

Minutes
State Election Commission Meeting
August 12, 2013

The State Election Commission meeting was called to order by Chairman Jimmy Wallace at 12:15 p.m., Central Standard Time August 12, 2013. The following members and staff were present: Commissioners Blackburn, DuBois, Head, Wheeler and Younce; Coordinator of Elections Mark Goins; Andrew Dodd, Elections Attorney and Kathy Summers, Elections Specialist.

Motion was made, seconded and unanimously approved to adopt the minutes from July 8, 2013.

Pursuant to T.C.A. § § 2-12-101 and 2-12-106, motion was made, seconded and unanimously approved to accept the nominations for county election commission appointments as submitted by commission members and to remain open until the close of business (4:30 p.m. Central Standard Time). **(No appointments made.)**

Old Business

- **None**

New Business

- **Commissioner Kent Younce** - discussed moving the monthly State Election Commission meeting to once per quarter and in the event of necessity at the call of the chairman or secretary.

Motion was made, seconded and unanimously approved to meet on the second Monday of January, April, July and October, unless statutorily required otherwise to meet, or to meet telephonically, if necessary, by the call of the Chairman or Secretary of the commission.

- **RBM/Unisyn** – Presentation of the OVI-VC was given by Dan McGinnis, Keith McGinnis, Todd Mullins and Barry Herron. Handout information provided by RBM/Unisyn is attached to the minutes. RBM/Unisyn demonstrated how their voting system will print ballots for all voters on demand.

Coordinator Goins had requested RBM/Unisyn to come before the State Election Commission to seek further certification if they want to use or market their product as a ballot on demand system. The original viewing of the OVI-VC, pursuant to the state certification requirements, in an election setting did not print a ballot for every voter.

Motion was made, seconded to certify the OVI-VC voting machine as demonstrated. Discussion followed. After discussion Commissioner Blackburn withdrew her motion and Commissioner Head withdrew his second. The commission agreed to view the machine in use as demonstrated on November 5, 2013, in Independence, Mo; along with Coordinator Goins, provided the election meets the State Election Commission criteria for reviewing a voting machine.

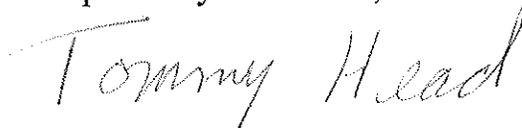
Coordinator Update

- Several counties are receiving grants to update their voting machines.
- Davidson County Election Commission is currently searching for a new AOE.

The next meeting is October 14, 2013. The meeting will be held in the William R. Snodgrass – Tennessee Tower, Nashville Room - 3rd at 12:00 Noon Central Standard Time.

Motion was made to adjourn, and there being no further business to come before the commission at this time, the meeting was adjourned.

Respectfully submitted,

A handwritten signature in black ink that reads "Tommy Head". The signature is written in a cursive, slightly slanted style.

Tommy Head, Acting - Secretary
State Election Commission

Vacant Status

12-Aug-13

Bedford

D Tommy Head

R Tom DuBois

R

Grundy

D Tommy Head

R Tom DuBois

R

Haywood

D Greg Duckett

R Jimmy Wallace

D

Marshall

D Tommy Head

R Tom DuBois

D

Moore

D Tommy Head

R Tom DuBois

D

Total Vacancies: 5

Holdover Status

12-Aug-13

		Appointment	Reappointment	
Benton				
D	Greg Duckett			
R	Jimmy Wallace			
	D	Ronnie Pruiett	6/17/2008	4/11/2011
	D	Dinah S. (Diane) Latimer	10/8/2012	10/8/2012
Gibson				
D	Greg Duckett			
R	Jimmy Wallace			
	D	Kathleen Smith	6/22/2007	5/27/2009
	D	Robert S. Phelan	4/3/1995	5/27/2009
Obion				
D	Greg Duckett			
R	Jimmy Wallace			
	D	Dave Frankum	10/19/2004	8/8/2011
	D	John Algee	2/19/2003	8/8/2011
Weakley				
D	Greg Duckett			
R	Jimmy Wallace			
	D	Raymond Stevenson	12/5/2011	12/5/2011
	D	Beau Pemberton	5/28/2009	8/8/2011
Total Holdovers: 8				



August 12th, 2013

Mr. Mark Goins, Coordinator of Elections
State of Tennessee and
State of Tennessee Election Commissioners
Division of Elections
312 Rosa L. Parks Avenue, 9th Floor
Nashville, Tennessee 37243-0305

Dear Mr. Goins and Commission Members,

Unisyn Voting Solutions and RBM Consulting wishes to thank you for the opportunity to appear and to clarify the certification issued by the State Election Commission on June 18th, 2012. While there are no exceptions noted it has come to our attention that clarification is desired for use of the OVI-VC in an Early Vote environment.

As you are aware the Unisyn OpenElect system has been certified by the Election Assistance Commission to the 2005 Voluntary Voting System Guidelines (2005 VVSG).

According to the attached documents the OVI-VC is certified to be "Used as an ADA solution and Early Voting Device" and has been tested to these standards and certified.

The Wyle test plan, EAC application number UNS 1102 provides several references which verify this testing and usability. Please see the following references:

- Page 3 Table 1.1
- Page 9 1.5.1 System Overview
- Page 14 1.5.3 Supported Functionality
- Page 20 4.0 Test specifications- Ballot Marking Device
- Page 29 6.5 System level Test
- Page B-4 Usability Testing

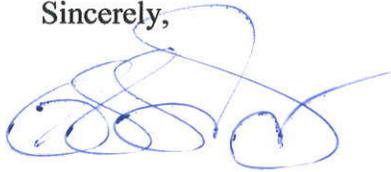
A second document is also provided entitled 4.0 TEST FINDINGS AND RECOMMENDATIONS (continued). This document provides more detail as to how the tests were conducted and quantities of ballots processed to ensure reliability and accuracy.

Unisyn Voting Solutions and RBM Consulting believe that the above referenced testing does ensure that no matter how the systems are configured by the Counties, a reliable and accurate election will be the result.

We look forward to answering any further concerns you may have and to explain for the Commission some of the benefits derived by the counties regarding ongoing cost savings to be realized from the use of the OVI VC in the manner as described by the documentation provided.

Thank you again for your time today as we are excited that several of the counties appear ready to move forward with the acquisition of our technology following today's meeting.

Sincerely,



Jeff Johnson
President
Unisyn Voting Solutions, Inc



Dan McGinnis
Managing Partner
RBM Consulting



August 12th, 2013

Mr. Mark Goins, Coordinator of Elections
State of Tennessee and
State of Tennessee Election Commissioners
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312 Rosa L. Parks Avenue, 9th Floor
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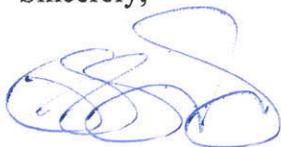
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Sincerely,



Jeff Johnson
President
Unisyn Voting Solutions, Inc



Dan McGinnis
Managing Partner
RBM Consulting

4.0 TEST FINDINGS AND RECOMMENDATIONS (continued)

4.1 Summary Findings and Recommendation (continued)

4.1.2 System Level Testing (continued)

4.1.2.1 Volume and Stress Test

The OVS was subjected to a Volume and Stress Test in accordance with the requirements of Section 6.2.3 of Volume II of the VVSG. The purpose of the test was to investigate the system’s response to conditions that tend to overload the system’s capacity to process, store, and report data. The Volume Test parameters were dependent upon the maximum number of active voting positions and the maximum number of ballot styles that the TDP claims the system can support.

Testing was performed by exercising an election definition developed specifically to test for volume and stress (Election Definition: Volume and Stress, contained in [Appendix A.7](#)). The election definition parameters are summarized in Table 4-2.

Table 4-2 Volume and Stress Election Definition Parameters

Ballot Positions	237
Ballot Styles	400
Election Parameters	Closed Primary: No Open Primary: No Partisan offices: Yes Non-Partisan offices: Yes Write-in voting: Yes Primary presidential delegation nominations: No Ballot Rotation: No Straight Party voting: No Cross-party endorsement: No Split Precincts: No Vote for N of M: Yes Recall issues, with options: No Cumulative voting: No Ranked order voting: No Provisional or challenged ballots: No Early Voting: Yes
Districts	400
Precincts	2000
Parties	34
Languages	English
Voting Pattern	A “Test Deck” was created from the OVI printing just the first ballot in the first 400 precincts. All OVI “Test Deck” ballots were scanned back into an OVO with the first 400 precincts initialized. Unisyn provided 2000 professional ballots on 14 inch card stock for the other selected precincts. These ballots were hand-marked ballots in a matrix pattern creating 991 ballot test deck. The OVI “Test Deck” was hand fed into 2 OVO units five times. The OVO “Test Deck” was hand fed two times to produce 1,982 cast ballots in another OVO. An additional 10,000 ballots were cast using “Shoe-shine” mode on another OVO. The OVI “Test Deck” was fed two times into the OVCS. The OVO “Test Deck” was fed into the OVCS twenty-five times.

4.0 TEST FINDINGS AND RECOMMENDATIONS (continued)

4.1 Summary Findings and Recommendation (continued)

4.1.2 System Level Testing (continued)

4.1.2.1 Volume and Stress Test (continued)

Table 4-2 Volume and Stress Election Definition Parameters (continued)

Total Ballots Cast	System	# Ballots	# Machines	# Runs	Total
	OVI	400	2	5	4,000
	OVO	991	1	2	1,982
	OVO (shoe-shine)	10,000	1	1	10,000
	OVCS OVI	400	1	2	800
	OVCS OVO	991	1	25	24,775
				Total	41,557

Total Ballots accurately marked by OVI: 400
Total Ballots scanned by OVCS: 25,575

Summary Findings: At the conclusion of voting during the Volume and Stress test performance, the system failed to tally 10,000 ballots with maximum write-ins. An engineering analysis was performed to determine that the write-in images were being stored in the system memory causing a failure to tally error. A source code revision was performed and the test was restarted. During voting, it was noted that candidate counts were not being counted accurately on the OVO in "Shoe-shine" mode. An engineering analysis was performed and it was determined that the physical paper ballot was invalid and could not be read consistently. A total of 47,510 ballots were processed on the OVO unit with different paper ballots without issues. The test was then restarted and with no anomalies (Reference Notice of Anomaly No. 4 in [Appendix A.1](#) of this report for further details).

A

4.0 TEST FINDINGS AND RECOMMENDATIONS (continued)

4.1 Summary Findings and Recommendation (continued)

4.1.2 System Level Testing (continued)

4.1.2.6 Data Accuracy

The OVS was subjected to a Data Accuracy Test in accordance with the requirements of Section 4.7.1.1 of Volume II of the VVSG. This test was initially performed during hardware testing in conjunction with the Temperature/Power Variation Test. It was later separated into an independent test following anomalies encountered during test performance (reference Notice of Anomaly No. 2 contained in [Appendix A.1](#) for further details).

Per the VVSG, data accuracy is defined in terms of ballot position error rate. This rate applies to the voting functions and supporting equipment that capture, record, store, consolidate, and report the selections (or absence thereof) made by the voter for each ballot position. To meet the requirements of this test, the voting system must be subjected to the casting of a large number of ballots to verify vote recording accuracy, i.e., at least 1,549,703 ballot positions correctly read and recorded.

4.0 TEST FINDINGS AND RECOMMENDATIONS (continued)

4.1 Summary Findings and Recommendation (continued)

4.1.2 System Level Testing (continued)

4.1.2.6 Data Accuracy (continued)

During the Data Accuracy Test, the OVS was subjected to the marking (via the OVI) and scanning (via the OVO and the OVCS) of 8,611 ballots containing 184 possible ballot positions resulting in a total of 1,584,424 ballot positions correctly marked, read, and recorded to verify vote recording accuracy. Testing was performed by exercising an election definition developed specifically to test for logic and accuracy (Election Definition: L & A-01, contained in Appendix A.7). The election definition parameters are summarized in Table 4-3.

Table 4-3 Data Accuracy Election Definition Parameters

Ballot Positions	184 Possible
Election Parameters	Closed Primary: No Open Primary: No Partisan offices: Yes Non-Partisan offices: Yes Write-in voting: Yes Primary presidential delegation nominations: No Ballot Rotation: No Straight Party voting: No Cross-party endorsement: No Split Precincts: No Vote for N of M: Yes Recall issues, with options: No Cumulative voting: No Ranked order voting: No Provisional or challenged ballots: No Early Voting: Yes
Precincts	1
Parties	12
Languages	English, Spanish
Voting Pattern	OVI Test Deck (79 ballots cast per hour)
Total Ballots Cast	Total Ballots accurately marked by OVI: 8,611 Total Ballots scanned by OVO: 8,611 Total Ballots scanned by OVCS: 8,611 Resulting in 1,584,424 positions marked and scanned accurately

Summary Findings: The OVS successfully met the requirements of the Data Accuracy Test by scanning and marking 1,584,424 ballot positions accurately, therefore exceeding the minimum requirement and passing the 26,997 consecutive ballot positions read correctly threshold.



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Job No. T58650.01
 Certification Test Plan No. T58650-01, Rev. A
 November 17, 2011

CERTIFICATION TEST PLAN

EAC Application Number UNS1102

Prepared for:

Manufacturer Name	Unisyn Voting Solutions, Inc.
Manufacturer System	OpenElect Voting System
EAC Application No.	UNS1102
Manufacturer Address	2310 Cousteau Court Vista, CA 92018

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 Ryan Wilson, Test Plan Preparer

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 Raul Terceno, Q.A. Manager



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wyle laboratories			REPORT NO.
			Test Plan T58650.01-01, Rev. A
			DATE
			November 17, 2011
REV	DATE	PAGE OR PARAGRAPH AFFECTED	DESCRIPTION OF CHANGES
---	10-13-11	Entire Document	Original Release
A	11-17-11	Section 1.0	Reworded opening paragraph to provide clarification that the current system being tested (version 1.1) is a modification of the previously certified version 1.0 system.
A	11-17-11	Section 1.3.1	Listed the alternate 15" touchscreen as an enhancement.
A	11-17-11	Section 1.3.2	Added the following sentence to the end of the first paragraph: "The introduction of the 15-inch screen required functional, usability, accessibility and abbreviated EMI testing to verify that the modification did not negatively impact system performance."
A	11-17-11	Section 1.3.2	Added ECO 16877 and IR00552
A	11-17-11	Section 1.4	Section rewritten to provide clarification on proposed reuse of previous testing. Added Table 1-2.
A	11-17-11	Section 1.5.1	Added photograph of new 15" touchscreen and ballot box. Corrected typo.
A	11-17-11	Section 3.1	Removed reference to Telecommunications.
A	11-17-11	Section 3.4	Updated Table 3-4 to include version numbers.
A	11-17-11	Section 4.1	Changed last sentence of third paragraph.
A	11-17-11	Section 4.3	Reworded first paragraph to provide additional information on source code manual review.
A	11-17-11	Appendix A	Implemented minor changes and added E-41.

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1.0 INTRODUCTION

The purpose of this Test Plan is to document the procedures that Wyle will follow to perform certification testing of the Unisyn Voting Solutions, Inc., OpenElect Voting System (OVS), Version 1.1. Previous versions of this system, Unisyn OVS, Versions 1.0 and 1.0.1, have been fully tested to the EAC 2005 VVSG. As a result of this testing, Unisyn OVS Versions 1.0 and 1.0.1 were granted certification under EAC Certification No.'s (UNS10121966-OE and UNS10121966-OE-WI, respectively). Since that time, Unisyn Voting Solutions has incorporated modifications and hardware changes to the certified 1.0 system, resulting in the release of the Unisyn OVS, Version 1.1. These modifications include enhancements to the Ballot Layout Manager, Tabulator, Election Manager, and OpenElect Voting Central Scan applications, as well as enhancements to the OVI and OVO Firmware, security enhancements, and the addition of the Adjudicator application to the OpenElect Central Suite. Unisyn has also introduced a 15" LCD touchscreen as an option for OpenElect Voting Interface (OVI) units. As a result of these modifications, regression testing is required.

The full system details for the previous test campaigns, including system, performance, security, telecommunication, usability, system verification, and TDP deliverables can be reviewed in the EAC test report "Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.0 VSTL Certification Test Report Revision B" and "Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.0.1 VSTL Certification Test Report Revision A", both of which are listed on the EAC website (www.eac.gov).

At test conclusion, the results of all testing performed as part of this test program will be submitted to the EAC in the form of a final report. All supplied equipment and software furnished to Wyle for this program, except for hardware from the initial certification test campaign, shall be returned to the customer at the conclusion of testing unless otherwise agreed in writing.

1.1 References

The list below includes all documents cited in the Test Plan and used in the development of the Test Plan. The documents listed shall be utilized to perform certification testing.

- Election Assistance Commission 2005 Voluntary Voting System Guidelines, Volume I, Version 1.0, "Voting System Performance Guidelines", and Volume II, Version 1.0, "National Certification Testing Guidelines", dated December 2005
- Election Assistance Commission Testing and Certification Program Manual, Version 1.0, effective date January 1, 2007
- Election Assistance Commission Voting System Test laboratory Program Manual, Version 1.0, effective date July 2008
- National Voluntary Laboratory Accreditation Program NIST Handbook 150, 2006 Edition, "NVLAP Procedures and General Requirements (NIST Handbook 150)", dated February 2006
- 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
- Wyle Laboratories' Test Guidelines Documents: EMI-001A, "Wyle Laboratories' Test Guidelines for Performing Electromagnetic Interference (EMI) Testing", and EMI-002A, "Test Procedure for Testing and Documentation of Radiated and Conducted Emissions Performed on Commercial Products"

1.0 INTRODUCTION (CONTINUED)

1.1 References (continued)

- Wyle Laboratories' Quality Assurance Program Manual, Revision 5
- ANSI/NCSL Z540-1, "Calibration Laboratories and Measuring and Test Equipment, General Requirements"
- ISO 10012-1, "Quality Assurance Requirements for Measuring Equipment"
- EAC Requests for Interpretation (listed on www.eac.gov)
- EAC Notices of Clarification (listed on www.eac.gov)
- EAC Quality Monitoring Program residing on:
http://www.eac.gov/testing_and_certification/quality_monitoring_program.aspx
- Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.0 VSTL Certification Test Report Revision B (listed on www.eac.gov)
- Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.0.1 VSTL Certification Test Report Revision A (listed on www.eac.gov)
- Unisyn Voting Solutions, Inc., Open Elect Voting System Version 1.1 Technical Data Package

1.2 Terms and Abbreviations

Table 1-1 defines all terms and abbreviations applicable to the development of this Test Plan.

Table 1-1 Terms and Abbreviations

Term	Abbreviation	Definition
Adjudicator	ADJ	Allows a jurisdiction to evaluate ballots with questionable markings and change them if need, in accordance with the perceived intent of the voter.
Americans with Disabilities Act of 1990	ADA	ADA is a wide-ranging civil rights law that prohibits, under certain circumstances, discrimination based on disability.
Ballot Layout Manager	BLM	Unisyn OVS application used to layout ballot information.
Configuration Management	CM	---
Commercial Off the Shelf	COTS	Commercial, readily available hardware or software.
Direct Record Electronic	DRE	---
United States Election Assistance Commission	EAC	Commission created per the Help America Vote Act of 2002, assigned the responsibility for setting voting system standards and providing for the voluntary testing and certification of voting systems.
Election Manager	EM	Utilizes the election definition file from the Ballot Layout Manager, adds jurisdiction voting device specific options and produces the CD used to load the election onto the voting devices and OVCS.
Election Management System	EMS	Within the OpenElect system, the EMS equivalent is OCS.
Election Server	ES	A component of the OCS, the ES updates the system clock and downloads new Election data to the voting devices prior to each election, typically at the warehouse.
Equipment Under Test	EUT	---

1.0 INTRODUCTION (CONTINUED)

1.2 Terms and Abbreviations (continued)

Table 1-1 Terms and Abbreviations (continued)

Term	Abbreviation	Definition
Functional Configuration Audit	FCA	Exhaustive verification of every system function and combination of functions cited in the manufacturer's documentation.
Help America Vote Act	HAVA	Act created by United States Congress in 2002.
National Institute of Standards and Technology	NIST	Government organization created to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhances economic security and improves our quality of life.
OpenElect Central Suite	OCS	Set of applications supplied by Unisyn to run at the Election Headquarters to support elections on the OVO, OVI, and OVCS systems. Includes: Ballot Layout Manager, Election Manager, Election Server, Tabulator Client, Tabulator Server and Tabulator Reports. In addition, the OCS includes the Software Server (SS) system for updating and validating OVO and OVI (voting device) software. The Adjudicator application allows a Jurisdiction to review and change ballots based on perceived voter intent.
OpenElect Voting Central Scan	OVCS	A bulk scanner solution at the Central Site, used for casting provisional and mail-in ballots; can also be used to perform recounts.
OpenElect Voting Interface	OVI	Used as an ADA solution and early voting device.
OpenElect Voting Optical Scan	OVO	Scanning and tabulating voting device located at the precinct and used during early voting.
OpenElect Voting System	OVS	The Unisyn voting system submitted for certification testing.
Personal Computer	PC	Computer component of the OpenElect Voting System
Physical Configuration Audit	PCA	Review by accredited test laboratory to compare voting system components submitted for certification testing to the manufacturer's technical documentation, and confirmation the documentation meets national certification requirements. A witnessed build of the executable system is performed to ensure the certified release is built from tested components.
Quality Assurance	QA	---
Software Server	SS	Updates and validates voting device client software.
Tabulator	TAB	The Tabulator receives and consolidates election results from the counted OVO and OVCS ballots that have been uploaded by the Tabulator Client (in the case of OVO results) and directly by the OVCS. The Tabulator stores the vote data in the database, provides a status for uploaded vote data and handles Rank Choice Voting functionality.
Tabulator Client	TC	Retrieves vote files from Transport Media devices and provides that data to the tabulator.
Technical Data Package	TDP	Manufacturer documentation related to the voting system required to be submitted as a precondition of certification testing.
Tabulator Reports	TR	Accesses data from the Tabulator database to generate the necessary unofficial and official reports.
Uninterruptible Power Supply	UPS	---
Voluntary Voting System Guidelines	EAC 2005 VVSG	Published by the EAC, the third iteration of national level voting system standards.
Wyle Operating Procedure	WoP	Wyle Test Method or Test Procedure

1.0 INTRODUCTION (CONTINUED)

1.3 Scope of Testing

This test campaign includes the following tests:

- Source code review in accordance with 2005 EAC VVSG.
- Technical Data Package review to ensure all modifications are documented as applicable.
- A limited Physical Configuration Audit (PCA) to baseline the modified system.
- Security test to verify that no security vulnerabilities are introduced by the modifications to the system or the addition of the Adjudicator application.
- Functional Configuration Audit of the new features and enhancements made to the voting system.
- All functionality performed by new or modified subsystems/modules.
- Volume and Stress test to verify that the system modifications do not impact the systems' ability to process large amounts of voting data or the accuracy of the system.
- EMI Testing of the 15-inch OVI touchscreen by performing the following EMI tests: Electromagnetic Radiation test, Electrostatic Discharge test, Electromagnetic Susceptibility test and the Conducted RF Immunity test.
- Usability and Accessibility test to verify that the 15-inch OVI screen conforms to Usability and Accessibility requirements.

1.3.1 Enhancements

Enhancements have been implemented in the Unisyn OVS Version 1.1. These include enhancements to individual applications or components, multiple components, and security enhancements. A partial list of these enhancements, and the respective components to which they apply, is provided below. A complete list of enhancements included in the Unisyn OVS Version 1.1 is included in Appendix A.

- Support for multi-page ballots – BLM
- Support for single sided ballots – BLM
- Adjustable candidate fonts – BLM
- Full page-width measures – BLM
- Sample ballot creation – BLM
- Multiple header configurations – BLM
- Write-In management – TAB
- Multi-Seat ranked choice voting – TAB
- Addition of screen calibration option – OVO and OVI
- On-Screen ballot alerts – OVO
- Archive old logs – OCS
- Alternate 15" touchscreen – OVI

1.0 INTRODUCTION (CONTINUED)

1.3 Scope of Testing (continued)

1.3.2 Hardware

Unisyn has incorporated various hardware changes into the previously certified versions of this system (versions 1.0 and 1.0.1). These changes are fully implemented in the current test campaign for version 1.1. These changes were submitted by Unisyn to Wyle for evaluation and are detailed in the following types of Unisyn documents: Engineering Change Orders (ECO's), Engineering Approval Changes (EAC's), an Initial Release (IR), and a Configuration File Approval Change (CFAC). Each modification was deemed by Wyle to be De Minimis and was accepted as such by the EAC. The changes include: new headphones, new Transport Media, an updated power supply due to labeling changes, two new RAM modules, and a 15-inch screen for use in OVI units, and a configuration file change made to enhance the system as well as qualifying alternative components for use in the OVO and OVI units. Additionally, Unisyn is certifying a new model of personal computer for the Election Management System. The introduction of the alternative RAM modules necessitates the performance of an Electromagnetic Radiation Analysis to determine what effect the hardware change has on the OVO unit's electronic signature. The introduction of the 15-inch screen required functional, usability, accessibility and abbreviated EMI testing to verify that the modification did not negatively impact system performance.

These hardware updates and enhancements, along with the corresponding document number, are listed below.

EAC 1002 – The part number of an AC/DC Adapter used in the OVO units has been changed by the manufacturer. The part number of the Eurasia STD-2412P (RoHS/CEC) 30w Switching Power Adapter used in OVO units has been changed to UA30-1024 by the manufacturer.

EAC 1004 – The 24V DC Universal Power supply manufactured by Star Micronics has undergone some labeling changes to meet regulatory and safety standards. The first labeling change has resulted in a part number change from 30781751 to 30781752. The second labeling change has resulted in a part number change from 3078172 to 30781753.

The Koss KPH5 stereo headphones are being introduced as a replacement for the Sony MDR-210 LP headphones currently used with OVI units.

The Delkin Devices US01GISPP-XX000-D 1GB Industrial USB Flash Drive is being introduced as an alternative to the STEC SLUFD1GU2U 1GB Industrial USB Flash Drive currently used in OVO and OVI units.

Two alternative RAM memory modules are being introduced for use in OVO units. These memory modules are the Innodisk M2UK-1GPCQCH4-D 1GB RAM module and the Dataran DTM63323D 1GB RAM module.

EAC 1005 – The thermal head of the Star Micronics TSP700II thermal printer used in the OVI has been updated. This resulted in the manufacturer changing the part number of the thermal head from 37469060 to 37469061. The cutter unit of the TSP700II was also updated. This resulted in the manufacturer changing the part number of the cutter unit from 37970000 to 37981240.

EAC 1006 – The cutter unit of the Star Micronics TSP700II thermal printer used in the OVI has been updated. This resulted in the manufacturer changing the part number of the cutter unit from 37981240 to 37981241.

1.0 INTRODUCTION (CONTINUED)

1.3 Scope of Testing (continued)

1.3.2 Hardware (continued)

EAC 1007 – The STEC SLUFD1GU2TU 1GB Industrial USB Flash Drive and the Delkin Devices UV0GSAXSY-XN000-D 1GB Industrial USB Flash Drive are being introduced as alternatives to the STEC SLUFD1GU2U 1GB Industrial USB Flash Drive currently used in OVO and OVI units.

EAC 1008 – The Seasonic SSA-0901-12 Universal AC Power Adapter is being introduced as an alternative to the MGP F10903-C Universal AC Power Adapter used to power the PC and Display in OVO and OVI units.

EAC 1009 – The Western Digital WD3200AAKX 320GB SATA hard drive is being introduced as an alternative to the Western Digital WD3200AAJS 320GB SATA hard drive currently used in OVO and OVI units.

ECO 16865 – This ECO adds the EAC Certification Label to the build of materials (BOM) for both the OVO and the OVI. The Shipping Carton has also been added to the build of materials (BOM) of the OVO.

ECO 16869 – The Jetway J7F2WE1G5S-OC-LF 1.5GHz motherboard and processor previously introduced for use in the OVO may now be used in the OVI as well.

ECO 16870 – This ECO includes changes to the OVO scanner mounting plate to improve clearances and remedy a mismatched hole, changes in the clearance hole for the RJ-45 connector, improvements to the dimensions for the lock cam, and a change to the labeling of the LCD Touchscreen.

ECO 16871 – Spacers located between the OVI motherboard and the OVI PC Case have been removed.

ECO 16877 – This ECO adds an additional ballot box for use with the OVS.

IR 00515 – The OVI PC box was changed to accommodate the motherboard connector faceplate, as the PC box cutout did not correctly align with the connector faceplate. This change accompanies ECO 16871 listed above.

IR 00552 – Added 15-inch screen to the OVI.

CFAC 1001 – The xorg.conf configuration file has been edited to simulate the generic Linux video driver (VESA) and force a screen resolution of 800x600.

1.3.3 Adjudicator Application

The Adjudicator application is a new component of the OCS suite of applications. It provides jurisdictions with the ability to access ballot images and data so that ballots with erroneous or questionable marks can be evaluated, and if needed, change marks on the ballot in accordance with perceived voter intent. Any changes made will be reflected in election reports. The addition of the Adjudicator application requires functional and system level testing to verify functionality and integration of the Adjudicator application with the other components of the OVS.

1.0 INTRODUCTION (CONTINUED)

1.4 Testing Responsibilities

Prior to the development of this test plan, Wyle evaluated test results from previous test campaigns performed by EAC accredited VSTL's as well as test cases and results of any developmental testing conducted by Unisyn during the pre-certification process that were provided by Unisyn in their TDP. The purpose of this evaluation was to determine the scope of testing required for system certification.

Specifically, Wyle reviewed the results of testing as documented in the following test reports:

- Wyle Test Report Number T56285-01, Rev. B, "National Certification Test Report for Certification Testing of the Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.0"
- Wyle Test Report Number T58440.01-01, Rev. A, "National Certification Test Report for Certification Testing of the Unisyn Voting Solutions, Inc., OpenElect Voting System Version 1.01"

Following the review, Wyle determined that testing from previous test campaigns could be utilized to satisfy the following requirements for each component of the OVS Version 1.1 for this test campaign:

Table 1-2 Re-Use of Previous Testing

Test/EAC 2005 VVSG Section	Procedure/Description	Configuration Tested and Status	
		OVO	OVI
<i>Electrical Supply/4.1.2.4</i>	Meets voltage and power requirements of EAC 2005 VVSG Vol. 1 Section 4.1.2.4	Accept	Accept
<i>Electrical Power Disturbance/4.1.2.5</i>	IEC 61000-4-11 (1994-06) power surges and dips	Accept	Accept
<i>Electrical Fast Transient/4.1.2.6</i>	IEC 61000-4-4 (1995-01)	Accept	Accept
<i>Lightning Surge/4.1.2.7</i>	IEC 61000-4-5 (1995-02)	Accept	Accept
<i>Electrostatic Disruption/4.1.2.8</i>	IEC 61000-4-2 (1995-01) 15kV air discharge and 8kV contact discharge	Accept	Test ²
<i>Electromagnetic Radiation/4.1.2.9</i>	FCC Part 15 Class B for both radiated and conducted emissions	Accept	Test ⁴
<i>Electromagnetic Susceptibility/4.1.2.10</i>	IEC 61000-4-3 electromagnetic field of 10V/m modulated by a 1kHz, 80% AM modulation at 80MHz to 1000MHz frequency	Accept	Test ²
<i>Conducted RF Immunity/4.1.2.11</i>	IEC 61000-4-6 (1996-04) conducted radio frequency energy	Accept	Test ²
<i>Magnetic Fields Immunity/4.1.2.12</i>	IEC 61000-4-8 (1993-06) AC magnetic fields of 30 A/m at 60Hz	Accept	Accept
<i>Temperature/Power Variation/4.1.2.13</i>	MIL-STD-810D, Method 502.2 and Method 501.2 163 hours at 50 degrees to 95 degrees	Accept	Accept
<i>High Temperature/4.1.2.14</i>	MIL-STD-810D, Method 501.2 maximum temperature shall be 140 degrees F	Accept	Accept
<i>Low Temperature/4.1.2.14</i>	MIL-STD-810D minimum temperature shall be -4 degrees F	Accept	Accept

1.0 INTRODUCTION (CONTINUED)

1.4 Testing Responsibilities (continued)

Table 1-2 Re-Use of Previous Testing (continued)

Test/EAC 2005 VVSG Section	Procedure/Description	Configuration Tested and Status	
		OVO	OVI
<i>Bench Handling</i>	MIL-STD-810D, Method 516.3 Procedure VI six 4" drops on each edge totaling 24 drops	Accept	Accept
<i>Vibration/4.1.2.14</i>	MIL-STD-810D, Method 514.3 physical shock and vibration during handling and transport	Test ¹	Test ²
<i>Humidity Test/4.1.2.14</i>	MIL-STD-810D, Method 501.2 ten 24 hour humidity cycles	Accept	Accept
<i>Logic and Accuracy/4.1.1</i>	Ensure the unit can process 1,549,703 consecutive ballot positions correctly within the allowable target error rate.	Accept	Accept
<i>Usability/3.1</i>	Measure of the effectiveness, efficiency, and satisfaction achieved by a specified set of users	Accept	Test ²
<i>Accessibility/3.2</i>	Tests the voting system to ensure accessibility for individuals with disabilities to include, but not limited to visually impaired voters by providing the same access and participation opportunity.	Accept	Test ²
<i>Maintainability/4.3.4</i>	Tests the ease in which preventative and corrective maintenance actions can be performed based on design, software, and documentation.	Accept	Accept
<i>Availability/4.3.5</i>	Tests the voting system to help ensure the probability that the equipment will be operational and accomplish set functions.	Accept	Accept
<i>Safety/4.3.8</i>	UL 60950-1 product safety review	Accept	Accept
<i>Volume, Stress, & Reliability Test</i>	Test to investigate the system's response to larger amounts of data than it is expecting.	Test ³	Test ³
<i>Security</i>	Assess the system to the 2005 VVSG requirements and execute basic system security tests.	Test ³	Test ³
<i>Logic and Accuracy (Temp Power)</i>	Test of accuracy to ~1.6 million ballot positions per system component.	Accept	Accept
<i>System Integration Test</i>	Test of all system hardware, software and peripherals.	Test ³	Test ³
<i>Compliance/Trusted Build</i>	Creation and installation of the final system software.	Test ³	Test ³
<i>Physical Configuration Audit</i>	Compares the voting system components submitted for qualification to the manufacturer's technical documentation.	Test ³	Test ³
<i>Functional Configuration Audit</i>	Functional testing to the system documentation and EAC 2005 VVSG requirements.	Test ³	Test ³

1: Will be tested due to ECO 16877 (alternate ballot box).

2: Will be tested due to IR 00552 (inclusion of 15-inch screen).

3: Will be performed due to modifications/enhancements made to system. May be performed as regression testing and not full testing.

4: Will be tested due to EAC 1004 (RAM Memory module).

1.0 INTRODUCTION (CONTINUED)

1.4 Testing Responsibilities (continued)

All other core and non-core software and hardware certification testing will be conducted under the guidance of Wyle by personnel verified by Wyle to be qualified to perform the testing.

Review of test cases and results of developmental testing conducted by Unisyn during the pre-certification process also allowed for assessment of Unisyn's efforts to develop and test the system and to correct any known defects.

1.4.1 Project Schedule/Owner Assignments/Dependencies

This information is contained in a Wyle-generated Microsoft Project schedule, presented in Appendix C. The dates on the schedule are not firm dates but planned estimates presented for informational purposes.

1.4.2 Test Case Development

Wyle will utilize the "Wyle Baseline Test Cases" for the Functional Configuration Audit (FCA), Usability and System Integration Tests. These will be augmented with specially designed test cases tailored to the Unisyn OVS Version 1.1. Wyle has designed specific election definitions for the Operational Status Check and the Logic & Accuracy Tests. The initial "Baseline" functional test cases, "Baseline" usability test cases, and the election definitions will be provided under separate cover.

1.4.2.1 Test Procedure Development and Validation

Wyle will utilize the Wyle Operating Procedures (WoPs) during the duration of this test program. These procedures are validated and are being submitted as part of the test plan package.

1.5 Target of Evaluation Description

The following sections address the design methodology and product description of the Unisyn OVS Version 1.1, as taken from the Unisyn technical documentation.

1.5.1 System Overview

The Unisyn OVS Version 1.1 consists of:

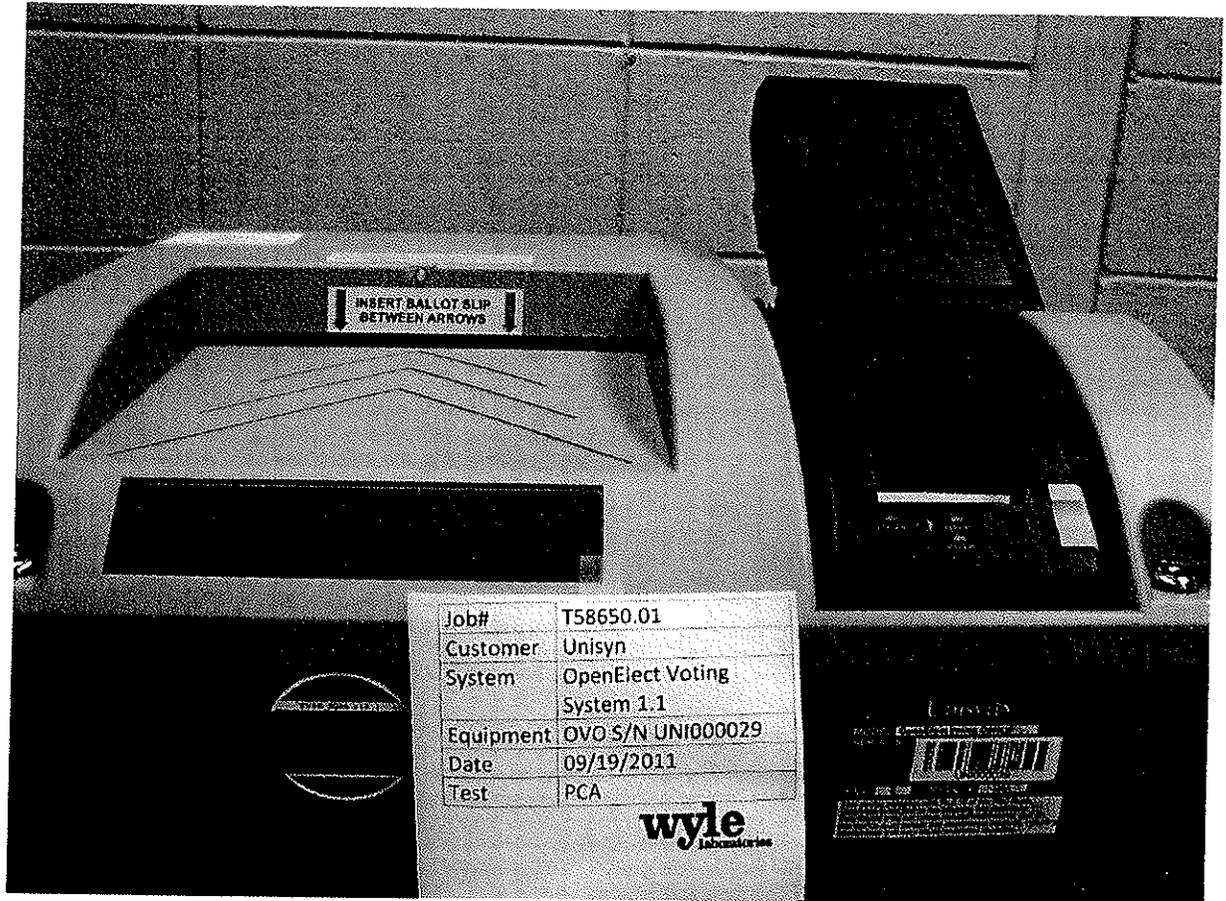
- **OpenElect Central suite (OCS):** System with Ballot Layout Manager, Election Manager, Election Server, Tabulator Client, Tabulator Server, Adjudicator, and Tabulator Reports. In addition, the OCS includes the Software Server (SS) system for updating and validating OVO and OVI (voting device) software.
- **OpenElect Voting Optical (OVO):** A full-page dual-sided optical scan system that scans and validates voter ballot pages and provides a summary of all ballot pages cast. The OVO consists of a Personal Computer (PC), transport media, Ballot Reader, printer, and uninterruptible power supply (UPS).
- **OpenElect Voting Interface (OVI):** A voter interface that supports both ADA and Early Voting Requirements. Voters input selections via the ADA keypad, touchscreen or Sip & Puff device. The OVI consists of a Personal Computer (PC), transport media, printer, and uninterruptible power supply (UPS).

1.0 INTRODUCTION (CONTINUED)

1.5 Target of Evaluation Description (continued)

1.5.1 System Overview (continued)

- OpenElect Voting Central Scan (OVCS): Scanner that resides at election headquarters designated to read absentee, provisional or recount ballots in large jurisdictions or read the entire election's ballots at a central count location in smaller jurisdictions. The OVCS consists of a Personal Computer (PC) Desktop and a COTS Cannon DR-X10C scanner.

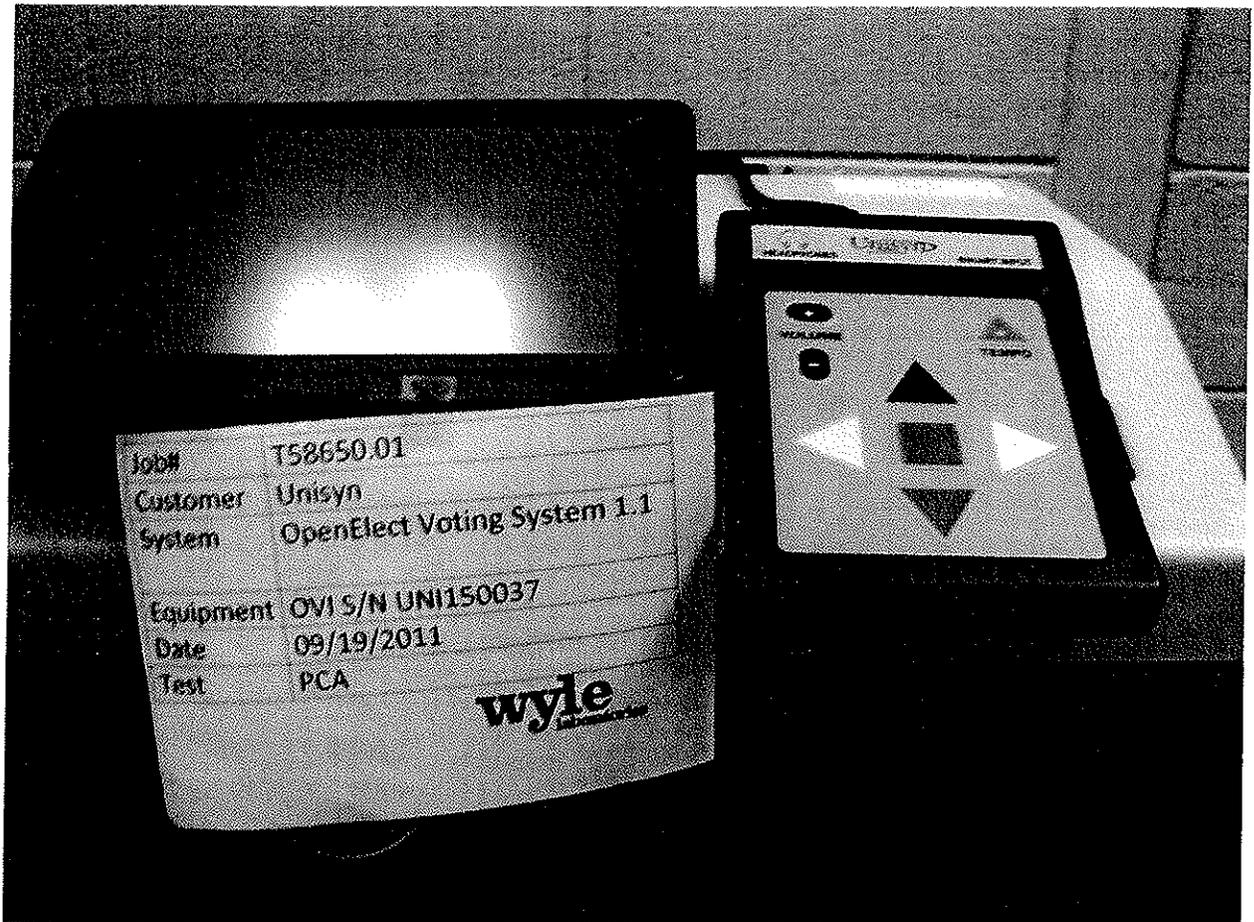


Photograph 1: OVO

1.0 INTRODUCTION (CONTINUED)

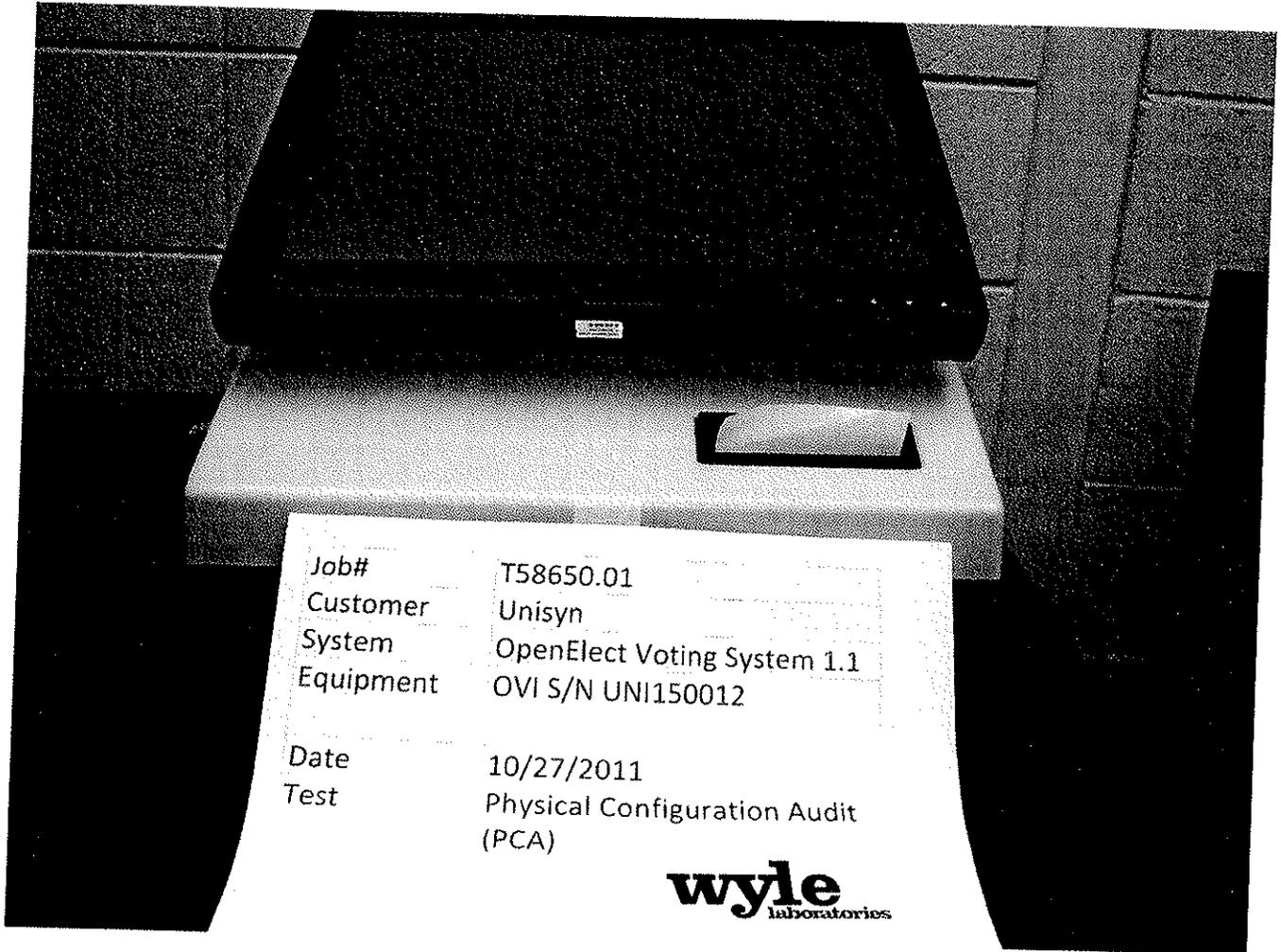
1.5 Target of Evaluation Description (continued)

1.5.1 System Overview (continued)



Photograph 2: OVI

- 1.0 INTRODUCTION (CONTINUED)
- 1.5 Target of Evaluation Description (continued)
- 1.5.1 System Overview (continued)



Photograph 3: OVI with 15-inch screen

1.0 INTRODUCTION (CONTINUED)

1.5 Target of Evaluation Description (continued)

1.5.1 System Overview (continued)

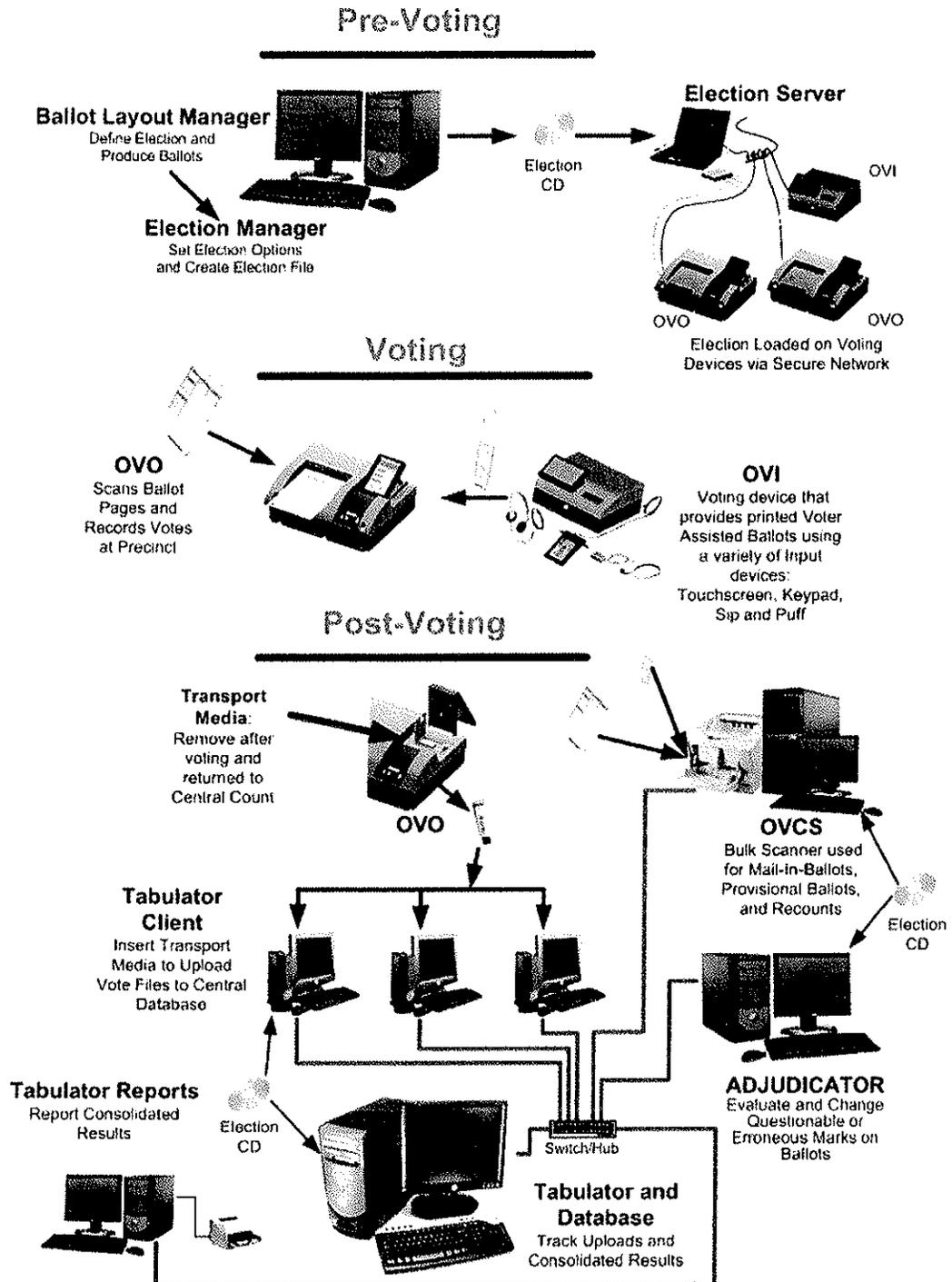


Figure 1-1 System Diagram

1.0 INTRODUCTION (CONTINUED)

1.5 Target of Evaluation Description (continued)

1.5.2 System Limits

The system does not include functions for:

- Voter registration (other than uploading Voter Registration data to Tabulation for reporting purposes)
- Cumulative voting
- Slate party voting
- Open blanket primary
- Multi-party candidate endorsements
- Open primary multi-party ballots

In the end-to-end OVS, a single election is limited to:

- Up to 12 political parties (including non-partisan) voting their own ballot in a Primary Election and up to 12 political parties (including non-partisan) voting in a General Straight Ticket Election. A total of 24 parties may appear on the ballot for candidates.
- Up to 2,000 precincts
- Up to 120 candidates per contest, with a limit of 3,000 combined count of candidates and contests
- Up to 10 language translations
- Up to 3 ballot pages per ballot
- Up to 5,000 ballot pages processed (cast votes) at an OVO during a single voting session

1.5.3 Supported Functionality

The system is designed to support the following voting variations:

- General elections
- Closed primaries
- Open primaries
- **Early voting**
- Primary presidential delegation nominations
- Decline to State primary voting
- Partisan offices
- Non-partisan offices
- Write-in voting
- Straight ticket voting
- Presidential-only voting

1.0 INTRODUCTION (CONTINUED)

1.5 Target of Evaluation Description (continued)

1.5.3 Supported Functionality (continued)

- Ballot rotation
- Split precincts
- Multi-page ballots
- Multiple selection contests: vote for N of M
- Procedures for and tabulation of Provisional or challenged ballots
- Procedures for and tabulation of Absentee ballots
- Recount tabulation
- Ranked Choice Voting (RCV)
- Vote by Ballot Style

The system accounts for:

- Checking and notification of overvote and undervote conditions
- Ballots in multiple languages
- Ballots consisting of multiple ballot pages

2.0 PRE-CERTIFICATION TESTING AND ISSUES

Currently, no pre-certification testing has been completed. Per EAC Notice of Clarification (NOC) 09-001, Wyle views the Certification Test Plan as a living document. It will be updated with "As Run" testing and resubmitted to the EAC as major areas of testing have been completed.

Wyle has performed the first pass review for all source code submitted by Unisyn for the OVS Version 1.1 System. The issues with compliance to the EAC 2005 VVSG were reported back to Unisyn for resolution. Subsequent submissions will be reviewed by comparing the new submission against the last submission to ensure all documented issues are resolved before the source code review is completed.

An initial Technical Data Package (TDP) review has been performed on the modified documents contained in the submitted TDP to determine compliance with the EAC 2005 VVSG and EAC requirements. The results of this review were reported to Unisyn for resolution. Any incidences of non-certification issues (editing issues such as spelling or formatting) will be noted to Unisyn as informational comments for them to decide whether to address them.

2.1 Evaluation of Prior VSTL Testing

The previous version of this system, Unisyn OVS Version 1.0.1, has been fully tested to the EAC 2005 VVSG. As a result of this testing, Unisyn OVS Version 1.0.1 was granted certification under EAC Certification No. UNS10121966-OE-WI. The data collected during that test campaign will be utilized to satisfy requirements for this test campaign.

3.0 MATERIALS REQUIRED FOR TESTING

The materials required for certification testing of the Unisyn OVS, Version 1.1, which include software, hardware, test materials, and deliverable materials, were shipped directly to Wyle by Unisyn with the exception of the OVCS high speed scanner which was shipped to Wyle by VisionShape, Inc. Some of the equipment to be used during this test effort is the same equipment used during the original certification campaign performed by Wyle.

3.1 Software

The table below lists the software the manufacturer must submit for testing. This section lists all software required for operation and testing of the voting system being certified. This includes software used for testing security and system integration; as well as supporting software required for the test environment including compilers, assemblers, and database managers, etc. Both COTS and non-COTS software components are listed in this section.

Table 3-1 Software Submitted for Testing

Software Required For Testing	Software Version
Proprietary Software	
Adjudicator	1.1.0
Ballot Layout Manager	1.1.0
Common (Library)	1.1.0
Election Manager	1.1.0
Election Server	1.1.0
OCS Installer	1.1.0
Regkey Builder	1.1.0
Software Server	1.1.0
Tabulator	1.1.0
Tabulator Client	1.1.0
Tabulator Reports	1.1.0
OVCS Application	1.1.0
OVI Firmware	1.1.0
OVO Firmware	1.1.0
Scripter	1.1.0
Validator	1.1.0
Logger (Library)	1.1.0
COTS Software	
CentOS Linux	5.7
Java JRE + Unlimited Cryptographic Extension	1.6.0_02
Apache-Tomcat Application Server	6.0.13
My SQL Data base (BLM, EM, and Tab only)	5.0.45-7
JasperReports	2.0.5

3.0 MATERIALS REQUIRED FOR TESTING (CONTINUED)

3.2 Equipment

The equipment the manufacturer submitted for testing listed in Table 3-2. Each test element is included in the list of the equipment required for testing of that element, including system hardware, general purpose data processing and communications equipment, and any required test instrumentation. Every effort is made to verify that the COTS equipment has not been modified for use. Wyle will perform research using the COTS equipment manufacturers' websites based on the serial and service tag numbers for each piece of equipment and will evaluate COTS hardware, system software and communications components for proven performance in commercial applications other than elections. For PCs, laptops, and servers, the service tag information is compared to the system information found on each machine. Physical external and internal examination is also performed to the best of Wyle's abilities when the equipment is easily accessible without the possibility of damage. Hard drives, RAM memory, and other components are examined to verify that the components match the information found on the COTS equipment manufacturers' websites.

Table 3-2 Test Equipment

Equipment	Description	Serial Numbers
Proprietary Hardware		
OVO 1	Model: OpenElect Voting Optical, Rev. E Firmware Version 1.1.0	UNI000036
OVO 2	Model: OpenElect Voting Optical, Rev. E Firmware Version 1.1.0	UNI000029
OVO 3	Model: OpenElect Voting Optical, Rev. E Firmware Version 1.1.0	UNI000044
OVI 1	Model: OpenElect Voting Interface, Rev. F Firmware Version 1.1.0	UNI150037
OVI 2	Model: OpenElect Voting Interface, Rev. F Firmware Version 1.1.0	UNI150049
OVI 3	Model: OpenElect Voting Interface, Rev. A Firmware Version 1.1.0	UNI150012
COTS Hardware		
EMS PC	Dell Precision T3500 (with all EMS applications installed)	3Y20ZQ1
OVCS High Speed Scanner	Canon ImageFormula DR-X10C	ED300631
UPS	Minuteman Entrust Series ETR1500	AE580906PA114
Headphones	Koss KPH5 Stereo Headphones	HP-T58650-00 and -002
Transport Media	STEC SLUFD1GU2U 1GB USB Drive	TM100100, TM100125, TM100132, TM100141
Transport Media (ECO)	STEC SLUFD4GU2TU 4GB USB Drive	TM100156, TM100157
Gigabit LAN Switch	Linksys SR2024 Business Series 24-Port 10/100/1000 Gigabit Switch	REM30H600558 GGR1807 JJ

3.0 MATERIALS REQUIRED FOR TESTING (CONTINUED)

3.3 Test Tools/Material

This subsection enumerates any and all test materials needed to perform voting system testing. The scope of testing determines the quantity of a specific material required.

Table 3-3 Test Materials

Test Material	Quantity
Software tools (i.e. ExamDiff Pro for source code analysis)	as required
Elections	as required
Miscellaneous Office equipment and supplies (such as report paper)	as required
Printer Thermal Paper Rolls	as required
External DVD-ROM Drive	1
Printed Ballots	as required
Dell E1911F LCD Monitor	1

3.4 Deliverable Materials

The materials listed below are to be delivered as part of the Unisyn OVS Version 1.1 to the end users:

Table 3-4 Deliverable Materials

Deliverable Material	Version	Description
OCS	1.1	EMS software suite
OVO	1.1	Precinct ballot scanner
OVI	1.1	Accessible voting station
OVCS	1.1	Central Count scanner
Ballot Box	---	OVO ballot receptacle
Transport media	Delkin 1 GB	USB Flash Drive X 2
Minuteman UPS	ETR1500	UPS X 2
Headphones (optional)	Koss KPH5	Stereo headphones
Sip and Puff (optional)	AirVoter	Binary input device
04-00444 OVS System Functionality	1.0	TDP Document
04-00446 System Overview	1.1	TDP Document
04-00459 System Maintenance Procedures	---	TDP Document
04-00454 Quality Assurance Plan	1.0	TDP Document
04-00494 OVS Acronyms	---	TDP Document
04-00428 Ballot Layout Manager User Guide	1.2	TDP Document
04-00427 Election Manager User Guide	1.0	TDP Document
04-00429 Election Server User Guide	1.0	TDP Document
04-00430 Software Server User Guide	1.0	TDP Document
04-00431 Tabulator Client User Guide	1.0	TDP Document
04-00432 Tabulator User Guide	1.0	TDP Document
04-00433 Tabulator Reports User Guide	1.0	TDP Document
04-00495 OVCS User Guide	1.0	TDP Document
04-00448 OVS Configuration Management Plan	1.0	TDP Document

3.0 MATERIALS REQUIRED FOR TESTING (CONTINUED)

3.4 Deliverable Materials (continued)

Table 3-4 Deliverable Materials (continued)

Deliverable Material	Version	Description
04_00460 OVS System Operations Guide Warehouse Technician's Guide	1.0	TDP Document
04_00461 OVS System Operations Guide EDay Operators	---	TDP Document
04_00462 OVS System Operations Guide EDay Troubleshooters	1.0	TDP Document
04_00463 OVS System Operations Guide EDay Pollworkers	1.0	TDP Document
04-00503 OVS Paper Specification	---	TDP Document

3.5 Proprietary Data

All proprietary data that is marked shall be distributed only to those persons that the manufacturer identifies as needing the information to conduct system testing. The manufacturer is required to mark all proprietary documents as such. All organizations and individuals receiving proprietary documents shall ensure those documents are not available to non-authorized persons.

4.0 TEST SPECIFICATIONS

Certification testing of the Unisyn OVS Version 1.1 is the configuration submitted in the EAC application UNS1102. Wyle qualified personnel will ensure that all certification testing performed on the manufacturer's voting system follows Wyle's procedures for testing and the specific test cases to ensure the requirements of the EAC 2005 VVSG and EAC Testing and Certification Program Manual are met. Below is a list of EAC Request for Interpretations (RFI) and Notice of Clarifications (NOC) that will be incorporated in the test campaign:

Interpretations

- 2010-08 EAC Decision on Calling Sequence
- 2010-07 EAC Decision on Module Length
- 2010-06 EAC Decision on DRE Accessibility Requirements and Other Accessible Voting Stations
- 2010-05 EAC Decision on Testing of Modifications to a Certified System
- 2010-04 EAC Decision on Functional Requirements with Respect to Security
- 2010-03 EAC Decision on Database Coding Conventions
- 2010-01 EAC Decision on Voltage Levels and ESD Test
- 2009-06 EAC Decision on Temperature and Power Variation
- 2009-05 EAC Decision on T-Coil Requirements
- 2009-04 EAC Decision on Audit Log Events

4.0 2009-03 EAC Decision on Battery Backup for Central Count Systems
TEST SPECIFICATIONS (CONTINUED)

Interpretations (continued)

2009-02 EAC Decision on Alternate Languages

2009-01 EAC Decision on VVPAT Accessibility New

2008-12 EAC Decision on Ballot Marking Device/Scope of Testing

2008-10 EAC Decision on Electrical Fast Transient

2008-09 EAC Decision on Safety Testing

2008-08 EAC Decision on Automatic Bar Code Readers

2008-07 EAC Decision on Zero Count to Start Election

2008-06 EAC Decision on Battery Backup for Central Count

2008-05 EAC Decision on Durability

2008-04 EAC Decision on Supported Languages

2008-03 EAC Decision on OS Configuration

2008-02 EAC Decision on Battery Backup for Optical Scan Voting Machines

2008-01 EAC Decision on Temperature and Power Variation

2007-06 EAC Decision on Recording and Reporting Undervotes

2007-05 EAC Decision on Testing Focus and Applicability

2007-04 EAC Decision on Presentation of Alternative Language

2007-03 EAC Decision on Summative Usability Testing

2007-02 EAC Decision on Variable Names

2007-01 EAC Decision on Accessible Design

Notice of Clarifications

NOC 09-005 – Development and Submission of Test Plans for Modifications to EAC Certified Systems

NOC 09-004 – Development and Submission of Test Reports

NOC 09-003 – De Minimis Change Determination Requirement

NOC 09-002 -- Laboratory Independence Requirement

NOC 09-001 -- Requirements for Test Lab Development and Submission of Test Plans

NOC 08-003 -- EAC Conformance Testing Requirements

NOC 08-002 -- EAC Mark of Certification

NOC 08-001 -- Validity of Prior Non-core Hardware Environmental and EMC Testing

NOC 07-005 -- Voting System Test Laboratory Responsibilities in the Management and Oversight of
Third Party Testing

NOC 07-004 -- Voting System Manufacturing Facilities

4.0 TEST SPECIFICATIONS (CONTINUED)

Notice of Clarifications (continued)

NOC 07-003 -- State Testing Done in Conjunction with Federal Testing within the EAC Program

NOC 07-002 -- VSTL Work with Manufacturers Outside of Voting System Certification Engagements

NOC 07-001 -- Timely Submission of Certification Application

4.1 Requirements

The strategy for evaluating the Unisyn OVS, Version 1.1, will be to review the change log, source changes, and the Technical Data Package (TDP). Wyle Laboratories will assess whether or not any additional functionality was added to the modified system that would add additional requirements that were not tested in the previous test campaign.

Wyle has determined that the software changes affect the following requirements in the 2005 VVSG Volume 1: Section 2.4.2; Section 2.4.3 a, c, d, f – h, & j; Section 4.1.5.1 c, d i - iv; Section 5.4.4 b & d and Volume 2: Section 4.7.1.1. Regression testing of the software to these requirements will be part of this test campaign.

As defined in the scope of testing, this test campaign includes the following tests:

- Source code review in accordance with 2005 EAC VVSG.
- Technical Data Package review to ensure all modifications are documented as applicable.
- A limited Physical Configuration Audit (PCA) to baseline the modified system.
- Security test to verify that no security vulnerabilities are introduced by the modifications to the system or the addition of the Adjudicator application.
- Functional Configuration Audit of the new features and enhancements made to the voting system.
- All functionality performed by new or modified subsystems/modules.
- Volume and Stress test to verify that the system modifications do not impact the systems' ability to process large amounts of voting data or the accuracy of the system.
- EMI Testing of the 15-inch OVI touchscreen by performing the following EMI tests: Electromagnetic Radiation test, Electrostatic Discharge test, Electromagnetic Susceptibility test and the Conducted RF Immunity test.
- Usability and Accessibility test to verify that the 15-inch OVI screen conforms to Usability and Accessibility requirements.

Wyle personnel shall maintain a test log of the procedure(s) employed. This log identifies the system and equipment by model and serial number. In the event that the project engineer deems it necessary to deviate from requirements pertaining to the test environment, the equipment arrangement and method of operation, the specified test procedure, or the provision of test instrumentation and facilities, the deviation shall be recorded in the test log. (An analysis of the reasons for the deviation and the effect of the deviation on the validity of the test procedure shall be conducted by the project engineer and submitted to the Wyle VSTL Program Manager for approval.)

4.0 TEST SPECIFICATIONS (CONTINUED)

4.1 Requirements (continued)

The designated Wyle Operating Procedures (WoP's) for this program are listed below together with the identification and a brief description of the hardware and software to be tested and any special considerations that affect the test design and procedure.

Table 4-1 WoP Requirements

Wyle WoP #	Description	VVSG Requirement	Component Tested
1	Operational Status Check	Vol. I, Section 2.2.4; Vol. II, Section 4.6.1.1, 4.6.1.2, 4.6.1.3, 4.6.1.5, 4.6.1.6	OVI, OVO
2	Receipt Inspection	N/A	OVS
3	Technical Data Package Review	Vol. II, Section 2	OVS
4	Test Plan Preparation	Vol. II, Section 1.8.2.1, 3.2	OVS
5a	Source Code Compliance Review	Vol. I, Section 5.2; Vol. II, Section 5.4	OVS
5d	Source Code COTS Review	Vol. I, Section 5.1.1, 5.2.3; Vol. II, Section 1.3.1.3, 1.7.1, 5.2	OVS
5e	Automated Source Code Review	Vol. I, Section 5.2.6a, 5.2.7a	OVS
6	Security	Vol. II, Section 6.4	OVS
6a	Security	Vol. II, Section 6.4	OVS
6c	Security (Software)	Vol. II, Section 6.4	OVS
6d	Security (Access)	Vol. II, Section 6.4	OVS
7	Trusted Build	Vol. I, Section 7.4.3, Vol. II, Section 6.2.2	OVS
7a	Trusted Build Form	Vol. I, Section 7.4.3, Vol. II, Section 6.2.2	OVS
7b	Compliance Build	Vol. I, Section 7.4.3, Vol. II, Section 6.2.2	OVS
7c	Compliance Build Form	Vol. I, Section 7.4.3; Vol. II, Section 6.2.2	OVS
9	Electromagnetic Emissions	Vol. I, Section 2.1.4.c, 4.1.2.9; Vol. II, Section 4.8b	OVI
10	Electrostatic Disruption	Vol. I, Section 2.1.4.c, 4.1.2.8; Vol. II, Section 4.8c	OVI
11	Electromagnetic Susceptibility	Vol. I, Section 2.1.4.c, 4.1.2.10; Vol. II, Section 4.8d	OVI
14	Conducted RF Immunity	Vol. I, Section 2.1.4c, 4.1.2.11; Vol. II, Section 4.8g	OVI
17	Hardware Testing – Vibration Test	Vol. I, Section 4.1.2.14.c; Vol. II, Section 4.6.3	OVI
24-1	Usability	Vol. I, Section 3.1	OVI
24-1a	Usability- Usability Testing	Vol. I, Section 3.1	OVI
24-1b	Usability- Functional Capabilities	Vol. I, Section 3.1.2a thru g	OVI
24-1c	Usability – Alternative Languages	Vol. I, Section 3.1.3	OVI
24-1d	Usability- Cognitive Issues	Vol. I, Section 3.1.4a thru e	OVI
24-1e	Usability – Perceptual Issues	Vol. I, Section 3.1.5a thru i	OVI
24-1f	Usability – Interaction Issues	Vol. I, Section 3.1.6a thru d	OVI

4.0 TEST SPECIFICATIONS (CONTINUED)

4.1 Requirements (continued)

Table 4-1 WoP Requirements

Wyle WoP #	Description	VVSG Requirement	Component Tested
24-1g	Usability - Privacy	Vol. I, Section 3.1.7.1a thru c, 3.1.7.2a thru b	OVI
24-2	Accessibility	Vol. I, Section 3.2, 2.3.3, 4.1.4.1d	OVI
24-2a	Accessibility – General	Vol. I, Section 2.3.3, 3.2.1a and b	OVI
24-2b	Accessibility – Vision	Vol. I, Section 2.3.3, 3.2.2	OVI
24-2c	Accessibility – Dexterity	Vol. I, Section 3.2.3a thru e, 2.3.3	OVI
24-2d	Accessibility – Mobility	Vol. I, Section 3.2.4a and b, 2.3.3	OVI
24-2e	Accessibility – Hearing	Vol. I, Section 3.2.5, 2.3.3	OVI
24-2f	Accessibility – Speech	Vol. I, Section 3.2.6, 2.3.3	OVI
24-2g	Accessibility – English Proficiency	Vol. I, Section 3.2.7, 2.3.3	OVI
24-2h	Accessibility - Cognition	Vol. I, Section 3.2.8, 2.3.3	OVI
25	Physical Configuration Audit	Vol. I, Section 9.7.1; Vol. II, Section 6, 6.6, 2.11.6	OVS
26	Functional Configuration Audit	Vol. I, Section 2; Vol. II, Section 6.7	OVS
30	System Level Test	Vol. II, Section 6	OVS
34	Test Report	Vol. II, Section 1.8.3, Appendix B	OVS
40	System Level Stress and Volume	Vol. II, Section 6	OVS

For the Functional Configuration Audit (FCA) and the Volume and Stress Test, the EMS version 1.1 will be loaded on the COTS desktop computer with a COTS scanner attached to the EMS. The OVO will be configured with firmware version 1.1. Three OVO units will be used during system level testing. The OVI shall be configured with firmware version 1.1. Two OVI units will be used during system level testing. For hardware testing including EMI and Vibration tests, a single OVI unit will be used.

4.2 Hardware Configuration and Design

The submitted hardware changes for this test campaign are documented in Section 1.3. Wyle Laboratories has conducted an engineering analysis of the system performance characteristics in accordance with Volume II, Appendix A, Section 4.3.1 of the 2005 VVSG and determined that the best approach to verifying that the proposed alternative RAM memory modules are electronically and mechanically interchangeable with the existing RAM module is to perform an Electromagnetic Radiation Analysis and compare the electronic signatures of a baseline OVO, versus the electronic signatures of an OVO with each new memory module installed.

Hardware testing of the 15-inch OVI touchscreen will consist of four operational EMI tests and one non-operational hardware test in addition to those already outlined in this test plan. These tests are: Electromagnetic Radiation, Electrostatic Disruption, Electromagnetic Susceptibility, and Conducted RF Immunity. Due to the addition of the monitor bracket and structural changes to the OVI, a Vibration test will be performed. Wyle Laboratories views this analysis as the minimum hardware testing that needs to be performed. Based on the data collected in these tests further testing maybe required. Wyle Laboratories shall analyze the data collected to determine if further testing is required. If further testing is required this test plan shall be updated as needed.

4.0 TEST SPECIFICATIONS (CONTINUED)

4.3 Software System Functions

For this test campaign Wyle will be using automated tools, as well as a manual review of changed headers, to review the source code of the Unisyn OVS 1.1. The Automated Review Pilot developed by Wyle states that, in order to maintain consistency of review across all systems, a minimum value of 5% should be manually reviewed and that reviewing this amount of code should be sufficient to begin to reveal the pattern of commenting quality. An engineering decision will be made as to stay at the 5% value for manual review or increase the amount for improved evaluation. The automated tool that will be used is the Eclipse Integrated Development Environment (IDE) running the source code analyzer plug-in Checkstyle, with all JavaDocs coding standards turned on. The manufacturer submitted Java Coding Conventions published industry-accepted documentation (per RFI 2010-02 -- EAC Decision on Coding Conventions) will be evaluated for all existing requirements contained therein. The automated tool will be evaluated as to its enforcement of the requirements discovered. Upon completion of the source code review, the usage of automated tools will be reviewed to assess their performance regarding the enforcement of the chosen understandability, maintainability, consistency, and documentation of the code in general and of the header content specifically. Wyle will include an opinion regarding the usage of automated tools in source code review in the test report.

The submitted changes for this test campaign are documented in Section 1.3. The enhancements to the system shall be tested using "Regression testing". Regression testing shall be used to ensure the enhancements did not introduce any defects into unchanged areas. Wyle plans to use partial regression testing which shall be used to test the directly interacting elements at both the Component and Integration Levels of testing.

The strategy for evaluating the depth of regression testing shall be to review the source code modifications during the source code review. Minor enhancements to variables, input fields, and restrictions shall be tested by inputting both valid and invalid data to the documented modification. Once the physical modification has been observed the interacting functions shall be fully regression tested to ensure the enhancement performs as expected. The Adjudicator application will be tested by performance of a Functional Configuration Audit, during which the new functionality will be exercised to verify correct operation. After the Adjudicator application and the enhancements to the system have been tested on a component level a full system level test shall be performed to ensure all interacting components function as a system without issues.

4.4 Security

The enhancements added to the Unisyn OVS Version 1.1 include security enhancements. A few examples of the security enhancements are: MYSQL log rotation, intrusion detection, and the freeing up of old unused OCS passwords after a period of 24 months has passed. Security testing will be performed to verify that the security enhancements do not compromise the security of the system, as well as to verify the security features of the Adjudicator application.

4.5 Usability and Accessibility

The addition of the 15-inch OVI touchscreen as a hardware option necessitates the performance of a limited Usability and Accessibility test. As the OVI is an ADA device, the change to the main interface between the voter and the terminal requires that the 15-inch touchscreen be tested to verify that it complies with applicable Usability and Accessibility requirements.

5.0 TEST DATA

5.1 Data Recording

All equipment utilized for test data recording shall be identified in the test data package. For hardware environmental and operational testing, the equipment shall be listed on the Instrumentation Equipment Sheet for each test. 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 output reports and submitted to Unisyn Voting Solutions, Inc. for resolution. Additionally, all test results, including functional test data, shall be recorded on the relevant WoP's and Test Cases. Results shall also be recorded real-time in engineering log books.

5.2 Test Data Acceptance Criteria

Wyle shall evaluate all test results against the Unisyn Voting Solutions, Inc. provided technical documentation for the Unisyn OVS, Version 1.1, and the requirements set forth in the EAC 2005 VVSG. The Unisyn OVS, Version 1.1, shall be evaluated for its performance against the EAC 2005 VVSG. The acceptable range for system performance and the expected results for each test case shall be derived from the Unisyn OVS Version 1.1 documentation. Per the EAC 2005 VVSG, these parameters shall encompass the test tolerances, the minimum number of combinations or alternatives of input and output conditions that can be exercised to constitute an acceptable test of the parameters involved, and the maximum number of interrupts, halts or other system breaks that may occur due to non-test conditions (excluding events from which recovery occurs automatically or where a relevant status message is displayed).

6.0 TEST PROCEDURE AND CONDITIONS

This section describes Wyle's proposed test procedures and the conditions under which those tests shall be conducted.

The following subsections describe test procedures and a statement of the criteria by which readiness and successful completion shall be indicated and measured.

6.1 Test Facilities

All testing shall be conducted at the Wyle, Huntsville, AL facility unless otherwise annotated. Hardware operating testing shall be conducted at the appropriate test site with the required support equipment. All instrumentation, measuring, and test equipment used in the performance of this test campaign shall be listed on the Instrumentation equipment Sheet for each test and shall be calibrated in accordance with Wyle's Quality Assurance Program, which complies with the requirements of ANSI/NCSS Z540-1 and ISO 10012-1. Standards used in performing all calibrations are traceable to the National Institute of Standards and Technology (NIST) by report number and date. When no national standards exist, the standards are traceable to international standards or the basis for calibration is otherwise documented.

Unless otherwise specified herein, all remaining tests, including system level functional testing, shall be performed at standard ambient conditions:

- Temperature: 25°C ± 10°C (77°F ± 18°F)
- Relative Humidity: 20 to 90%
- Atmospheric Pressure: Local Site Pressure

6.0 TEST PROCEDURE AND CONDITIONS (CONTINUED)

6.1 Test Facilities (continued)

Unless otherwise specified herein, the following tolerances shall be used:

- Time ± 5%
- Temperature ± 3.6°F (2°C)
- Vibration Amplitude ± 10%
- Vibration Frequency ± 2%
- Random Vibration Acceleration
 - 20 to 500 Hertz ± 1.5 dB
 - 500 to 2000 Hertz ± 3.0 dB
- Random Overall grms ± 1.5 dB
- Acoustic Overall Sound Pressure Level +4/-2 dB

6.2 Test Set-Up

All voting machine equipment (hardware and software), shall be received and documented utilizing Wyle Receiving Ticket (WL-218, Nov'85) and proper Quality Assurance (QA) procedures. When voting system hardware is received, Wyle Shipping and Receiving personnel shall notify Wyle QA personnel. With Wyle QA personnel present, each test article shall be unpacked and inspected for obvious signs of degradation and/or damage that may have occurred during transit. Noticeable degradation and/or damage, if present, shall be recorded, photographs shall be taken, and the Unisyn Voting Solutions, Inc. representative shall be notified. Wyle QA personnel shall record the serial numbers and part numbers. Comparison shall be made between those numbers recorded and those listed on the shipper's manifest. Any discrepancies noted shall be brought to the attention of the Unisyn Voting Solutions, Inc. representative for resolution.

TDP items, including all manuals, and all source code modules received shall be inventoried and maintained by the Wyle Project Engineer assigned to the test program.

For hardware test setup, the system shall be configured as it would be for normal field use. This includes connecting all supporting equipment and peripherals. Wyle personnel shall properly configure and initialize the system, and verify that it is ready to be tested, by following the procedures detailed in the Unisyn OVS Version 1.1 technical documentation. Wyle will use the operational status test and will measure the system performance levels used during the original certification.

6.0 TEST PROCEDURE AND CONDITIONS (CONTINUED)

6.3 Test Sequence

The components of the Unisyn OVS, Version 1.1, shall only undergo the tests described in Table 6-1. There is no specific sequencing enforced for the execution of the required tests.

Table 6-1 Unisyn OpenElect Voting System 1.1, Testing Sequence

Test	Description	Procedure	Test Level	Specimen
<i>Technical Data Package (TDP) Review (Pre-testing Activity)</i>	Documentation review for compliance, correctness, and completeness	WHVS07.1 WOP 3	Document	TDP package
<i>Compliance Source Code Review (Pre-testing Activity)</i>	Source code review for compliance	WHVS07.2 WOP 5a	Component	Source Code packages
<i>COTS Source Code Review (Pre-testing Activity)</i>	Source code review to examine third party products for modification and versions	WHVS07.2 WOP 5d	Component	Source Code packages
<i>Automated Source Code Review (Pre-testing Activity)</i>	Automated review of source code for compliance	WHVS07.2 WOP 5e	Component	Source Code packages
<i>Compliance Build</i>	Use the build documents and source code to construct the application	WHVS07.3 WOP 7b WOP 7c	Component & System	Source Code packages
<i>Physical Configuration Audit</i>	Audit hardware and software models and versions	WHVS07.3 WOP 25	Component & System	---
<i>Electromagnetic Radiation</i>	FCC Part 15 Class B for both radiated and conducted emissions	WOP 9	Component	OVI
<i>Electrostatic Disruption</i>	IEC 61000-4-2 (Edition 2.0, 2008-12) 15kV air discharge and 8kV contact discharge	WOP 10	Component	OVI
<i>Electromagnetic Susceptibility</i>	IEC 61000-4-3 electromagnetic field of 10V/m modulated by a 1kHz, 80% AM modulation at 80MHz to 1000MHz frequency	WOP 11	Component	OVI
<i>Conducted RF Immunity</i>	IEC 61000-4-6 (1996-04) conducted radio frequency energy	WOP 14	Component	OVI

6.0 TEST PROCEDURE AND CONDITIONS (CONTINUED)

6.3 Test Sequence (continued)

Table 6-1 Unisyn OpenElect Voting System 1.1, Testing Sequence

Test	Description	Procedure	Test Level	Specimen
<i>Vibration</i>	MIL-STD-810D, Method 514.3 physical shock and vibration during handling and transport	WOP17	Component	OVI
<i>Usability/Accessibility</i>	Test of effective use of OVS.	WOP 22 WOP 24-1 WOP 24-1a WOP 24-1b WOP 24-1c WOP 24-1d WOP 24-1f WOP 24-1g WOP 24-2 WOP 24-2a WOP 24-2b WOP 24-2c WOP 24-2d WOP 24-2e WOP 24-2f	Component	OVI
<i>Functional Configuration Audit</i>	Functional testing to the system documentation and 2005 VVSG requirements	WHVS07.4 WOP 26	Component & Integration	---
<i>Security</i>	Security testing of hardware and software	WHVS07.8 WOP 6a	Component & System	---
<i>Security(Software)</i>	Security testing of software	WHVS07.8 WOP 6c	Component & System	---
<i>Security(Access)</i>	Security testing of access controls	WHVS07.8 WOP 6d	Component & System	---
<i>Volume and Stress</i>	Test to investigate the system's response to larger amounts of data than it is expecting.	WOP 40	System	---
<i>System Integration Test</i>	Test of all system hardware, software and peripherals.	WOP 30 Gen-01-03 Prim-01-03	System	---
<i>Trusted Build</i>	Creation and installation of the final system software	WHVS07.6 WOP 7 WOP 7a	Component	Source Code packages

APPENDIX A
FUNCTIONALITY REQUIREMENTS MATRIX

Test Procedure	Test Procedure Description
WoP 25 Physical Configuration Audit	<p>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.</p> <p>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.</p> <p>Review drawings, specifications, technical data, and test data associated with system hardware, if non-COTS, to establish system hardware baseline associated with software baseline.</p> <p>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.</p> <p>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.</p>
WoP 26 Functional Configuration Audit	<p>The functional configuration audit 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 for the TDP. In addition to functioning according to the manufacturer's documentation tests shall be conducted to insure all applicable 2005 VVSG requirements are met.</p>
WoP 30 System Level Test	<p>System Level certification test address the integrated operation of both hardware and software, along with any telecommunication capabilities. 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.</p>
WoP 34 Test Report	National Certification Test Report
WoP 40 System Level Stress and Volume Test	<p>Tests to investigate the system's response to transient overload conditions, processing more than the expected number of ballots/voter per precinct and processing more than expected number of precincts. Polling place devices shall be subjected to ballot processing at the high volume rates at which the equipment can be operated to evaluate software response to hardware-generated interrupts and wait states. Central counting systems shall be subjected to similar overloads, including, for systems that support more than one card reader, continuous processing through all readers simultaneously. This test is an attempt to overload the system's capacity to process, store, and report data</p>