event Logging Service Static Files | 1.0 |
| EVS5240_D_L16_StaticDynamicFileList_RMS | Removable Media Service Static File List | 1.0 |
| EVS5240_D_L19_StaticDynamicFileList_VATPreviewer | VAT Previewer Static File List | 1.0 |
| ESSSYS_EVS5230_BP_EM_SBUILDENVIRONMENT | Build Environment Construction, Election Management System | 1.4 |
| ESSSYS_EVS5230_BP_EXPRESSVOTEUVS-V1VMTRUSTEDBUILD1 | Build Procedure: ExpressVoteUVS-v1 and ExpressVoteUVS-v1 Previewer Trusted Build 1 | 2.0 |
| <i>System Operations Procedures</i> | | |
| EVS5240_DOC_SOP_AMVAT | AutoMARK Operator's Guide, Firmware Version 1.8 | 1.0 |
| EVS5240_DOC_SOP_DS200 | DS200 Operator's Guide. Firmware Version 2.12 | 1.0 |

Table 4-1. EVS 5.2.4.0 TDP Documents (continued)

| Document ID | Description | Document Revision |
|--|---|--------------------------|
| EVS5240_DOC_SOP_DS200_APPX | DS200 Operator's Guide Appendices, Firmware Version 2.12 | 1.0 |
| EVS5240_DOC_SOP_DS450 | DS450 Operator's Guide, Firmware Version 3.0 | 1.0 |
| EVS5240_DOC_SOP_DS450_APPX | DS450 Operator's Guide Appendices, Firmware Version 3.0 | 1.0 |
| EVS5240_DOC_SOP_DS850 | DS850 Operator's Guide, Firmware Version 2.10 | 1.1 |
| EVS5240_DOC_SOP_DS850_APPX | DS850 Operator's Guide Appendices, Firmware Version 2.10 | 1.0 |
| EVS5240_DOC_SOP_ELS | EVS Event Logging Service User's Guide, Software Version 1.5 | 1.0 |
| EVS5240_DOC_SOP_ERM | Election Reporting Manager User's Guide, Software Version 8.12 | 1.0 |
| EVS5240_DOC_SOP_ERM_APPX | Election Reporting Manager User's Guide Appendices, Software Version 8.12 | 1.0 |
| EVS5240_DOC_SOP_ExpressVote_HW1'0 | ExpressVote Operator's Guide, Firmware Version 1.4 | 1.0 |
| EVS5240_DOC_SOP_ExpressVote_HW1'0_APPX | ExpressVote Operator's Guide Appendices, Firmware Version 1.4 | 1.0 |
| EVS5240_DOC_SOP_EW01_Admin | Electionware Vol. I: Administrator Guide, Software Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_EW02_Define | Electionware Vol. II: Define User Guide, Software Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_EW03_Design | Electionware Vol. III: Design User Guide, Software Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_EW04_Deliver | Electionware Vol. IV: Deliver User Guide, Software Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_EW05_Results | Electionware Vol. V: Results User Guide, Firmware Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_EW06_Appendix | Electionware Vol. VI: Appendices, Firmware Version 4.7 | 1.0 |
| EVS5240_DOC_SOP_ExpressVote_HW2'1 | ExpressVote Operator's Guide, Hardware Version 2.1, Firmware Version 2.4 | 1.0 |
| <i>System Maintenance Manuals</i> | | |
| EVS5240_DOC_SMM_AMVAT | AutoMARK Maintenance Manual, Firmware Version 1.8 | 1.0 |
| EVS5240_DOC_SMM_DS200 | DS200 Maintenance Manual, Firmware Version 2.12 | 1.0 |
| EVS5240_DOC_SMM_DS450 | DS450 Maintenance Manual, Firmware Version 3.0 | 1.0 |
| EVS5240_DOC_SMM_DS850 | DS850 Maintenance Manual, Firmware Version 2.10 | 1.0 |
| EVS5240_DOC_SMM_ExpressVote_HW1'0 | ExpressVote Maintenance Manual, Firmware Version 1.4 | 1.0 |

Table 4-1. EVS 5.2.4.0 TDP Documents (continued)

| Document ID | Description | Document Revision |
|---|--|--------------------------|
| EVSS5240_DOC_SMM_ExpressVote_HW2.1 | ExpressVote Maintenance Manual, Firmware Version 2.4, Hardware Version 2.1 | 1.0 |
| <i>Personnel Deployment and Training</i> | | |
| ESSSYS_T_D_0900_TRAININGPROGRAM | Personnel Deployment and Training Program | 1.1 |
| <i>Configuration Management Plan</i> | | |
| SSSYS_CM_P_1000_CMProgram | Configuration Management Program | 2.1 |
| EVSS5240_DOC_P_1000_TDPGRAM | Technical Documentation Program | 1.0 |
| <i>QA Program</i> | | |
| EVSS5240_M_P_1100_MNFQAPROGRAM | Manufacturing Quality Assurance Program | 1.0 |
| ESSSYS_QA_P_1100_SWQAPROGRAM | Software Quality Assurance Program | 1.2 |
| <i>System Change Notes</i> | | |
| EVSS5240_DOC_D_1200_ChangeNotes | ES&S Voting System 5.2.4.0 System Change Notes | 1.0 |
| <i>Attachments</i> | | |
| BPG_1.0_SOP | Ballot Production Guide for EVS | 2.9 |

4.5.2 Source Code Review

Pro V&V will review the submitted source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards. Prior to initiating the software review, Pro V&V shall verify that the submitted documentation is sufficient to enable: (1) a review of the source code and (2) Pro V&V to design and conduct tests at every level of the software structure to verify that design specifications and performance guidelines are met.

A combination of Automated Source Code Review and Manual Source Code Review methods will be used to review the changes in the source code from the previously certified EVS 5.2.3.0 voting system. In addition, 10% of the source code comments will be manually reviewed.

4.5.3 Physical Configuration Audit (PCA)

The Physical Configuration Audit (PCA) compares the voting system components submitted for qualification to the manufacturer’s technical documentation, and shall include the following activities:

- Establish a configuration baseline of software and hardware to be tested; confirm whether manufacturer's documentation is sufficient for the user to install, validate, operate, and maintain the voting system
- Verify software conforms to the manufacturer's specifications; inspect all records of manufacturer's release control system; if changes have been made to the baseline version, verify manufacturer's engineering and test data are for the software version submitted for certification
- If the hardware is non-COTS, Pro V&V shall review drawings, specifications, technical data, and test data associated with system hardware to establish system hardware baseline associated with software baseline
- Review manufacturer's documents of user acceptance test procedures and data against system's functional specifications; resolve any discrepancy or inadequacy in manufacturer's plan or data prior to beginning system integration functional and performance tests
- Subsequent changes to baseline software configuration made during testing, as well as system hardware changes that may produce a change in software operation are subject to re-examination

4.5.4 Functional Configuration Audit (FCA)

The Functional Configuration Audit (FCA) encompasses an examination of manufacturer's tests, and the conduct of additional tests, to verify that the system hardware and software perform all the functions described in the manufacturer's documentation submitted in the TDP.

In addition to functioning according to the manufacturer's documentation, tests will be conducted to ensure all applicable EAC VVSG 1.0 requirements are met.

4.5.5 Accuracy

The Accuracy test ensures that each component of the voting system can each process 1,549,703 consecutive ballot positions correctly within the allowable target error rate. The Accuracy test is designed to test the ability of the system to "capture, record, store, consolidate and report" specific selections and absences of a selection. The required accuracy is defined as an error rate. This rate is the maximum number of errors allowed while processing a specified volume of data. For paper-based voting systems, the ballot positions on a paper ballot must be scanned to detect selections for individual candidates and contests and the conversion of those selections detected on the paper ballot converted into digital data. In an effort to achieve this and to verify the proper functionality of the units under test, the following methods will be used to test components of the voting system:

The accuracy requirements for the ExpressVote 1.0, DS200, DS450, DS850, and AutoMark were met as part of the previous EVS 5.2.3.0 test campaign. Only the ExpressVote 2.1 (versions 2.1.0.0 and 2.1.2.0) will be subjected to the Accuracy Test as part of this test campaign. Testing of the ExpressVote 2.1 will be accomplished by the execution of the standard accuracy test utilizing pre-marked vote summary cards of each card length supported.

4.5.6 System Integration

System Level test for the integrated operation of both hardware and software.

Compatibility of the voting system software components or subsystems with one another, and with other components of the voting system environment, shall be determined through functional tests integrating the voting system software with the remainder of the system.

Additionally, the system shall be configured exactly as it would for normal field use. This includes connecting all supporting equipment and peripherals including ballot boxes, voting booths (regular and accessible), and any physical security equipment such as locks and ties.

Pro V&V personnel shall properly configure and test the system by following the procedures detailed in the EVS 5.2.4.0 technical documentation.

5.0 TEST DATA

The following subsections provide information concerning test data recording, criteria, and reduction.

5.1 Test Data Recording

All equipment utilized for test data recording shall be identified in the test data package. The output test data shall be recorded in an appropriate manner as to allow for data analysis. For source code and TDP reviews, results shall be compiled in reports and submitted to ES&S for resolution.

5.2 Test Data Criteria

The EVS 5.2.4.0 shall be evaluated against all applicable requirements contained in the EAC VVSG 1.0. The acceptable range for system performance and the expected results for each test case shall be derived from the manufacturer-submitted technical documentation and the EAC VVSG 1.0.

6.0 TEST PROCEDURE AND CONDITIONS

The following subsections detail the facility requirements, test setup conditions, and sequence of testing.

6.1 Facility Requirements

Unless otherwise annotated, all testing shall be conducted at the Pro V&V test facility located in Huntsville, AL, by personnel verified by Pro V&V to be qualified to perform the test.

Unless otherwise specified herein, testing shall be performed at the following standard ambient conditions and tolerances:

- Temperature: 68-75° F ($\pm 3.6^\circ\text{F}$)

- Relative Humidity: Local Site Humidity
- Atmospheric Pressure: Local Site Pressure
- Time Allowable Tolerance: $\pm 5\%$

Testing performed at third-party laboratories will be subjected to the test parameters and tolerances defined by the test facility and will be reported in the final Test Report.

6.2 Test Set-up

All voting system equipment shall be received and documented using Pro V&V proper QA procedures. Upon receipt of all hardware, an inspection will be performed to verify that the equipment received is free from obvious signs of damage and/or degradation that may have occurred during transit. If present, this damage shall be recorded, photographed, and reported to the ES&S Representative. Additionally, a comparison shall be made between the recorded serial numbers/part numbers and those listed on shipper's manifest and any discrepancies shall be reported to the ES&S Representative.

TDP items and all source code received shall be inventoried and maintained by Pro V&V during the test campaign.

During test performance, the system shall be configured as it would be for normal field use. This includes connecting all supporting equipment and peripherals.

6.3 Test Sequence

The EVS 5.2.4.0 will be evaluated against all applicable requirements in the EAC VVSG 1.0. There is no required sequence for test performance.

6.4 Test Operations Procedure

Pro V&V will identify PASS/FAIL criteria for each executed test case. The PASS/FAIL criteria will be based on the specific expected results of the system. In the case of an unexpected result that deviates from what is considered standard, normal, or expected, a root cause analysis will be performed.

Pro V&V will evaluate every EAC VVSG 1.0 requirement applicable to the EVS 5.2.4.0. Any deficiencies noted will be reported to the EAC and the manufacturer. If it is determined that there is insufficient data to determine compliance, this Test Plan will be altered and additional testing will be performed.

APPENDIX A
PROJECT SCHEDULE

| Task Name | Start Date | End Date | Assigned To | Duration | Predecessors |
|-------------------------------------|-----------------|-----------------|--------------|------------|--------------|
| Project Start Point | 04/02/18 | 05/01/18 | | 22d | |
| EAC Application Submitted | 04/02/18 | 04/02/18 | Stephen Han | 1d | |
| Equipment Delivered for TRR | 04/02/18 | 04/02/18 | Stephen Han | 1d | |
| TDP Delivered for TRR | 03/23/18 | 03/23/18 | Alan Simmons | 1d | |
| Source Code Delivered for TRR | 03/28/18 | 03/28/18 | Jack Cobb | 1d | |
| Election Provided by ES&S for TRR | 04/02/18 | 04/02/18 | Stephen Han | 1d | |
| System Setup for TRR | 04/02/18 | 04/02/18 | Stephen Han | 1d | |
| Mark Test Performed | 04/02/18 | 04/02/18 | Stephen Han | 1d | |
| TRR Approval Submitted to EAC | 04/03/18 | 04/03/18 | Stephen Han | 1d | |
| EAC Application Approved | 04/03/18 | 04/03/18 | Stephen Han | 1d | |
| TDP | 03/23/18 | 04/23/18 | | 22d | |
| Initial Review | 03/23/18 | 03/27/18 | Alan Simmons | 3d | |
| Compliance Review | 03/28/18 | 04/17/18 | Alan Simmons | 15d | 12 |
| Final review | 04/18/18 | 04/23/18 | Alan Simmons | 4d | 13 |
| Test Plan | 04/06/18 | 05/30/18 | | 39d | |
| Test Plan Creation | 04/06/18 | 04/12/18 | Wendy Owens | 5d | |
| Vendor Review & Comments | 04/13/18 | 04/13/18 | Wendy Owens | 1d | 16 |
| EAC Submission and Review | 04/16/18 | 05/11/18 | Wendy Owens | 20d | 17 |
| EAC Comment Review & Update | 05/14/18 | 05/15/18 | Wendy Owens | 2d | 18 |
| EAC Submission & Review of Revision | 05/16/18 | 05/29/18 | Wendy Owens | 10d | 19 |
| EAC Approved Test Plan | 05/30/18 | 05/30/18 | Wendy Owens | 1d | 20 |
| Source Code | 04/02/18 | 04/04/18 | | 3d | |
| Automated Review | 04/02/18 | 04/02/18 | Jack Cobb | 1d | |
| Source Code Review | 04/02/18 | 04/02/18 | Jack Cobb | 1d | |
| Source Code Re-Review | 04/03/18 | 04/03/18 | Jack Cobb | 1d | 24 |
| Document Review | 04/02/18 | 04/02/18 | Jack Cobb | 1d | |
| Compliance Build | 04/03/18 | 04/04/18 | Jack Cobb | 2d | 26 |
| System Delivery & Setup | 04/02/18 | 04/06/18 | | 5d | |
| PCA | 04/02/18 | 04/03/18 | Stephen Han | 2d | |
| System Setup | 04/04/18 | 04/04/18 | Stephen Han | 1d | 29 |
| System Loads & Hardening | 04/05/18 | 04/06/18 | Stephen Han | 2d | 30 |
| System Level Testing | 04/09/18 | 04/26/18 | | 14d | |
| FCA | 04/09/18 | 04/10/18 | Stephen Han | 2d | 31 |
| Accuracy | 04/11/18 | 04/12/18 | Stephen Han | 2d | |
| Trusted Build | 04/17/18 | 04/18/18 | Jack Cobb | 2d | |
| System Loads & Hardening | 04/19/18 | 04/20/18 | Stephen Han | 2d | 35 |
| Regression Testing | 04/23/18 | 04/23/18 | Stephen Han | 1d | 36 |
| System Integration | 04/24/18 | 04/26/18 | Stephen Han | 3d | 37 |
| Test Report | 04/27/18 | 07/20/18 | | 61d | |
| Test Report Creation | 04/27/18 | 06/04/18 | Wendy Owens | 27d | 38 |
| Vendor Review & Comments | 06/05/18 | 06/05/18 | Wendy Owens | 1d | 40 |
| EAC Submission & Review | 06/06/18 | 07/03/18 | Wendy Owens | 20d | 41 |
| EAC Comment Review & Update | 07/04/18 | 07/05/18 | Wendy Owens | 2d | 42 |
| EAC Submission & Review of Revision | 07/06/18 | 07/19/18 | Wendy Owens | 10d | 43 |
| EAC Approved Test Report | 07/20/18 | 07/20/18 | Wendy Owens | 1d | 44 |