



# MONTANA SECRETARY OF STATE

## Elections and Government Services Division

### Application for Voting System or Component Certification

#### APPLICANT INFORMATION

Name of Vendor <b>Election Systems &amp; Software</b>	Contact Person, Title <b>Chris Bruscano, State Certification Manager</b>
Address <b>11128 John Galt Boulevard</b>	E-mail Address <a href="mailto:Chris.bruscano@essvote.com">Chris.bruscano@essvote.com</a>
City, State, Postal Code <b>Omaha, NE 68137</b>	Telephone Number <b>402-938-1335</b>
	Fax Number <b>402-970-1275</b>

#### SYSTEM/COMPONENT INFORMATION

Statement that applicant is applying for examination pursuant to Administrative Rules of Montana:

**Pursuant to the administrative Rules of Montana, Election Systems & Software is applying for the certification upgrade of Unity 3.4.0.0 to Unity v. 3.4.1.0. This release allows customers to upgrade software operating system from Windows XP to Windows 7.**

Name and release level of system or component:

<b>Montana State Certification of Unity 3.4.1.0</b> Changes in <b>RED</b>		<b>Current System</b> <b>Unity 3.4.0.0</b>	<b>Unity 3.4.1.0</b>
<b>Pre-Election Software</b> Ballot Definition Ballot Layout Election Media	Election Data Manager (EDM)	7.8.1.0	7.8.2.0
	AutoMARK Information Management System (AIMS)	1.3.257	1.3.257
	VAT Previewer	1.3.2907	1.3.2907
	ES&S Image Manager (ESSIM)	7.7.1.0	7.7.2.0
	Hardware Programming Manager (HPM)	5.8.0.0	5.9.0.0
<b>Post-Election Software</b> Election Result Reporting Election Auditing	Election Reporting Manager (ERM)	7.8.0.0	7.9.0.0
	Audit Manager	7.5.2.0	7.5.2.0
	Log Monitor	1.0.0.0	1.1.0.0
<b>Tabulators</b>	Model 100	5.4.4.5	5.4.4.5
	DS200	1.6.1.0	1.7.0.0
	Model 650	2.2.2.0	2.2.2.0
	DS850	2.2.0.0	2.9.0.0
<b>Voter Assistance Terminal</b>	ES&S AutoMARK (A100 HW 1.0)	1.3.2907	1.3.2907
	ES&S AutoMARK (A200 HW 1.1)	1.3.2907	1.3.2907
	ES&S AutoMARK (A200 HW 1.3)	1.3.2907	1.3.2907

Brief description of system or component:

	Unity 3.4.1.0	Module Description
<b>Pre-Election Software</b> Ballot Definition Ballot Design Election Media	Election Data Manager (EDM)	Front-end module of Unity. EDM is a single-entry database where all election specific information such as precinct, office, and candidate information is entered. EDM's output is utilized by ESSIM and AIMS to complete the ballot definition process.
	AutoMARK Information Management System (AIMS)	Windows - based PC application program that assists election officials in preparing the flash memory card required by the AutoMark (VAT) for use in an election.
	VAT Previewer	Utilized by AIMS and enables the user to preview AutoMARK screens and test audio files prior to burning election day media.
	ES&S Image Manager (ESSIM)	Uses programmed files from EDM to design ballot images.
	Hardware Programming Manager (HPM)	Enables the user to import, format, and create election definitions for ES&S' tabulators. The output is an election file that can be later imported into ERM after vote tabulation.
<b>Post-Election Software</b> Election Results Reporting Election Auditing	Election Reporting Manager (ERM)	Back-end module of Unity. Accumulates election results, formats/generates customized paper or electronic reports.
	Audit Manager	Creates users, provides password security, and real-time audit reports for EDM and ESSIM that tracks all user activities.
	LogMonitor Service	A Windows Service that runs in the background of active ES&S Election Management software (EMS) applications to audit the proper functioning of the Windows Event Viewer. The LogMonitor application will close any open EMS applications if the system detects improper deactivation of the Windows Event Viewer.
<b>Tabulators</b>	Model 100	Precinct-based vote tabulator utilizing advanced Intelligent Mark Recognition (IMR) visible light scanning technology to scan ballots.
	DS200	Precinct-based vote tabulator that scans both sides of the ballot simultaneously and saves ballot images to a USB memory device for later ballot viewing.
	Model 650	Central count based vote tabulator that includes a dedicated audit log printer and election results printer. The audit log printer prints user actions and system messages in real-time.
	DS850	Central count based high-speed, optical scan tabulator that uses advanced cameras and imaging algorithms to simultaneously capture voter selections on the front and back of a ballot, evaluates the results, and sorts the ballots into bins.
<b>Voter Assistance Terminal</b>	ES&S AutoMARK	Voter Assist Terminal designed to help voters mark their optical scanned ballots when they are visually impaired, physically disabled, or more comfortable reading or hearing instructions and choices in an alternative language. The AutoMark doesn't store, count, or tabulate votes.

Name and version of major hardware, firmware, software and components:

Please see above for high level overview of the Unity 3.4.1.0 voting system. Below is a continuance of the above table with additional details on ES&S' hardware versions.

	Firmware Version	Hardware Level	Operating System
AutoMARK (A100)	1.3.2907	1.0	5.0.1400
AutoMARK (A200)	1.3.2907	1.1	5.0.1400
AutoMARK (A200)	1.3.2907	1.3	5.00.19
AutoMARK (A200)	1.3.2907	1.3	5.00.19
Model 100	5.4.4.5	1.3	
DS200	1.6.1.0	1.2	
Model 650 (Visible Green/Left Hand Response)	2.2.2.0	1.2	
Model 650 (Visible Red/Left Hand Response)	2.2.2.0	1.2	
DS850	2.2.0.0	1.0	
Metal Ballot Box		1.0,1.1,1.2	
DS200 Plastic Ballot Box		1.2,1.3	

Type of application (select one):

- Certification of a new system or component  
 Certification of modification to certified system or component  
 Renewal of a previously certified system or component

Affected components for type of application:  
 Hardware      X Firmware      X Software

Date and time of requested examination:  
 June 17, 2015

Place of examination:  
 (TBD), Helena, Montana

Statement that the applicant will pay reasonable costs of examination ([MCA 13-17-102\(2\)](#)):

**Election Systems & Software will pay reasonable costs of examination of Unity 3.4.1.0**

References for each state where this exact system or component is currently certified for use:

State	Date Approved	Length of Use	Contact Person	Contact Information
Idaho	06/02/14		Jim Mairs	208-332-2834
Wyoming	04/01/15		Kai Schon	307-777-3416
Washington	06/27/14		Stuart Holmes	360-725-5794

If state approval/certification has ever been revoked on exact system or component (*does not necessarily disqualify application*):  
 Please attach documentation regarding steps taken to resolve issues, if any.

State	Date Approved	Length of Use	Contact Person	Contact Information
N/A	N/A	N/A	N/A	N/A

Does the applicant own all rights to this equipment?      X YES      NO (please explain):

Is any part of the system manufactured or assembled by another company?      YES      X NO  
 If yes, list part and manufacturer contact information:

Type of business or organization:	<input checked="" type="checkbox"/> Corporation	<input type="checkbox"/> Partnership	<input type="checkbox"/> Individual
If a Corporation, state of incorporation:			
Authorized to do business in Montana	<input checked="" type="checkbox"/> YES		NO
Maintain an office in Montana	YES		<input checked="" type="checkbox"/> NO
Independently owned	<input checked="" type="checkbox"/> YES		NO
If not independently owned, name and address of parent company:			

**This application must include the following, when applicable:** *Please check the box if material is included with the application or indicate N/A if not applicable. If not included with this application, material must be supplied before testing is scheduled.*

- X 1. Completed Application  
    Refer to Folder 1
- X 2. Documentation indicating federal qualification and date  
    Refer to Folder 2
- X 3. Documentation from all independent test authorities which examined this system  
    Refer to Folder 3
- X 4. Documentation from listed jurisdictions having granted/revoked certification of system or component  
    N/A
- X 5. Documentation indicating executable image, source code, etc. are escrowed with approved ITA  
     Document granting Montana Secretary of State unrestricted access to escrow materials  
    Refer to Folder 4
- X 6. Description of how the system or component is based on commonly accepted industry standards  
    Refer to VSTL Reports in Folder 3
- X 7. Engineering drawings, schematics or flowcharts identifying software and data file relationships  
    Refer to Folder 5
- X 8. Photographs of the system and functional description of software and components  
    Refer to Folder 6
- X 9. Equipment durability statement and reliability estimate (must meet requirements of [ARM 44.3.1703](#))  
    Refer to Folder 7
- X 10. Environmental requirements for storage, transportation and operation  
    Refer to Folder 7
- X 11. Security measures recommended for securing the voting system before, during, and after an election, including recounts  
    Refer to Folder 8
- X 12. Examples of how the system or component may be protected from tampering for a fraudulent purpose  
    Refer to Folder 8
- X 13. Copies of contracts and maintenance agreements used in connection with the system or component  
    Refer to Folder 9
- X 14. Type of maintenance agreements and levels offered by vendor and maintenance providers  
     List of current maintenance rates and schedule of anticipated rate increases  
    Refer to Folder 9
- X 15. Applicable user, operator, maintenance, and training manuals  
    Refer to Folder 10
- X 16. Troubleshooting guides and description of the most encountered poll worker issues and resolutions  
    Refer to Folder 10\System Operations Procedures
- X 17. List and description of training courses provided and available (including both on-and off-site training)  
    Refer to Folder 11
- X 18. Copies of materials useful for instruction or information useful to electors at the polls  
    Refer to Folder 10\System Operations Procedures
- X 19. List of specific ballot styles and recommended ballot marking devices  
    Refer to Folder 10\System Operations Procedures
- X 20. Upgrade plan for existing customers – identify all customers and detail the plan for their upgrade  
    To be submitted prior to examination by Customer Service Department
- X 21. Procedure for notifying State about necessary and available system changes (ECO, ECN, etc.)  
    Refer to Folder 12

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**AFFIRMATION**

In making application for the certification of the system or component listed; I affirm under the penalty for perjury that to the best of my knowledge and belief all the information contained in this application is true. I agree to reimburse the State of Montana for reasonable costs incurred by the Montana Election and Government Services Division in evaluating the voting system.

Signature 	Title <b>State Certification Manager</b>	Date 4/17/15
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<b>Deliver Application To:</b> Montana Secretary of State Elections and Government Services Division PO Box 202801 Helena, Montana 59620-2801	<b>Direct Questions To:</b> Office of the Montana Secretary of State Lisa Kimmet, Elections Deputy Telephone: (406) 444-5376 Email: <a href="mailto:lkimmet@mt.gov">lkimmet@mt.gov</a>
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**Applicable Montana Statute and Rules**

Montana Code Annotated Title 13, Chapter 17 <a href="http://data.opi.mt.gov/bills/mca_toc/index.htm">http://data.opi.mt.gov/bills/mca_toc/index.htm</a>	Administrative Rules of Montana Title 44, Chapter, 3, Subchapter 17 <a href="http://www.mtrules.org/">http://www.mtrules.org/</a>
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No application may be submitted to the Secretary of State later than 90 days prior to the date of the election at which the machines are proposed to be used.  
ARM 44.3.1701(7) <http://www.mtrules.org/gateway/ruleno.asp?RN=44%2E3%2E1701>  
Voting systems may not be used in an election unless approved by the secretary of state 60 days or more prior to the election at which they will be used.  
MCA 13-17-101(3) <http://data.opi.mt.gov/bills/mca/13/17/13-17-101.htm>  
The secretary of state shall: within 30 days after examining the voting system, file a report of the examination in the secretary of state's office.  
MCA 13-17-101(2)(b) <http://data.opi.mt.gov/bills/mca/13/17/13-17-101.htm>

Updated: December 2011