MONTANA SECRETARY OF STATE
Elections and Government Services Division
Application for Voting System or Component Certification

APPLICANT INFORMATION	
Name of Vendor **Election Systems & Software**	Contact Person, Title **Brooke Thernes, State Certification Manager**
Address **11128 John Galt Boulevard**	E-mail Address **brooke.thernes@essvote.com**
City, State, Postal Code **Omaha, NE 68137**	Telephone Number **402-938-1305**
	Fax Number **402-970-1275**

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 of EVS 5.2.2.0 voting system. This release includes upgraded versions of the already State certified DS200, DS850, and AutoMARK, along with adding the DS450 a new central scanner and tabulator.

Name and release level of system or component:

<table>
<tr><td colspan="3" align="center">Montana
State Certification of EVS 5.2.2.0

EAC Certified 02/27/2017
Compliance: 2005 VVSG Standard</td></tr>
<tr><td rowspan="5">Election Management System (EMS)</td><td>ElectionWare</td><td>4.7.1.1</td></tr>
<tr><td>Election Reporting Manager (ERM)</td><td>8.12.1.1</td></tr>
<tr><td>Removable Media Service</td><td>1.4.5.0</td></tr>
<tr><td>Event Log Service</td><td>1.5.5.0</td></tr>
<tr><td>VAT Previewer</td><td>1.8.6.1</td></tr>
<tr><td rowspan="3">ES&S Tabulators</td><td>DS200 Precinct Tabulator (HW 1.2 & 1.3)</td><td>2.12.2.0</td></tr>
<tr><td>DS850 Central Tabulator (HW 1.0)</td><td>2.10.2.0</td></tr>
<tr><td>DS450 Central Tabulator (HW 1.0)</td><td>3.0.0.0</td></tr>
<tr><td>Voter Assist Terminal (VAT)</td><td>AutoMARK (HW 1.0, 1.1, & 1.3)</td><td>1.8.6.1</td></tr>
</table>

Brief description of system or component:

	EVS 5.2.2.0	Module Description
Pre-Election Software Ballot Definition Ballot Design Election Media	ElectionWare	Electionware is the election management software that provides end-to-end election management activities through a powerful and intuitive user interface. Its efficient and flexible design enables jurisdictions of all sizes to effectively manage their elections.
	VAT Previewer	A function in ElectionWare to test the AutoMARK is set up correctly and the data was generated correctly.
	Removable Media Service	Service supporting election media programming
Post-Election Software Election Results Reporting Election Auditing	Event Log Service	Electionware and Election Reporting Manager use Event Log Service to control user access and store detailed logs of the actions performed in both programs.
	Election Reporting Manager (ERM)	Results consolidation and reporting software.
Tabulators	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.
	DS850	Central count high-speed scanner and 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.
	DS450	Central count scanner and tabulator with ballot sorting capabilities. The DS450 can accurately discriminate between valid marks and extraneous perforations, smudges, and folds. Both sides of the ballot are scanned simultaneously, producing ballot images that are decoded by a proprietary recognition engine.
Voter Assistance Terminal	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 EVS 5.2.2.0 voting system. Below is a continuance of the above table with additional details on ES&S' hardware versions.

	Firmware Version	Hardware Level	Operating System
DS200	2.12.2.0	1.2, 1.3	
DS850	2.10.2.0	1.0	
DS450	3.0.0.0	1.0	
AutoMARK (A100)	1.8.6.1	1.0	5.00.20
AutoMARK (A200)	1.8.6.1	1.1	5.00.20
AutoMARK (A200)	1.8.6.1	1.3	5.00.20
AutoMARK (A200)	1.8.6.1	1.3	5.00.20

Type of application (select one):

Certification of a new system or component
X 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:	Place of examination:
August 29, 2017	(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 EVS 5.2.0.0

References for each state where this <u>exact</u> system or component is currently certified for use:

State	Date Approved	Length of Use	Contact Person	Contact Information
Alabama	05/30/2017		Ed Packard	334-242-4845
Iowa	03/29/2017		Sarah Reisetter	03/29/2017
Kansas	03/21/2017		Brad Bryant	785-296-4561
Michigan	02/28/2017		Sue Cieciwa	
Mississippi	03/29/2017		No formal certification program	
Ohio	05/04/2017		Brandi Seskes	614-466-2585
Utah	03/13/2017		Derek Brenchley	801-538-1501
Washington	03/24/2017		Stuart Holmes	360-725-5794

If state approval/certification has ever been revoked on <u>exact</u> 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? **X** YES NO
   If yes, list part and manufacturer contact information:

Type of business or organization:	**X** Corporation	☐ Partnership	☐ Individual

If a Corporation, state of incorporation:

Authorized to do business in Montana	**X** YES	NO
Maintain an office in Montana	YES	**X** NO
Independently owned	**X** 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
   Refer to Folder 3

X 5. Documentation indicating executable image, source code, etc. are escrowed with approved ITA
   X 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
   X 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
   No upgrades planned yet.

X 21. Procedure for notifying State about necessary and available system changes (ECO, ECN, etc.)
   Refer to Folder 12

This page intentionally left blank

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

Brooke Thennis | Title

State Certification Manager | Date

7/12/2017 |

Deliver Application To:	Direct Questions To:
Montana Secretary of State
Elections and Government Services Division
PO Box 202801
Helena, Montana 59620-2801	Office of the Montana Secretary of State
Lisa Kimmet, Elections Deputy
Telephone: (406) 444-5376
Email: lkimmet@mt.gov

Applicable Montana Statue and Rules	
Montana Code Annotated
Title 13, Chapter 17
http://data.opi.mt.gov/bills/mca_toc/index.htm	Administrative Rules of Montana
Title 44, Chapter, 3, Subchapter 17
http://www.mtrules.org/

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

<div align="right">Updated: December 2011</div>