

VENDOR APPLICATION FOR VOTING SYSTEM CERTIFICATION

Vendor Name:

ELECTION SYSTEMS & SOFTWARE, INC.

Vendor Address:

**11208 JOHN GALT BOULEVARD
OMAHA, NE 68114**

Name and Telephone Number of Technical Support:

All calls for technical support should be addressed to ES&S' Customer Service for immediate assistance. The number is 877-377-8683.

Name of the System: (include version numbers/release numbers)

UNITY 3.3.0.1

- **Software**
 - **Election Data Manager (EDM) v. 7.8.1.0**
 - **ES&S Image Manager (ESSIM) v. 7.7.1.0**
 - **AutoMARK Information Management System (AIMS) v. 1.3.257**
 - **Hardware Programming Manager (HPM) v. 5.7.4.0**
 - **Election Reporting Manager (ERM) v. 7.5.8.0**
 - **LogMonitor v. 1.0.0.0**
 - **Audit Manager v. 7.5.2.0**
 - **VAT Previewer v. 1.3.2907**

- **Hardware**
 - **AutoMARK (VAT)**
 - **Model A100 (H/W Rev 1.0)**
 - **Firmware v. 1.3.2907**
 - **OS 5.0.1400**
 - **PEB 1.65**
 - **Model A200 (H/W Rev 1.1, 1.3)**
 - **Firmware v. 1.3.2907**
 - **OS 5.0.1400, 5.00.19**
 - **PEB 1.65, 1.70**
 - **DS850 (Central Scanner)**
 - **Firmware v. 2.2.0.1**
 - **Hardware v. 1.0**
 - **M650 (Central Tabulator)**
 - **Firmware v. 2.2.2.0**
 - **Hardware v. 1.1, 1.2**
 - **M100 (Precinct Tabulator)**
 - **Firmware v. 5.4.4.5**
 - **Hardware v. 1.3**

Type of System (i.e., DRE, Optical Scan, etc.):
(Provide a brief description of how it functions)

Unity 3.3.0.1 is considered an optical scan voting system. The voting system is comprised of Unity software with the AutoMARK (Voter Assist Terminal,) DS850 and M650 central count scanners, and M100 precinct tabulator.

What functions do you want to certify in the State of Washington? (Provide electronic copies of operating and maintenance manuals, training materials, technical and operational specifications, etc.

*ES&S wants to certify the full functionality of all the Unity software, the AutoMARK, DS850, M100, and M650 listed above.
Copies of operating and maintenance manuals, training materials, technical and operational specifications are included on the CD (Folders 4-9).*

Is this a modification of a system currently certified with Washington State?

The DS850 central scanner is a new product however all Unity software and the AutoMARK, M100 and M650 are currently certified and used in Washington elections. The Unity software and the AutoMARK (VAT,) M100, and M650 are modifications to the current Unity 3.0.1.1

If so, provide a brief description of the extent of the changes as well as a list that describes in complete operational and technical detail all differences between the originally certified equipment or system and the modified equipment or system.

Election Data Manager (EDM)-

- *Improved English language selection in the ESSIM question style sheet*
- *Added functionality to always show the English tab on the edit question dialog when ESSIM ballot set is present*
- *Added **Select All** and **Clear All** buttons on Office Exclude dialog*
- *Added functionality to always create LDF file, even when English is the only language*
- *Enhanced Poll Place Mode to automatically create extra ballot styles when 2 precincts of the same style are assigned to the same poll*

ES&S Image Manager (ESSIM)-

- *Added functionality allowing the user to assign contest row and column number*
- *Enhanced random test deck generation*
- *Added user defined minimum # of ballots per precinct*
- *Added a new 'Election Packager' menu item for user selection of the specified election file (.ais file) for an election*

AutoMARK Information Management System (AIMS)-

- *Added a ballot copy feature*
- *Added support for using AIMS in multi-user environment*
- *Added support of Sequoia IFC file*

- *Added a function to automatically convert any files designated read only to read/write. Read only .wav files cause VAT to crash.*
- *Added feature to sort translation text alphabetically for viewing*
- *Extended time allowed for backup to prevent error when backing up large files*
- *Altered IFC import functionality (from HPM) to import candidate party*
- *Added support language translation data import (Idf files)*
- *Added feature for centering of labels and handling of race header/footer*
- *Enhanced handling of split ballot names for by style and by precinct elections*
- *Altered the system to provide auto-population of known translations during import*
- *Added support for handling write-ins in team races (e.g. pres/vice-pres)*

Hardware Programming Manager (HPM)-

- *Added functionality to create a new election in HPM from a previous election*
- *Enhanced logging to capture all data input/output errors logged to the HPM System Log*
- *Added functionality for ‘burning’ of multiple DS850 USB memory devices to support deployment of multiple units to a single precinct*
- *Added functionality to automatically confirm that DS850 USB memory device is erased before each ‘burn’ request*
- *Enhanced security to require that Reopen and Admin passwords are entered*
- *Enhanced language(s) selection: English default, Spanish and Creole optional*
- *Added ballot image save options. Selections include: All, None, Write-ins Only*

Election Reporting Manager (ERM)-

- *Altered default settings to set ERM Groups to **All** in the Reports Option tab*
- *Added functionality to allow multiple update sessions to run concurrently*
- *Added a process to read DS850 USB memory devices and collect all ballot images to a folder structure. Ballot images containing write-in votes are converted to a Windows compatible format viewable with various 3rd party tools.*
- *Added **Apply** button to allow each user to set reports destination option- Disk/Printer*
- *Added a new reset process to clear all SPP work files in a single step*
- *Added support for Registered Voter updates after election results are updated*
- *Added support for consistent ballots cast statistics in a mixed paper/DRE election*
- *Enhanced ERM System Log to provide improved auditing of all ERM update processes including ERM data input/output errors*

AutoMARK (VAT)-

- *Improved method for detecting horizontal timing marks to avoid unnecessary print validation occurrences*
- *Improved print realignment algorithms for all ballots for improved print accuracy and print validation*
- *Improved accuracy, ballot recognition, and printer validation of all ballot types*
- *Increased tolerance of arrow sizes*
- *Added initial audio sound level (40-50 dBA)*
- *Improved marked ballot detection when printed marks are close to the timing track of the ballot*
- *Added option to activate or deactivate the ‘Spit and Wipe’ ink clearing function*

- *Added the ability to substitute .wav files for all labels including English*
- *Enhanced the audio on summary screen to read the entire race label instead of the shortened version*
- *Added functionality to allow phonetic changes to the ballot name*
- *Added language support for Cantonese language*
- *Improved scanning speed on all ballot types*
- *Introduced a scanner intensity measurement test to troubleshoot scanners*
- *Added HASH Code check functionality*
- *Added functionality to allow printing of ballots with voting locations only on the back*

Model 650-

- *Improved user messages when loading by style election*
- *Enhanced ballot count to reflect only ballots tabulated excluding sorted ballots*

Model 100-

- *Expanded precincts from 10 to a maximum of 18 Election Day precincts*
- *Expanded precincts from 10 to a maximum of 450 Early Voting precincts*
- *Restricts the system from performing additional operations if the audit log reaches its capacity. User must insert a new PC card to continue tabulation.*
- *Updated code to completely disable modem connections through the Model 100 serial port*
- *Added the ability to print PCMCIA messages related to loading firmware and election data to the external printer as they occur*
- *Designed security stops prevent non-privileged users from entering privileged menus*

Is the system certified or used in other states? (Which states?).

*-DS850 Certified in Florida February 9, 2012
-Unity 3.3.0.1 Certification Pending in New Jersey*

Has the system been tested by an independent agency? (Provide copies of letters to independent testing authority instructing them to provide reports for all tests conducted on the product being reviewed for certification, by any independent testing authority or laboratory.

The firmware and hardware has been tested by Wyle Laboratories, an EAC accredited voting system test lab (VSTL). The reports are located in folder 3.

Is any portion of the software proprietary? (If so, identify.)

All ES&S software supplied to the State is considered proprietary and confidential, except for the peripheral consumer off-the-shelf software purchased.

Does the system comply with Washington state law, including the ability to handle Washington's "split precincts"?

Yes.

