

Understanding Voting Systems and Electronic Pollbook Certifications

David Velez-Perez
Election Law Seminar
August 2022



About Me...

- 19+ years of experience in Information Technology
- US Army Combat Veteran
- Bachelor's of Computer Science in Cybersecurity
- Office of Secretary of State for 8 years
 - Lead Systems Support Tech
 - Election Security Trainer
 - Voting Systems Certification Coordinator
 - DHS Tabletop the Vote Moderator for Texas
 - Cybersecurity Training for TEAM users



Voting Systems Certifications



Statutory Mandate

- Help America Vote Act (HAVA) of 2002, Section 202
 - directs the EAC to adopt voluntary voting system guidelines, and to provide for the testing, certification, decertification, and recertification of voting systems hardware and software.

- CHAPTER 122, TEC. STATE SUPERVISION OVER VOTING SYSTEMS
 - Subchapter A. Voting System Standards
 - Subchapter B. Approval of Voting System And Equipment
 - Subchapter C. Modification in Design of Approved System or Equipment
 - Subchapter D. Reexamination of Voting System or Equipment

NOTE: Every voting system must be tested in a national accredited voting system test laboratory (VSTL) to comply with the EAC Voluntary Voting System Guidelines (VVSG) before it is certified for use in the State of Texas.



Voting Systems Certification Application

- Submit ***Notice of Intent to Seek Certification*** form
- Applying for certification
 - Submission of **Form 100, Form 101, and Form 100 Schedule A** (if applicable)
 - Submit administrative fee
- Technical Data Package (TDP) review by examiners



Voting Systems Certification Application (cont.)

- National accredited voting system test laboratory (VSTL) reports
- Qualified software/firmware and source codes for the system and/or system components
- Validated Manifest files (Trusted Hashes)
- Set physical examination date



Voting Systems Certification Team

Appointed By	Knowledge/Experience
SOS Appointee	Expert in software systems
SOS Appointee	Expert in electronic systems
SOS Appointee	Expert in election law and procedure
SOS Employee	Expert in election law and procedure
OAG Appointee	Expert in electronic systems*
OAG Employee	Expert in election law and procedure*

*** NOT REQUIRED, but considered a Best Practice**



Voting Systems Certification Timeline

■ Pre-Exam Prep

- Ballot preparation
- Pre-mark ballots for scanners
- Print out scripts for DRE's and BMD's
- Setup and test media equipment for recording/streaming

■ Day 0

- Equipment delivery and setup by vendors

■ Day 1

- Extraction of trusted build files



Voting Systems Certification Timeline (cont.)

- Day 2
 - Software installation and initialization
 - Hash validation
 - Technical examination
 - Accessibility testing
- Day 3
 - Vendor presentation
 - Mock election
 - Unstructured “free play” testing



Voting Systems Certification Timeline (cont.)

■ Post-Exam

- Distribute audit logs to examiners for final review
- Conduct a debrief meeting with examiners to discuss issues found during examination (optional)
- Examiners must submit final reports within 30 days
- Hold public hearing
- If the voting system is approved, the signed order will be posted on the Elections Division webpage under Voting Systems section

NOTE: Approval of voting systems is permanent until system is no longer compliant with the law.

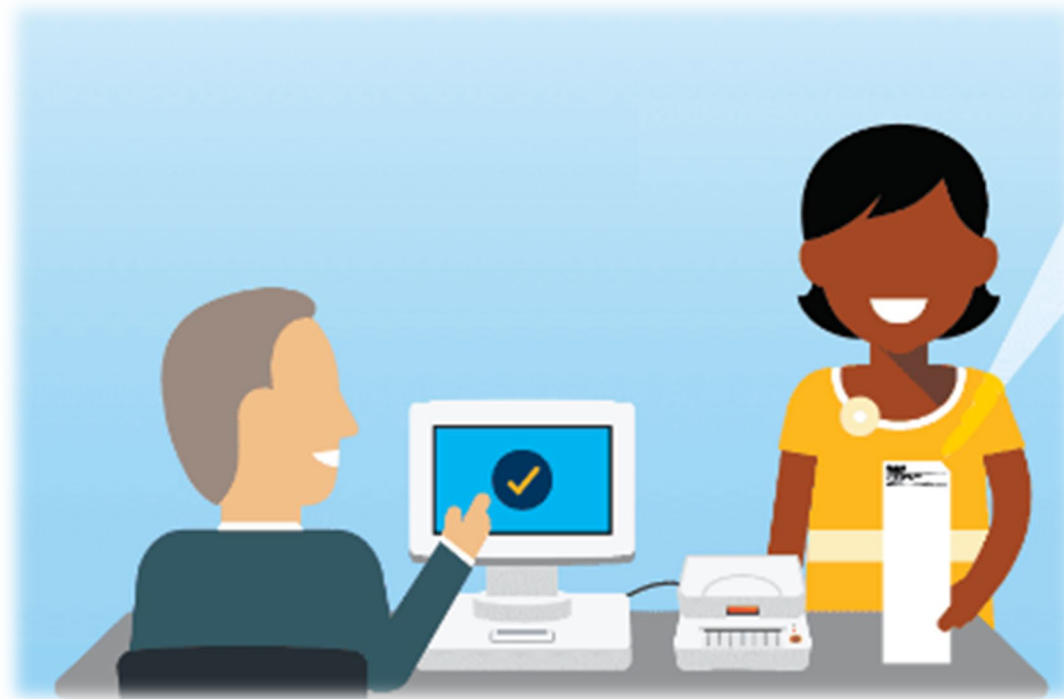


Conditional Certification and Modifications

- Some voting systems are certified with conditions, which must be followed to ensure that system is compliant with Texas law.
- Major modifications require a full recertification. Minor modifications can be handled administratively, but still require a report from a testing lab and a review by selected examiners.



Electronic Pollbooks Certifications



Statutory Mandate

- H.B. 4130 (86th Legislative Session)
 - SOS is required to develop ePollbook standards and create an e-pollbook certification program.
 - Devices must be certified annually.
 - Using a device that is not certified will lead to a noncompliance fee.

- Sec. 31.014(a). CERTIFICATION OF ELECTRONIC DEVICES TO ACCEPT VOTERS
 - The secretary of state shall prescribe specific requirements and standards, consistent with this code, for the certification of an electronic device used to accept voters under Chapter 63 of the TEC.

NOTE: There are no current federal guidelines governing the certification and testing of electronic pollbooks.



Electronic Pollbook Certification Application

- Applying for certification
 - Submission of **Form 200 and Form 200 Schedule A** (if applicable)
 - No administrative fee
- Completed application with all required components must be received before scheduling the functional examination date.
- Completed Vendor Risk Management Policy document



Electronic Pollbook Certification Process

Two-Phase Process

■ Texas Technical Testing Matrix for ePollbooks

- Governs what an ePollbook must do to be certified
- Testing must be performed by laboratory certified by NIST (National Institute of Standards and Technology)
- Final report must be submitted with TDP to SOS

■ Texas Functional Testing Matrix for ePollbooks

- Verifies ePollbook meets applicable requirements prescribed in TEC Chapters 31, 63, 85, 87
- Prescribes hands-on testing of ePollbook
- Testing is performed by SOS Elections staff (Attorneys, Security Trainers)



Electronic Pollbook Certification Timeline

■ Pre-Exam Prep

- Examiners review TDP and other components of the application
- Texas Functional Testing Matrix document provided to examiners
- Setup and test media equipment for recording/streaming

■ Day 1

- Setup and initialization
- Vendor presentation
- Perform functional testing



Electronic Pollbook Certification Timeline (cont.)

■ Post-Exam

- Review examination materials and completed texting matrix
- Issue letter approving or denying certification of system



Conditional Certification and Modifications

- ePollbook unable to meet certain requirements but can be satisfied on paper form (i.e., electronic signature, statements of residence, etc.)
- Any minor modifications require administrative review by SOS
- Any major modifications will require full certification process



Your Duties as Election Official

- Do your research regarding voting systems and ePollbooks
- Establish good communication channels with vendors
- Acquisition of a voting system requires SOS approval (Sec. 123.035(a), TEC).
Class B misdemeanor offense
- Perform voting systems acceptance testing (Chapter 129, Subchapter B, TEC)



Your Duties as Election Official (cont.)

- Submit the Annual Voting Systems Report survey (Sec. 123.061, TEC)
 - Must be completed between July 1st and July 15th every year
 - Required for all political subdivisions
 - Must be submitted, regardless of whether you had any changes or not.
- Read our resources
 - [Election Advisory No. 2019-21](#)-Texas Certification Procedures for Electronic Pollbooks
 - [Election Advisory No. 2019-23](#)-Electronic Voting System Procedures Advisory



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ELECTION SECURITY TRAINERS
ElectionSecurity@sos.texas.gov
elections@sos.texas.gov





Gracias!!

