Appendix L   Testing Activity Checklist

Parallel Monitoring Program
November 7, 2006
Kern County Activity Checklist

This checklist is intended to ensure all activities are accomplished in a timely manner. As an activity is accomplished the team lead will initial the "Complete" column. Note that some of the activities noted below must be performed for **BOTH** voting machine units. This checklist will be turned at the end of testing along with the other testing artifacts.

Monday, November 6, 2006		Complete
1	Prior to leaving Sacramento, team lead picks up testing materials at SOS (e.g. test script binder, team member badges).	
2	Team members travel to assigned county.	
3	The videographers assigned to the county will call and check in with the team lead not later than 2 p.m.	
4	The entire testing team will meet at the county location in the afternoon (3:00 p.m. or later probably will be best) to view and set up the testing facilities (not the voting machines) and to become familiar with the location. The team lead will confirm county entrance location and time to meet with videographers in the morning (November 7th).	
5	Each team member will check in with the team lead at 7 p.m.	
6	Team lead will instruct members to meet in the hotel lobby in the morning at a specified time.	
7	Team lead will call the SOS contact, not later than 7:30 p.m. to confirm that all team members, including video operators, are present in the assigned county, have been informed of the time and place to meet and all are prepared for testing in the morning. Indications that someone will not be present in the county should be reported as early as possible.	
Tuesday, November 7, 2006		
8	Team members meet in hotel lobby at the time specified the previous evening by the team lead.	
9	Team lead ensures all team members are present, distributes SOS PMP badges (possibly Kern County badges as well) and ensures badges are visible on the outside of clothing. All cells phones are **OFF**, with the exception of the **team lead who will ensure that his/her cell phone is ON and that he can be reached** at **all times** during the course of the day. If his phone does not get reception, try using any of the other team member's phones that get reception throughout the day.	
10	Test team travels to assigned county and arrives no later than 6:00 a.m.	
11	Designated entrance for this county is: Front Window – Enter building by doors next to fountain and go left. 1115 Truxtun Ave. Bakersfield, CA 93301	
12	Team lead requests to meet county representative: Sandy Brockman – 661-868-3700, cell – 661-619-3169 **Emergency Contact numbers:** 1. Abbe Shugart – 661-868-3706	

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13	Team lead and county representative discuss and the team lead documents the following. 1. Confirms the following security procedures: a. Testers will display an official SOS Parallel Monitoring Program badge at all times. b. Testers will display an official Kern County badge at all times (if Kern County would like for us to) c. Testers will abide by county security procedures communicated to them d. Confirm re-entry into building after polls close 2. Does the county representative wish: a. To be present at the time the "Zero Tally Tape" is generated? (if, so how will you contact them?) b. To be present when the "Tally Tape" is generated? c. To generate a second "Tally Tape"? If copies are requested of any testing artifact the team lead will accompany the county representative and will, at all times, have visual contact with the testing artifact. The original testing artifact will be returned to the team lead and secured consistent with the Program procedures.	
14	Team is escorted to equipment storage location and moves, or monitors the movement of, test equipment to the testing room. For counties allowing observation, please refer to the Observer Guidelines.	
15	Video operator sets up the cameras to film seal security verification activity, ensuring the video camera clock is accurate and synchronized with the test clocks.	
16	Video operators record the condition of the security seals before moving the equipment.	
17	Video operators label the recording media with the SOS Parallel Monitoring Program labels.	
18	Team lead completes the *Equipment Security and Chain of Custody –* **Section I**, *Pre-Test Equipment Security Verification.*	
19	Refer to the county Poll Workers Guide and set up the voting equipment.	
20	Team members organize room for testing activities (arrange table, chairs, supplies, etc.). Video operators set up cameras so as to capture unobstructed view of voting machine screen at all times. Begin video recording screen & record time here: _____	
21	Power on equipment. Record the software version displayed on the unit here: _____	
22	If the county representative has indicated they wish to be present for the generation of the "Zero Tape" let them know you are preparing to do this task.	
23	Refer to the Poll Workers guide for instructions on generating the "Zero Tally Tape" for each voting machine.	
24	Generate the "Zero tally Tape"	
25	Place the "Zero Tally Tape" in the designated SOS Testing Artifacts pouch.	

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	Open the Polls – Testing Begins at 7:00 a.m.	
26	**Commence testing promptly at 7:00 a.m. – do not start early even if the team is ready.** **In addition, make sure the video camera is recording even if the testing has not begun.** Call your SOS contact to report the "Opening of the Polls". If testing does not commence at 7:00 a.m. note the reason the team is late below and complete a *Discrepancy Report*.	
27	Conduct testing as instructed, complete discrepancy reports for any deviation from the test script, testing process, or equipment malfunction.	
28	Call your SOS contact if an issue arises that halts testing or impacts testing results. Refer to the Discrepancy Reporting Instructions.	
29	Conduct a scheduled status call to the SOS contact at 9:35 a.m.	
30	Conduct a scheduled status call to the SOS contact at 11:35 a.m.	
31	Conduct a scheduled status call to the SOS contact at 2:35 p.m.	
32	Conduct a scheduled status call to the SOS contact at 5:35 p.m.	
	Close the Polls – Testing ends at 8:00 p.m.	
33	Execute test scripts according to instructions until 8:00 p.m. Do not "close the polls" before 8:00 p.m. even if you have completed all the test scripts. If testing has not been completed, finish the script you are working on and then stop. Complete a Discrepancy Report indicating what test script number(s) you were unable to complete.	
	Secure Test Artifacts and Complete Documentation	
34	If the county representative has indicated they wish to be present for the generation of the "Tally Tape" let them know you are preparing to do this task.	
35	Refer to the Poll Workers guide for closing the polls and generating a "Tally Tape".	
36	Generate the "Tally Tape".	
37	Place the "Tally Tape" in the designated SOS Testing Artifacts pouch.	
38	If the county representative has requested you generate a second "Tally Tape" do this now. Mark the tally tape with the voting machine unit serial number, the time, date, your initials and "2006 PMP Second Tally Tape".	
39	Follow the instructions for removing the voting machine "Memory Cards".	
40	Secure the "Memory Cards" in the designated SOS Testing Artifacts pouch.	
41	Team lead completes the *Equipment Security and Chain of Custody – Section 2, Post-Test Equipment Security Documentation*. This will include sealing the voting machines. Note: Both the County Representative and the team lead must sign this form section.	
42	Team lead completes the *Equipment Security and Chain of Custody – Section 3, County Items to be Retained*. Note: Both the County Representative and the team lead must sign this form section.	
43	Move, or monitor the movement of, the testing equipment back to the secure storage area.	

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44	Team lead completes the *Test Artifact Inventory Checklist* ensuring all artifacts are inventoried, secured and returned to the Secretary of State.	
45	Call SOS contact to report the testing activities are complete, the team is leaving the county premises and confirm your debrief meeting time after November 7, 2006.	
Wednesday, November 8, 2006		
46	Team members travel back to Sacramento.	
47	Team lead returns testing artifacts to the SOS.	
48	Team lead coordinates when to have a debriefing conference call with the Project Manager.	

Team Lead: _____ _____
                   Print Name   Signature

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Appendix M   Equipment Security and Chain of Custody Instructions and Forms

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Equipment Security and Chain of Custody

Instructions and Forms

Introduction

The Equipment Security and Chain of Custody is used to document the condition of the tamper-evident seals previously applied to the equipment and to document the movement of the test equipment from the storage area into the testing room and back to the storage area once testing is complete. In addition, the form will be used to document the County items that will be temporarily retained by the Secretary of State.

Section 1 — Pre-Test Equipment Security Verification

The Pre-Test Equipment Security Verification is used to document the condition of the previously applied tamper-evident security seals and to document the movement of the test equipment from the storage area into the testing room.

1. Record the specific room name and/or location where you are escorted to pick up the equipment (e.g. the ballot vault, the server room).

2. Examine the equipment and check the seals for evidence of tampering. Compare the serial numbers of the equipment and the serial numbers of the seals and check if they are consistent with the information recorded on the form. If the seals show no evidence of tampering and the serial numbers are consistent with the table, document that information on the form and move the equipment to the testing room.

3. If there is evidence of tampering and/or the equipment serial numbers are not consistent with the form call your SOS contact for further instructions.

Section 2 – Post-Test Equipment Security Documentation

1. The Post-Test Equipment Security Record is used to document the serial number of the tamper-evident seal applied to the equipment after testing has been completed. It will also document the movement of the equipment from the testing room to a secure area where the equipment will be temporarily housed until directed by the SOS.

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2. Record the serial number of each piece of equipment or item and the serial number and placement of the tamper-evident seals applied by the team lead.

3. Record the room name and/or location where you are instructed by the county representative to place the equipment (e.g. the ballot vault, the server room).

Section 3 County Items to be Retained

This section is used to inventory each county item that will be temporarily retained by the Secretary of State.

1. The "Item Description" column should be completed with a short description and/or name of the equipment or item to be retained and the quantity of that item to be retained (e.g. One Memory Card, ten voter access cards, one supervisor card).

2. Record the serial number of each item (if available) and the serial number and placement of seals applied by the team lead (e.g., over the zipper of the pouch).

Signatures

The SOS Representative and the County Representative will print and sign their names. By signing the form the parties are acknowledging that the equipment documented on the form was moved to and from the secured storage room and that the SOS Representative is removing specific County items, as documented on the form, from County premises. These items will either be returned to the county or the Secretary of State will reimburse the county for the cost of the items pursuant to the Parallel Monitoring Program Procedures.

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Equipment Security and Chain of Custody
_____ County

Section 1   Pre-Test Equipment Security Verification

County Team Lead: _____County Representative: _____Time:_____

Record the location where the test equipment is stored: _____

Item Description & Serial #	Seal #	Seal Location	Item Serial # & Seal # Consistent? If not, explain below.

If the seals are intact and the serial numbers are consistent with the information above move the equipment to the testing room and begin set up. If the seals are **NOT** intact and/or the serial numbers are **NOT** consistent with the information above <u>call your SOS contact immediately.</u>

Signature of County Team Lead:_____

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Section 2   Post-Test Equipment Security Documentation

County Team Lead: _____County Representative: _____Time:_____

Record the location where the test equipment will be stored: _____

Item Description	Tamper-Evident Seal Number	Tamper-Evident Seal Location

The equipment identified above has been returned to the secured location identified. The equipment is now and will remain in a secured environment with controlled access until directed by the Office of the Secretary of State.

Signature of County Team Lead:_____ Time: _____

Signature of County Representative:_____ Time:_____

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Section 3   County Items to be Temporarily Retained by the Secretary of State

County Team Lead _____County Representative: _____Time:_____

Item Description	Item Serial Number	Tamper-Evident Seal Number	Tamper-Evident Seal Location

Signature of County Team Lead: _____ Time: _____

Signature of County Representative: _____ Time: _____

By signing this form the parties are acknowledging that the SOS Representative is removing specific County items, as documented above, from County premises. These items will either be returned to the County or the Secretary of State will reimburse the county for the cost of the items pursuant to the Parallel Monitoring Program Procedures.

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Appendix N   Tester Contact and Event Log

County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
Kern	7:04	Opened late. Both VMs working.	9:24 AM	Checking in. Printer and video problems were reasons for opening late. Scripts have error -- say to test from 9:30-11:30 and should say to test from 9:30-11:00. All is well.	11:30 AM	All is well.	2:35 PM	All is well.	5:33 PM	All is well.	8:54 PM	Polls closed, machines secured.
Orange	6:56	On time. Both VMs working.	9:27 AM	All is well. Someone arrived with a camera to 'film a documentary'. Observer Guidelines were provided and the person and camera left. Nothing was filmed.	11:42 AM	All is well.	2:30 PM	All is well.	5:44 PM	All is well.	8:35 PM	Polls closed, machines secured.

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County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
Sacramento	7:11	On time. Both VMs working.	10:03 AM	All is well. As in San Francisco, AutoMarks are slow and they are behind in scripts. Continuing to vote/test.	11:53 AM	All is well.	2:58 PM	VM is still slow. Otherwise all is well.	5:50 PM	All is well.	8:48 PM	Polls closed, machines secured.

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County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
San Bernardino	7:11	One VM working although 0 tally didn't print. 2nd VM working but DVD recorder is not working. Script problem.	9:11 AM	Going ahead without broken DVD recorder and just using VHS. VHS tapes will be brought back to SOS for reconciliation, then sent to OTPE or South Coast for transfer to DVD. Followed vendor instructions for VM opening polls but 0 tally didn't print. Open late due to videographers arriving late and needing to resolve broken DVD recorder. All is well.	11:35 AM	All is well.	2:56 PM	Card activator stopped working. Contacted county for help. After several attempts card activator was working again. All is well.	5:56 PM	All is well.	8:47 PM	Polls closed, machines secured.

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County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
San Diego	7:08	On time. Printer jam. Script problem. Printer fixed. Both VMs working.	10:02 AM	All is well.	12:11 PM	All is well.	2:22 PM	Script instructed to let machine stop and determine if vote was cast. Cast vote was not expected, but vote WAS cast. Discrepancy report was created.	5:59 PM	All is well.	9:00 PM	Polls closed, machines secured.
San Francisco	7:17	Opened late but all is well. AutoMark machines are slow. Running behind on scripts. Both VMs working.	10:15 AM	AutoMark machines are slow. Running behind on scripts. One printer broken. Called tech for help. Printer has been fixed. Review screen not showing a candidate that was voted for. Printer did print the vote. Team will write discrepancy and continue.	11:30 AM	Ballot on screen is completely in Chinese characters. Cannot read and cannot vote. Writing discrepancy. Otherwise all is well.	3:10 PM	Some candidates are not showing on the review screen, but ballots are being cast correctly. VM is slow. Response time is slower as time goes by. Recalibration of the machine did not correct the problem.	5:42 PM	Response time and review screen problems continued. Turned one VM off then on and response time improved. Keypad use put candidates on review screen.	8:30 PM	Polls closed, machines secured.

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County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
San Mateo	7:17	Opened on time but script problem on one machine. Both VMs working.	10:09 AM	Per Jason conversation with county and review of ballot provided to us, script was correct per ballot sent to us. All is well.	12:20 PM	County Assessor Warren Sloakum entered PM area and took pictures 'for Senators from the Phillippines', then asked what PM team would do with card activators after testing today. PM lead responded that the activators would be taken back to the SOS office. All is well.	3:10 PM	All is well.	5:45 PM	All is well.	8:43 PM	Polls closed, machines secured.

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County	Open Polls	Status	1st Call	Status	2nd Call	Status	3rd Call	Status	4th Call	Status	Close Polls	Status
Tehama	7:22	1 VM working. 1 VM not working. Were able to get VM to work. Both VMs now working.	10:10 AM	Channel 7 News arrived wanting to film Parallel Monitoring. PM team handed Channel 7 the Observer Guidelines and notified Claire. Claire notified the SOS press office. Otherwise all is well.	12:15 PM	DVD broken. Continuing with VHS. Otherwise all is well.	3:16 PM	Had problem with another bad DVD that had to be replaced. Otherwise all is well.	6:05 PM	All is well.	8:53 PM	Polls closed, machines secured.

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Appendix O   Observer Guidelines

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Observer Guidelines

1. Pursuant to the procedures of the Parallel Monitoring Program, the public, including the news media, may be allowed to observe the Parallel Monitoring Program in accordance with the policies and procedures of the participating county and considering any security limitations of the room where the Parallel Monitoring Program is conducted.

2. Observers may request copies of the procedures for the Parallel Monitoring Program by contacting the Secretary of State's press office at (916) 653-6575.

3. Due to the necessity to ensure a controlled testing environment, members of the news media and public will not be allowed to interrupt or distract members of the testing teams in any way. Further, those observing the program will be required to maintain strict silence while in the observation room. Observers will be physically restricted to a designated observer area while viewing Parallel Monitoring testing, space permitting. No photography or video taping of Parallel Montoring testing will be allowed without prior approval from the Secretary of State.

4. Members of the Secretary of State testing teams will not be available for discussion or interview before, during or after the testing. All questions should be directed to the county elections official or the Secretary of State's press office at (916) 653-6575.

5. Members of the testing team will be executing test scripts on November 7, 2006. While team members will generate and secure the totals tallied by the voting machine, they will not have access to the expected results for comparison. Analysis of the data by the Secretary of State and contractor will begin November 8, 2006.

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Appendix P   Discrepancy Reporting Instructions and Forms

Discrepancy Reporting

> **Parallel Monitoring Program**
> November 7, 2006
> **Discrepancy Reporting Instructions and Forms**

The team will complete a Discrepancy Report form for each deviation from the test script and/or test process and for any issues related to equipment malfunction that may arise during the testing of a voting machine unit. Each Discrepancy Report must be reviewed and signed by the Team Leader and logged on the Discrepancy Log form. Discrepancy Reports will be numbered sequentially (starting with "1"). *Discrepancy Reports and Discrepancy Logs are specific to a voting machine* and must remain in the voting machine's test script binder at all times and be returned to the office of the Secretary of State.

Guidelines for Calling the Secretary of State Contact

Certain circumstances may require that you contact the designated Secretary of State contact in addition to completing the Discrepancy Report form. Listed below are guidelines to be used to determine when it is necessary to call your contact. If you are ever in doubt about whether or not to call, *please err on the side of caution and call.*

Your contact name and numbers are listed below:

1. Claire Wingate   ██████████████   or   ██████████████
2. Jason Heyes   ██████████   or   ██████████████████
3. Brian Fitzgerald   ██████████
4. David Childers   ██████████

The guideline to be applied when determining if you should call your contact immediately is if the test team encounters an issue that has delayed or halted testing **or** will impact expected results. The call should be made after the issue has been documented on the Discrepancy Report and logged on the Discrepancy Log.

Examples of issues that would require the completion of a Discrepancy Report and would trigger a call to the Secretary of State are:
- The team experiences hardware malfunctions and testing cannot continue; county representatives need to be called to assess if repairs can be done
- The video camera has malfunctioned
- A power outage, or other electrical problem, has halted testing (perhaps temporarily)
- A situation arises (other than an emergency) that requires contacting a county representative

Examples of issues that would require the completion of a Discrepancy Report but would **NOT** trigger a call to the Secretary of State are:

- The tester deviated from the test script and skipped a contest but made a correction prior to casting the ballot
- The video recorder tape needed to be changed or the recorder malfunctioned, was then repaired and all testing activity has been recorded

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Discrepancy Report

Report No: _____

County: _____   County Team Lead: _____

Testers involved: _____   _____
                              Print Name   Print Name

Voting Machine Serial Number: _____   Time: _____

1. Provide a detailed description of the issue (e.g. script error, tester error, test process error, equipment malfunction, tape change).

   _____
   _____

1. If applicable, record the test script number the team was performing:

   _____

2. Has this issue delayed or halted testing **or** will it impact expected results?   ☐ Yes   ☐ No

   If yes, call your SOS contact, indicate the time of the call and document the discussion and resolution below:

   _____
   _____

3. Does this issue require further action by the SOS Office?   ☐ Yes   ☐ No

   If yes, describe the action required.

   _____
   _____
   _____

4. Ask the County Team Lead to review and, if the Team Leader approves the documentation above, sign off on this Report. Once the report has been signed, the Team Leader will record the appropriate information in the Discrepancy Log.

5. Report Completed by: _____ _____
                                             Print Name   Signature

6. Report Reviewed and Approved by County Team Lead:

                                            _____ _____
                                             Print Name   Signature

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Discrepancy Log

County: _____ DRE Serial Number: _____Firmware: _____

Team Members:_____
              Leader   Member   Member   Member

Report No.	Brief Description of Issue/Resolution	Test Number	Tester/Observer	Time of Discrepancy	County Team Leader Signature
1.					
2.					
3.					
4.					
5.					
6.					

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Appendix Q   Test Artifacts Inventory Checklist

Kern Test Artifacts Inventory Checklist Form

Parallel Monitoring Program
November 7, 2006

Complete and sign this checklist for each voting machine unit and ensure that all test artifacts are inventoried, secured and returned to the SOS. Add to the list below, if necessary.

No.	Item	Verified
Team lead binder with:		
1	Completed and signed County Activity Checklist Form	
2	Completed and signed Equipment Security and Chain of Custody Forms: • Pre-Test Equipment Security Verification • Post-Test Equipment Security Documentation • Items Retained by the Secretary of State	
3	Completed and signed Test Artifacts Inventory Checklist (this form)	
4	Completed and signed DVD Logs	
Test script binders with:		
5	Executed Test Scripts	
6	Completed and signed Discrepancy Reports	
7	Completed and signed Discrepancy Logs	
SOS "Retained Test Artifacts":		
8	Paper cartridges with vote records from each unit	
9	SOS Anti-Static Pouch containing Memory Card for AccuVote TSX Serial Number **205164**	
10	SOS Anti-Static Pouch containing Memory Card for AccuVote TSX Serial Number **204419**	
Other items:		
11	Voting Machine "Zero" reports	
12	Voting Machine "Tally" reports	
13	Parallel Monitoring ID badges from Team Members	
14	Individually Labeled Video Tapes and DVDs	
15	Additional items:	

Time verification is complete: _____

Team member completing inventory checklist:

_____   _____
    Print Name   Signature

Approved by the County Team Lead:

_____   _____
    Print Name   Signature