

**[NYESS-9] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 21/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">Dustin George</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	Voting System Test Plan - ES&S Voting System 5.0.0.1 - Initial Draft - June 21, 2012 ES&S AutoMARK - Voter Assist Terminal - System Test and Verification Procedures Version 1.8.1.0 - February 14, 2012 DS200 - Test Cases - Version Number 2.7.0.0 - February 14, 2012 DS850 - Test Case Specifications - Product Version 2.4.0.0 - February 15, 2012 ElectionWare - Design - System Test and Verification Procedures - ES&S Voting System version 5.0.0.1 - June 16, 2012 ElectionWare - [Deliver] - System Test and Verification Procedures - Version 4.1.0.0 February 21, 2012 ElectionWare - Results / Acquire / Produce - System Test and Verification Procedures Version 4.1.0.0 - February 3, 2012 ElectionWare - DEFINE - [Home] - [Capture] - [Element Library] - System Test and Verification Procedures - Version 4.1.0.1 - April 30, 2012 ElectionWare - MANAGE - [Setup] - System Test and Verification Procedures Version 4.1.0.0 - February 13, 2012 Election Reporting Manager / ERM - Product Test Cases - ES&S Voting System 5.0.0.1 Version 8.6.0.0e - February 6, 2012		

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	NY Regulation 6209.6.D.2biii (b) Technical Data The vendor shall provide the following technical data: (iii) records of all tests performed by the procedures listed above, including error correction and retest.
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	Error correction and re-test are logged with internal revisions to ES&S test cases documentation. During system development and testing, failed tests are indicated in test case documents with a FAIL indicator in the PASS/FAIL column for each testable element. Prior to releasing a system for testing, ES&S re-runs all test cases to validate that failures are resolved. Final test case documentation delivered to the test lab typically reflects the successful result of this final regression testing.

**Description**

Unable to locate error correction and retest data.

**Comments**

Comment by [Margie Schirmer](#) [ 21/Aug/12 01:56 PM ]

Received vendor response on 8/22/2012

Comment by [Dustin George](#) [ 26/Aug/12 02:40 PM ]

Verified in new TDP submission

**[NYESS-8] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 21/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">Dustin George</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	Voting System Test Plan - ES&S Voting System 5.0.0.1 - Initial Draft - June 21, 2012 ES&S AutoMARK - Voter Assist Terminal - System Test and Verification Procedures Version 1.8.1.0 - February 14, 2012 DS200 - Test Cases - Version Number 2.7.0.0 - February 14, 2012 DS850 - Test Case Specifications - Product Version 2.4.0.0 - February 15, 2012 ElectionWare - Design - System Test and Verification Procedures - ES&S Voting System version 5.0.0.1 - June 16, 2012 ElectionWare - [Deliver] - System Test and Verification Procedures - Version 4.1.0.0 February 21, 2012 ElectionWare - Results / Acquire / Produce - System Test and Verification Procedures Version 4.1.0.0 - February 3, 2012 ElectionWare - DEFINE - [Home] - [Capture] - [Element Library] - System Test and Verification Procedures - Version 4.1.0.1 - April 30, 2012 ElectionWare - MANAGE - [Setup] - System Test and Verification Procedures Version 4.1.0.0 - February 13, 2012 Election Reporting Manager / ERM - Product Test Cases - ES&S Voting System 5.0.0.1 Version 8.6.0.0e - February 6, 2012		

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	NY Regulation 6209.6.D.2bii (b) Technical Data The vendor shall provide the following technical data (ii) copies of all test cases generated for each module and integration test and sample ballot formats or other cons used for system;
<b>Vendor Response:</b>	See the User's Guide for ElectionWare - Design (EVS5001_SOP00_ElectionWare03_Design), Part 1, "Paper Ballot." This section includes images of all ballot elements formatted with the EMS System.

**Description**

Unable to locate sample ballot formats or other cons used for system.

**Comments**

Comment by [Margie Schirmer](#) [ 21/Aug/12 02:25 PM ]

Received vendor response on 8/22/2012

Comment by [Margie Schirmer](#) [ 21/Aug/12 02:48 PM ]

The Electionware03\_Design document contains sample ballot formats or other cons used for system.

Comment by [Dustin George](#) [ 26/Aug/12 02:41 PM ]

Verified in new TDP submission

**[NYESS-7] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 22/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation
<b>Assignee:</b>	<a href="#">Dustin George</a>
<b>Resolution:</b>	Validated Vendor Response
<b>Votes:</b>	0
<b>Environment:</b>	<p>AutoMARK™ BALLOT IMAGE PROCESSING SPECIFICATIONS Revision 4 - 6/20/2012            AutoMARK™ Ballot Scanning and Printing Specification - Revision 4 - 6/21/2012            AutoMARK™ DRIVER APPLICATION PROGRAMING INTERFACE (API) SPECIFICATIONS - Revision 4 - 6/20/2012            AUTOMARK™ EMBEDDED DATABASE INTERFACE SPECIFICATION - Revision 4 - 6/21/2012            AutoMARK Graphical User Interface Design Specifications - Revision 4 - 6/21/2012            AutoMARK Operating Software (AMOS) Design Specifications - Revision 4 - 6/21/2012            AutoMARK Operations and Diagnostic Log Specifications - Revision 4 - 6/21/2012            AutoMARK Programming Specifications Details - Revision 4 - 6/21/2012            AutoMARK Software Design Specifications - Revision 4 - 6/21/2012            AutoMARK Software Development Environment Specifications - Revision 4 - 6/21/2012            AutoMARK Software Diagnostics Specification - Revision 4 - 6/21/2012            AutoMARK™ Software Standards Specification - Revision 4 - 6/21/2012            AutoMARK™ VAT Software Design and Specifications - Overview Version Number 1.8            June 20, 2012            ES&amp;S Software Design Specifications - DS200 - ES&amp;S Voting System 5.0.0.1 - Initial Draft            June 21, 2012            ES&amp;S Software Design Specifications - DS850 - ES&amp;S Voting System 5.0.0.0 - June 21, 2012            DS200 Software Design and Specifications - Appendix 1 - DS200 Flowcharts Digital Scan 200 - EVS5001_SDS00_DS200 - Initial Draft - 6/12/2012            Appendix 2 DS200 Report Examples Digital Scan 200 - EVS5001_SDS00_DS200 - Initial Draft - 6/12/2012            ES&amp;S Voting System 5001_SDS00_DS20005_System Messages.XLS - Appendix 5              Appendix 6 DS200 Results Media XMLs Digital Scan 200 - EVS5001_SDS_DS200 Initial Draft - 6/13/2012            Appendix 1 ElectionWare Framework Programming Details and Interface Description ES&amp;S Voting System v. 5.0.0.1 - Initial release - 4/27/2012            Appendix 2 Paper Ballot Module Programming Details and Interface Description ES&amp;S Voting System v. 5.0.0.1 - Initial release - 4/27/2012            ES&amp;S - Election Voting System 5001            ES&amp;S Software Design Specifications - ElectionWare Appendix 7: ElectionWare ostgreSQL Table and Field Descriptions - ES&amp;S Voting System v. 5.0.0.1 - August 8, 2012            Appendix 8 ElectionWare Reports - ES&amp;S Voting System v. 5.0.0.1 - Initial TDP Submission 4/27/2012            ES&amp;S Software Design Specifications - ElectionWare - ES&amp;S Voting System v. 5.0.0.1            June 26, 2012            ES&amp;S Software Design Specifications - ERM Appendices - ES&amp;S Voting System 5.0.0.1            June 21, 2012            ES&amp;S Software Design Specifications - ERM - ES&amp;S Voting System 5.0.0.1            June 21, 2012            ES&amp;S Software Design Specifications - Event Log Service - ES&amp;S Voting System 5.0.0.1            June 21, 2012</p>

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	<p>NY Regulation 6209.6.F.3            The Software Specification shall contain and describe the vendor's design standards and conventions, environment and interface specifications, functional specifications, programming</p>

	architecture specifications, and test and verification specifications. Vendor must also provide document identification, an abstract of the specification, configuration control status and a table of contents. The body of the specification shall contain the following material:
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	<p>See the Voting System Test Plan (EVS5001_STP00) for test descriptions and specification for testing executed on the system.</p> <p>Functional and test and verification spec requirements are responded to in ES&amp;S Software Design Specs. See the following document sections for each requirement:</p> <p>xi - Modes of Operation - DS200_SDS00: 2.5.6.1; ElectionWare_SDS00: 5.1.1.1; AutoMARK/DS850/ERM/UELS_SDS00: 6.1</p> <p>Detecting and handling exceptional conditions - DS200_SDS00: 2.5.6.2a; ElectionWare_SDS00: 5.2.1 and 6.3; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.1</p> <p>system failure - DS200_SDS00: 2.5.6.2b; ElectionWare_SDS00: 5.2.2; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.2</p> <p>data input/output errors - DS200_SDS00: 2.5.6.2c; ElectionWare_SDS00: 5.2.3; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.3</p> <p>error logging - DS200_SDS00: 2.5.6.2d; ElectionWare_SDS00: 5.2.4; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.4</p> <p>audit record generation - DS200_SDS00: 2.5.6.2g ; ElectionWare_SDS00: 5.2.4 and 3.4.1; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.4</p> <p>security monitoring and control - DS200_SDS00: 2.5.6.2f ; ElectionWare_SDS00: 5.2.7; AutoMARK/DS850/ERM/UELS_SDS00: 6.3.7</p>

#### Description

Unable to locate Functional Specs and Test & Verification Specs within the Software Specification.

#### Comments

Comment by <a href="#">Margie Schirmer</a> [ 21/Aug/12 03:41 PM ]
Resolved this issue in error. Re-opened on 8/22/2012.
Comment by <a href="#">Margie Schirmer</a> [ 22/Aug/12 10:11 AM ]
Received vendor response on 8/22/2012
Comment by <a href="#">Margie Schirmer</a> [ 22/Aug/12 02:19 PM ]
The document AutoMARK_ESS Software Design Spec AQS-18-5001-004-S.pdf (AutoMARK SOFTWARE DESIGN SPECIFICATIONS, Print Date 6/21/2012) contains the Functional Specifications The document EVS5001_STP00.pdf (Voting System Test Plan ES&S Voting System 5.0.0.1 Print Date June 21, 2012) contains the Test & Verification Specifications.
Comment by <a href="#">Dustin George</a> [ 26/Aug/12 02:41 PM ]
Verified in new TDP submission

**[NYESS-6] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 21/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">Dustin George</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	AutoMARK™ BALLOT IMAGE PROCESSING SPECIFICATIONS Revision 4 - 6/20/2012 AutoMARK™ Ballot Scanning and Printing Specification - Revision 4 - 6/21/2012 AutoMARK™ DRIVER APPLICATION PROGRAMING INTERFACE (API) SPECIFICATIONS - Revision 4 - 6/20/2012 AUTOMARK™ EMBEDDED DATABASE INTERFACE SPECIFICATION - Revision 4 - 6/21/2012 AutoMARK Graphical User Interface Design Specifications - Revision 4 - 6/21/2012 AutoMARK Operating Software (AMOS) Design Specifications - Revision 4 - 6/21/2012 AutoMARK Operations and Diagnostic Log Specifications - Revision 4 - 6/21/2012 AutoMARK Programming Specifications Details - Revision 4 - 6/21/2012 AutoMARK Software Design Specifications - Revision 4 - 6/21/2012 AutoMARK Software Development Environment Specifications - Revision 4 - 6/21/2012 AutoMARK Software Diagnostics Specification - Revision 4 - 6/21/2012 AutoMARK™ Software Standards Specification - Revision 4 - 6/21/2012 AutoMARK™ VAT Software Design and Specifications - Overview Version Number 1.8 June 20, 2012 ES&S Software Design Specifications - DS200 - ES&S Voting System 5.0.0.1 - Initial Draft June 21, 2012 ES&S Software Design Specifications - DS850 - ES&S Voting System 5.0.0.0 - June 21, 2012 DS200 Software Design and Specifications - Appendix 1 - DS200 Flowcharts Digital Scan 200 - EVS5001_SDS00_DS200 - Initial Draft - 6/12/2012 Appendix 2 DS200 Report Examples Digital Scan 200 - EVS5001_SDS00_DS200 - Initial Draft - 6/12/2012 ES&S Voting System 5001_SDS00_DS20005_System Messages.XLS - Appendix 5  Appendix 6 DS200 Results Media XMLs Digital Scan 200 - EVS5001_SDS_DS200 Initial Draft - 6/13/2012 Appendix 1 ElectionWare Framework Programming Details and Interface Description ES&S Voting System v. 5.0.0.1 - Initial release - 4/27/2012 Appendix 2 Paper Ballot Module Programming Details and Interface Description ES&S Voting System v. 5.0.0.1 - Initial release - 4/27/2012 ES&S - Election Voting System 5001 ES&S Software Design Specifications - ElectionWare Appendix 7: ElectionWare ostgreSQL Table and Field Descriptions - ES&S Voting System v. 5.0.0.1 - August 8, 2012 Appendix 8 ElectionWare Reports - ES&S Voting System v. 5.0.0.1 - Initial TDP Submission 4/27/2012 ES&S Software Design Specifications - ElectionWare - ES&S Voting System v. 5.0.0.1 June 26, 2012 ES&S Software Design Specifications - ERM Appendices - ES&S Voting System 5.0.0.1 June 21, 2012 ES&S Software Design Specifications - ERM - ES&S Voting System 5.0.0.1 June 21, 2012 ES&S Software Design Specifications - Event Log Service - ES&S Voting System 5.0.0.1 June 21, 2012		

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	NY Regulation 6209.6.F.3siii (iii) Program Analysis: Provide the results of software configuration analysis, algorithm analysis and selection, timing studies and hardware interface studies reflected in the final

	software design and coding.
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	Not provided. ES&S does not generate formal documentation for this type of analysis The root of this requirement specifies that is a topic recommended for amplification as an appendix, but not required.

#### Description

Unable to locate the results of software configuration analysis, algorithm analysis and selection timing studies and hardware interface studies reflected in the final software design and coding

#### Comments

Comment by [Margie Schirmer](#) [ 21/Aug/12 03:43 PM ]

Received vendor response on 8/22/2012.

Comment by [Margie Schirmer](#) [ 21/Aug/12 03:44 PM ]

After further review of the regulation, the missing documentation is not required. (The content and arrangement of appendices shall be at the discretion of the vendor).

Comment by [Dustin George](#) [ 26/Aug/12 02:41 PM ]

Verified in new TDP submission

**[NYESS-5] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 21/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation
<b>Assignee:</b>	<a href="#">Dustin George</a>
<b>Resolution:</b>	Validated Vendor Response
<b>Notes:</b>	0
<b>Environment:</b>	<p>AutoMARK System Security Specifications 4 2/9/2011</p> <p>Voting System Security Specification ES&amp;S Voting System 5.0.0.1 June 26, 2012</p> <p>Jurisdiction Security Procedures Election Systems and Software Version 1.0.0.1 May 2, 2011</p> <p>Hardening Procedures For the Election Management System PC ES&amp;S Voting System 5.0.0.1 June 26, 2012</p> <p>Voting System Security Best Practices for Physically Securing ES&amp;S Equipment ES&amp;S Voting System 5.0.0.1 June 26, 2012</p> <p>Election Systems &amp; Software Quick Hash Procedure For the EMS Workstation June 26, 2012</p> <p>Security Script Description for the Election Management System PC ES&amp;S Voting System 5.0.0.1 Initial Draft June 21, 2012</p> <p>Election Systems &amp; Software Quick Hash Procedure For the DS850 Initial Draft 6/26/2012</p> <p>Election Systems &amp; Software Quick Hash Procedure For the EMS Workstation Initial Draft June 26, 2012</p> <p>Election Systems &amp; Software Voting System Validation - File Listing DS200 ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p> <p>Election Systems &amp; Software Voting System Validation - AutoMARK File Listing ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p> <p>EVS5001_SSS03_Voting System Validation Guide02_File Listing_AutoMARK.pdf</p> <p>Election Systems &amp; Software Voting System Validation - Removable Media Service File Listing ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p> <p>Election Systems &amp; Software Voting System Validation- VAT Preview File Listing ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p> <p>Election Systems &amp; Software Voting System Validation - ERM File Listing ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p> <p>Election Systems &amp; Software Voting System Validation - File Listing DS850 ES&amp;S Voting System 5.0.0.1 Initial Draft June 21, 2012</p> <p>Election Systems &amp; Software Voting System Validation - ES&amp;S Event Log Service File Listing ES&amp;S Voting System 5.0.0.0 Initial Draft June 21, 2012</p> <p>Windows Baseline Settings for EVS version 5.0.0.1</p> <p>Election Systems &amp; Software Development Change Notes ES&amp;S Voting System 5.0.0.1 Initial Draft June 26, 2012</p>

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	<p>NY Regulation 6209.6.F.3n2</p> <p>2. For each potential point of attack, the vendor shall identify the technical safeguards embodied in the voting system to defend against attack, and the procedural safeguards that the vendor has recommended be followed by the election administrators to further defend against that attack. Each defense shall be classified as preventative, if it prevents the attack in the first place; detective if it allows detection of an attack; or corrective if it allows correction of the damage done by an attack.</p>
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	ES&S is providing a System Threat Matrix with TDP Rev4. This document identifies potential vulnerabilities of the voting system, provides a mitigation strategy or system feature that counters the identified vulnerability and classifies each mitigation as specified in the cited requirement.

**Description**

Unable to locate documentation of a classification of a preventative, detective and/ or corrective defense

**Comments**

Comment by [Margie Schirmer](#) [ 21/Aug/12 03:56 PM ]

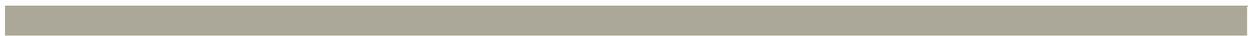
Received vendor response on 8/22/2012

Comment by [Margie Schirmer](#) [ 21/Aug/12 03:58 PM ]

The document provided: System Threat Matrix provides the classification of a preventative, detective and/ or corrective defense.

Comment by [Dustin George](#) [ 26/Aug/12 02:41 PM ]

Verified in new TDP submission



**[NYESS-4] [Missing documentation](#)** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 26/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">Dustin George</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	AutoMARK System Hardware Overview, Revision 3, 6/21/2012 AutoMARK System Hardware Specification, Revision 3, 6/21/2012 ES&S System Hardware Specification - DS200 - ES&S Voting System v. 5.0 Print Date June 21, 2012 ES&S System Hardware Specification - DS850 - ES&S Voting System v. 5.0.0.1 Print Date June 21, 2012		

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	NY Regulation 6209.6.D.3biii The vendor shall provide the following technical data: (iii) configuration baseline data for all hardware included within the system
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	See the Voting System Overview, Appendix B, "System Summary," for a list of all items included with the system. This list includes the baseline hardware, and firmware revisions for all system software. Bills of Materials included with system hardware specifications list all components included with ES&S manufactured hardware. 2nd Vendor Response: I can see how we caused some confusion here. We drop in Usability Reports for the DS200 and AutoMARK (which are drafted as standalone documents) as Appendix D of the system overview. Each usability reports includes its own appendices (appendices of an appendix). We need make sure SLI reviews Overview Appendix B to determine whether additional information is required. Easiest way to navigate this PDF is to open the Bookmark panel in Acrobat by selecting View>Navigation Panels>Bookmarks and then selecting the bookmark named "EVS5001_OVR02_AppxB_VotingSystemSummary." Section begins on PDF page 47 (not the printed page number).

**Description**

Unable to locate documentation of the configuration baseline data for all hardware included within the system

**Comments**

Comment by [Margie Schirmer](#) [ 22/Aug/12 11:35 AM ]

Received vendor response on 8/22/2012

Comment by [Margie Schirmer](#) [ 22/Aug/12 01:45 PM ]

Unable to locate the "Voting System Overview, Appendix B, System Summary".  
EVS5001\_OVR00.pdf (System Overview ES&S Voting System 5.0.0.1) Print Date August 2, 2012 contains: Appendix B Instructions for Participants - pg. 18  
ES&S System Hardware Specification DS850 ES&S Voting System v. 5.0.0.1  
Print Date June 21, 2012 does not contain an Appendix B.  
ES&S System Hardware Specification DS200 ES&S Voting System v. 5.0 Print Date June 21, 2012 does not contain an Appendix B.

Comment by [Margie Schirmer](#) [ 26/Aug/12 01:08 PM ]

Received 2nd vendor response on 8/27/2012

Comment by [Margie Schirmer](#) [ 26/Aug/12 01:13 PM ]

Reviewed Appendix B - pgs. B1-B10, the configuration baseline data for all hardware included within the system is described in full.

Comment by [Dustin George](#) [ 26/Aug/12 02:41 PM ]

Verified in new TDP submission

**[NYESS-3] Missing documentation** Created: 31/Jul/12 Updated: 26/Aug/12 Resolved: 22/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">Dustin George</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	AutoMARK System Hardware Overview, Revision 3, 6/21/2012 AutoMARK System Hardware Specification, Revision 3, 6/21/2012 ES&S System Hardware Specification - DS200 - ES&S Voting System v. 5.0 Print Date June 21, 2012 ES&S System Hardware Specification - DS850 - ES&S Voting System v. 5.0.0.1 Print Date June 21, 2012		

<b>Date:</b>	06/Jul/12
<b>Requirement:</b>	NY Regulation 6209.6.D.3bii The vendor shall provide the following technical data: (ii) identification of all hardware which interfaces with the software
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	See the Voting System Overview, Appendix B, "System Summary," for a list of all items included with the system. This list includes all ES&S manufactured equipment and COTS hardware that interacts with the voting system. Hardware interactions (memory devices, computer systems, printers, etc) are illustrated in the system diagrams included under Section 1.4 of the system overview.

**Description**

Unable to locate documentation that identifies all hardware which interfaces with the software

**Comments**

Comment by [Margie Schirmer](#) [ 22/Aug/12 01:42 PM ]

Received vendor response on 8/22/2012

Comment by [Margie Schirmer](#) [ 22/Aug/12 01:43 PM ]

The document EVS5001\_OVR.00.pdf(System Overview ES&S Voting System 5.0.0.1) - Section 1.4 identifies all hardware which interfaces with the software, pg. 25

Comment by [Dustin George](#) [ 26/Aug/12 02:41 PM ]

Verified in new TDP submission

## [NYESS-2] Document Version Numbers and Change Documentation

**Incorrect** Created: 14/Jun/11 Updated: 26/Aug/12 Resolved: 22/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Documentation		
<b>Assignee:</b>	<a href="#">SysTest Labs</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0

<b>Date:</b>	14/Jun/11
<b>Requirement:</b>	Vol2:2.1.1.2:Required Content for System Changes and Re-certification  For systems seeking re-certification, vendors shall submit System Change Notes as described in Section 2.1.3 as well as current versions of all documents that have been updated to reflect system changes.
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	When a new project is declared, ES&S baselines the initial publication for each document deliverable included in the project at Revision 1.0 and then tracks revisions throughout the course of the project until final approval is obtained. The documents are then retired and escrowed with executables and source code according to certification rules.  The reason for this approach is to maintain document version control for each system configuration that ES&S fields to customers.

### Description

The vendor supplied a 'TDP DIFF Unity 3000NY Final to Unity NY3020 Rev 1' document detailing what documents were updated or new. Numerous discrepancies were noted between the TDP DIFF document and the NY3020 documents and between the 3000NY documents and the NY3020 documents as related to version or revision numbers, Table of Changes 'Date of Change' field and 'Description of Change' field.

For example, UNY3020\_TRN00\_DS200\_Election.pdf appears in the TDP DIFF document as 'Updated for Unity NY 3020'. However, page 3 of the new document, 'Table of Changes' contained only one row with a Date of Change of 3.7.2011 and a Description of Change of 'Initial Document Submission'. The previous document (U3000NY\_TRN00\_DS200\_Election.pdf) had 8 rows of data ranging from 1.15.2008 to 6.29.2009. These were removed in the new version.

Another example, UNY3020\_TRN00\_EDM\_TrainingManual.pdf has Table of Changes entries for 5.29.2009, then it jumps to 11.30.2009 and then to 12.23.2009. The older version of this document included entries for 5.29.2009 and then jumped to three entries for 12.06.2009. The 12.06.2009 entries were removed from the newer document and the 11.30.2009 changes were not included in the older document.

### Comments

Comment by [Margie Schirmer](#) [ 22/Aug/12 01:49 PM ]

Received vendor response on 8/22/2012

Comment by [Dustin George](#) [ 26/Aug/12 02:42 PM ]

Verified in new TDP submission

## [NYESS-1] Documents missing from the TDP DIFF-Unity

### 2000NY\_FINALtoUNY3020

Created: 14/Jun/11 Updated: 26/Aug/12 Resolved: 22/Aug/12

<b>Status:</b>	Closed
<b>Project:</b>	<a href="#">NY-ES&amp;S Upgrade</a>
<b>Component/s:</b>	None

<b>Type:</b>	Informational		
<b>Assignee:</b>	<a href="#">SysTest Labs</a>		
<b>Resolution:</b>	Validated Vendor Response	<b>Votes:</b>	0
<b>Environment:</b>	Documentation		

<b>Date:</b>	14/Jun/11
<b>Requirement:</b>	VVSG Vol I 2.11 through Vol I 6.2.6
<b>Severity:</b>	Minor
<b>Vendor Response:</b>	<p>Listed documents are removed from the ES&amp;S TDP. Beginning with Unity NY 3.0.2.0, ES&amp;S all product functional descriptions are removed and replaced with a single document that describes the entire system (EVS5001_SFD00). This approach reduces redundancies with not applicable content noted in the product documents and provides a system level picture of product functionality.</p> <p>Audit Manager software has been removed from the system beginning with Unity NY 3.0.2.0. Audit Manager functionality is now provided within the ElectionWare Accessible Ballot module.</p>

#### Description

The initial PCA Review used as documentation "AutoMARK Information Management System - AIMS System in the Voting System Functionality Description", version 2, dated 09/16/2008. This document is not listed in the "TDP DIFF-Unity 2000NY\_FINALtoUNY3020\_Rev1.docx" file.

The initial PCA Review used as documentation "DS200 System Functionality, Description Firmware ver 2.0.2.0, dated 09/10/08" This document is not listed in the "TDP DIFF-Unity 2000NY\_FINALtoUNY3020\_Rev1.docx" file.

The initial PCA Review used as documentation "\*\*Audit Manager Software Functionality Description, ver 7.5.2.0, dated 07/30/08". This document is not listed in the "TDP DIFF-Unity 2000NY\_FINALtoUNY3020\_Rev1.docx" file.

#### Comments

Comment by [Margie Schirmer](#) [ 22/Aug/12 01:54 PM ]

Received vendor response on 8/22/2012

Comment by [Dustin George](#) [ 26/Aug/12 02:42 PM ]

Verified in new TDP submission

Generated at Sun Aug 26 14:42:31 MDT 2012 by Dustin George using JIRA 4.0.1#471.