



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

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

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

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

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

| | | | |
|-----------------------|--------------------------|---------------------|------------------------------------|
| Vendor: | Hart InterCivic | Reviewer(s): | Georgia Fortun, M. Santos |
| Voting System: | Verity Voting 2.0 | Review Date: | 12/07/2015, 12/08/2015, 12/22/2015 |

Applicable TDP Documents

| Document Title (from cover pg), version, date | Doc # | File name |
|--|-------|--|
| Quality Manual, REV: D.03, 5/19/2015 | #1 | Quality Manual 1000490 D03.pdf |
| Voting System Implementation And Maintenance Process Document, REV: C.01, 05/19/2015 | #2 | Voting System Implementation and Maintenance 1000745 C01.pdf |



| Document Title (from cover pg), version, date | Doc # | File name |
|---|-------|--|
| Supplier Qualification and Management Procedure, REV: C.02, 05/19/2015 | #3 | Supplier Qualification and Management 1000563 C02.pdf |
| Verity Trace - Quality Assurance, 04/20/2015 | #4 | 2.12 Verity Trace - Quality Assurance.pdf |
| Hardware Design and Development Procedure, REV: D.01, 05/19/2015 | #5 | Hardware Design Development Procedure 1000513 D01.pdf |
| Verity 1.3.0 Technical Data Package Overview, B.00, 10/10/2015 | #6 | Verity 2.0 TDP Overview 4005511 B00.pdf |
| Hardware Verification and Validation Process, REV: D.01, 05/19/2015 | #7 | Hardware Verification and Validation Process 1000514 D01.pdf |
| VSTL Product Submission Procedure, REV: D.02, 05/19/2015 | #8 | VSTL Product Submission Procedure 1000565 D02.pdf |
| Software Test Design and Development Procedure, REV: D.02, 05/19/2015 | #9 | Software Test Design Development 1000508 D02.pdf |
| Verity - Operations PRD Ops/Services/Supply Chain Planning Document, A.01, 12/11/2014 | #10 | Verity OPS-Services-SC Plan 4005302 A01.pdf |
| First Pass Yield Report, December 21, 2015 no version number | #11 | SCAN.pdf |
| First Pass Yield Report, December 17, 2015 no version number | #12 | TOUCH WRITER.pdf |
| Touch Writer/Scan Verity Aegis Routing, no date nor version number | #13 | TW_Scan Verity Aegis Routing.pdf |

Trace Table

| Req # | VVSG 2005 Testing Standards - Vol.2 unless otherwise specified | Traced | Comments |
|----------------|--|--|----------|
| 2 | Technical Data Package | | |
| 2.1 | Scope | | |
| 2.1.1 | Content and Format | | |
| 2.1.1.1 | Required Content for Initial Certification (Indicate "*" if this document does not fall into the identified category of documentation.) | | |
| k. | At minimum, the TDP shall contain the following documentation: Quality assurance program; | Doc #1 - Entire document.. | Y |
| 2.1.1.3 | Format | | |
| | The requirements for formatting the TDP are general in nature; specific format details are of the vendor's choosing. The TDP shall include a detailed table of | Doc #4 - Entire document. Doc #6 - Entire document. | Y |



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|---------------|--|---|--|
| | contents for the required documents, an abstract of each document and a listing of each of the informational sections and appendices presented. A cross-index shall be provided indicating the portions of the documents that are responsive to documentation requirements for any item presented. | | |
| 2.1.3 | Protection of Proprietary Information | | |
| | The vendor shall identify all documents, or portions of documents, containing proprietary information not approved for public release. Any person or test agency receiving proprietary information shall agree to use it solely for the purpose of analyzing and testing the system, and shall agree to refrain from otherwise using the proprietary information or disclosing it to any other person or agency without the prior written consent of the vendor, unless disclosure is legally compelled. | Doc #2 confidential and proprietary, pg. 1. Doc #10 confidential and proprietary, pg. 1. | Y Doc #1 - public, pg. 1. Doc #3 - public, pg. 1. Doc #4 - public, pg. 1 Doc #6 - public, pg. 1 Doc #7 - public, pg. 1 Doc #8 - public, pg. 1 Doc #9 - public, pg. 1 |
| 2.12 | Quality Assurance Program | | |
| | Vendors shall submit a Quality Assurance Program that addresses the quality assurance requirements of Volume I, Section 8. This plan shall describe all policies, processes and procedures employed by the vendor to ensure the overall quality of the system for its initial development and release and for subsequent modifications and releases. This information is particularly important to support the design of test plans by the accredited test lab. A well-organized, robust and detailed Quality Assurance Program will enable the accredited test lab to more readily determine the nature and scope of tests needed to test the system appropriately. The Quality Assurance Program shall, at a minimum, address the topics indicated below. | Doc #1 - Entire document. | Y |
| 2.12.1 | Quality Assurance Policy | | |
| a. | The vendor shall provide a description of its organizational policies for quality assurance, including: | Doc #1 - Entire document. Doc #2 - Entire document. | Y |



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|--------------------|--|--|----------|
| | Scope and nature of Quality Assurance activities; | | |
| b. | The vendor shall provide a description of its organizational policies for quality assurance, including: Breadth of application of vendor's policy and practices to the voting system. | Doc #1 - Entire document. Doc #2 - Entire document. Doc #3 - Entire document. | Y |
| 2.12.2 | Parts & Materials Tests | | |
| | The vendor shall provide a description of its practices for parts and materials tests and examinations that meet the requirements of Volume I, Subsection 8.5. | Doc #5 - Entire document. Doc #7 - Entire document. | Y |
| Vol. 1, 8.5 | Parts and Materials Special Tests and Examinations | | |
| a | In order to ensure that voting system parts and materials function properly, vendors shall: Select parts and materials to be used in voting systems and components according to their suitability for the intended application. Suitability may be determined by similarity of this application to existing standard practice or by means of special tests | Doc #5 - Entire document. Doc #7 - Sections 4.1-4.2, pgs. 4-6. | Y |
| b | In order to ensure that voting system parts and materials function properly, vendors shall: Design special tests, if needed, to evaluate the part or material under conditions accurately simulating the actual voting system operating environment | Doc #7 - Sections 4.1-4.2, pgs. 4-6. | Y |
| c | In order to ensure that voting system parts and materials function properly, vendors shall: Maintain the resulting test data as part of the quality assurance program documentation | Doc #5 - Entire document. Doc #7 - Entire document. | Y |
| 2.12.3 | Quality Conformance Inspections | | |
| | The vendor shall provide a description of its practices for quality conformance inspections that meet the requirements of Volume I, Subsection 8.6. | | |
| a. | For each test performed, the record of tests provided shall include: Test location; | Doc #10 - Section 6.12.3 Metrics and Reporting, pg. 18. | Y |
| b. | For each test performed, the record of tests provided | Doc #10 - Section 6.12.3 Metrics and Reporting, | Y |



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| | shall include: Test date; | pg. 18. | |
| c. | For each test performed, the record of tests provided shall include: Individual who conducted the test; | Doc #10 - Section 6.12.3 Metrics and Reporting, pg. 18. | Y |
| d. | For each test performed, the record of tests provided shall include: Test outcomes. | Doc #10 - Section 6.12.3 Metrics and Reporting, pg. 18. | Y |
| Vol. 1, 8.6 | Quality Conformance Inspections | | |
| a. | To meet the conformance inspection requirements the vendor or manufacturer shall: Inspect and test each voting system or component to verify that it meets all inspection and test requirements for the system | Doc #7 - Entire document..(Hardware) Doc #9 - Entire document..(Software) | Y |
| b. | To meet the conformance inspection requirements the vendor or manufacturer shall: Deliver a record of tests or a certificate of satisfactory completion with each system or component | Doc #11 - Entire document - Scan (top level scan, scan - baseboard & rear panel board assy., scan baseboard, scan rear panel board). Doc #12 - Entire document - Touch Writer (T/W - top level, Touch Writer - base board and rear panel board assy., T/W - baseboard, T/W - rear panel board). Doc #13 - Entire document Touch Writer/Scan Verity Aegis Process. | P 12/22/2015 Doc #11-13 added to TDP NOTE: Per M. Santos, this area will be reviewed in the FCA Assessment and does not need to be confirmed to be fully met in the PCA doc review --L. Hoppert, 12/23/2015 |
| 2.12.4 | Documentation | | |
| | The vendor shall provide a description of its practices for documentation of the system and system development process that meet the requirements of Volume I, Subsection 8.7. | Doc #8 - Section 4.1, pgs. 4-5. | Y |
| Vol. 1, 8.7 | Documentation | | |
| | Vendors are required to produce documentation to support the independent testing required for their products to be granted national certification. Volume II, | Traced each to their respective PCA Doc • System overview - • System functionality description | Y |



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|-------|---|---|----------|
| | <p>Section 2, Description of the Technical Data Package, identifies the documentation required for the national certification testing process. This documentation shall be sufficient to serve the needs of the test lab, election officials, and maintenance technicians. It shall be prepared and published in accordance with standard commercial practice for information technology and electronic and mechanical equipment. It shall include, at a minimum, the following:</p> <ul style="list-style-type: none">• System overview• System functionality description• System hardware specification• Software design and specifications• System security specification• System test and verification specification• System operations procedures• System maintenance procedures• Personnel deployment and training requirements• Configuration management plan• Quality assurance program• System change notes | <ul style="list-style-type: none">• System hardware specification• Software design and specifications• System security specification• System test and verification specification• System operations procedures• System maintenance procedures• Personnel deployment and training requirements• Configuration management plan• Quality assurance program• System change notes | |

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