Secretary of State
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STATE OF CALIFORNIA

APPLICATION FOR:

JURISDICTIONAL USE OF A BALLOT ON DEMAND PRINTING SYSTEM

BALLOT PRINTER CERTIFICATION

APPROVAL OF A BALLOT ON DEMAND PRINTING SYSTEM

APPLICATION INSTRUCTIONS

Effective: February 2021

INTRODUCTION

Prior to considering any new ballot printer, modification to a currently approved ballot printer, ballot on demand printing system, modification to a currently approved ballot on demand printing system, or a jurisdictional installation of a ballot on demand printing system, the Secretary of State (SOS) conducts a thorough examination and review of the proposed system and/or installation. The examination typically includes:

- Examination of application and technical documentation.
- Development of a detailed system test plan that reflects the scope and complexity of the system.
- Operation and function testing of hardware and software components, if applicable.
- Physical inspection of the facility and/or system installation, if applicable.

This document provides detailed instructions for completion and submission of a ballot printer or a ballot on demand printing system application.

GENERAL INSTRUCTIONS

An application is considered complete only when all appropriate forms and supplemental materials are provided to the SOS. The application forms are composed of the following four parts:

- **Part 1 – Request for Approval & System Identification:** Part 1 must be completed by all applicants and submitted electronically. A hard copy of Part 1 must be printed, signed and submitted to the SOS.
- **Part 2 – Jurisdictional Use of a Ballot on Demand Printing System:** Part 2 must be completed by jurisdictions requesting a ballot on demand printing installation.
- **Part 3 – Application for Ballot Printer Certification:** Part 3 must be completed by applicants requesting approval to become a ballot printer, or jurisdictions requesting a ballot on demand printing installation.
- **Part 4 – California Application for Approval of a Ballot on Demand Printing System:** Part 4 must be completed by vendors requesting approval of a ballot on demand printing system.

Upon receipt of an application, the submitted documentation will undergo review by the SOS. The submitted application shall include all of the items listed within each applicable section. If the documents submitted are incomplete, or if the Secretary of State cannot clearly identify each of the items listed within a given section, the entire application may be rejected or pended until made satisfactory by the applicant.

You will be contacted if any parts of the application are determined to be insufficient. If the submitted documentation is determined to be sufficient, you will be contacted by the SOS to begin arrangements for the subsequent steps of the process. The SOS reserves the right to determine the extent of testing necessary for evaluation and approval of any voting technology.

The application may be downloaded from the SOS website at: http://www.sos.ca.gov/elections/voting-systems/certification-and-approval/voting-system-approval/. The application should be submitted to the SOS electronically. Identifying photographs may be submitted in .JPG, .BMP, .GIF or .TIF format. All documents supplied must be current for the version for which approval is being requested.

Information disclosed in this application is a matter of public record. The applicant must clearly mark any documentation it requests to be treated as confidential and proprietary before providing it to the Secretary of State or its representatives for evaluation. All pages of the documentation that contain information considered confidential and/or proprietary must be clearly marked as such. Marking the entire package as confidential and/or proprietary is insufficient.

For additional information regarding the approval process, contact the Office of Voting Systems Technology Assessment at (916) 695-1680.

PART 1 OF 4
REQUEST FOR APPROVAL AND SYSTEM IDENTIFICATION

1. **APPLICATION DATE –** Date the complete application is submitted to the SOS.

2. **BALLOT PRINT TYPE -** Select a ballot print type from the available options.
   - ☐ Ballot on Demand Printing System (Jurisdictional Use)
   - ☐ Ballot Printer Certification
   - ☐ Ballot on Demand Printing System (Vendor Approval)

3. **IF REQUESTNG BALLOT PRINTER CERTIFICATION:**
   Provide the voting system name and ballot type(s) for which approval is sought.

4. **IF REQUESTING APPROVAL OF A BALLOT ON DEMAND PRINTING SYSTEM (Jurisdictional Use or Vendor Approval) –** Provide the system name, version number and ballot type(s) for which approval is sought.

5. **APPLICANT INFORMATION –** If the entity is a government jurisdiction, complete only sub-parts "a) Applicant's Full Legal Name" and "e) Principle Address." Otherwise, this section should be completed in its entirety.

   a) Applicant's Full Legal Name - Provide the full legal name of the applicant.

   b) Type of Entity - Indicate the legal status of the applying entity. If Other, explain in the additional space provided**.**

   - ☐ Publicly-held Corporation
   - ☐ Subchapter S Corporation
   - ☐ Privately-held Corporation
   - ☐ LLC
   - ☐ Partnership
   - ☐ Sole Proprietorship
   - ☐ Other:

   c) Date Established - If the applicant is not an individual, indicate the date the entity was legally established**.**

   d) Primary State of Incorporation (or Registration) - If the applying entity is a corporation, indicate the US state (or country) in which incorporated. If entity is another form of business entity, indicate the US state or country in which registered.

   e) Principle Address - Provide the primary legal address of the entity**.**

   f) Principle Officers and Mailing Addresses - For corporations, identify the Chief Executive Officer, the Secretary, the Chief Financial Officer and all Directors. For partnerships, identify each of the partners. For sole proprietorships and Subchapter S corporations, identify the principal. For each individual identified, provide title and mailing address**.**

g) **Agent of Record and Mailing Address** - Provide the name and address of the designated agent for service of process in California.

h) **Identify Legal Name and Address of all Entities with More Than 10% Ownership Interest in Entity** - If the applicant entity is not a sole proprietorship, Subchapter S corporation or partnership, provide the legal name and mailing address of each entity that owns 10% or more interest in the applicant entity.

i) **D-U-N-S® Number** - If the applicant entity has been issued a Data Universal Numbering System (D-U-N-S®) number by Dun & Bradstreet, provide this number. If no such number has been issued to this entity, state "None Issued."

j) **Gross Annual Sales for the Last Three Fiscal Years** - Provide the Gross Annual Sales for the applicant business entity separately for each of the last three fiscal years. For each, provide the fiscal year end date.

ATTESTATION AND SIGNATURES - Each organization that is party to the application must have a representative sign the application certifying the information contained in the application is true and accurate. Each signatory must be a person legally authorized to sign and submit the application on behalf of the applicant or organization.

"I hereby certify that the information submitted on this form, as well as all attachments and submitted documentation is true, accurate and complete. I further certify that I am legally authorized to sign and submit this application on behalf of the applicant organization."

Signature	Name (printed)
Organization	Date

PART 2 OF 4
JURISDICTIONAL USE OF A BALLOT ON DEMAND PRINTING SYSTEM

APPLICATION DATE:

SYSTEM NAME AND VERSION:

Any jurisdiction seeking approval to use a certified ballot on demand printing system shall submit the following:

- ☐ The process used to create ballot cards. [§20271]
- ☐ The planned configuration for using the system (e.g. manual, over-the-counter single ballot production, batch printing, or both). [§20271]
- ☐ If there will be connectivity to the election management system, electronic pollbook, or any other network, the application shall state which system(s) the ballot on demand system will connect. [§20271]
- ☐ Procedures for securing the ballot images and ballot data. [§20272]
- ☐ Procedures for user login and passwords. [§20272]
- ☐ Procedures for locking the ballot on demand server and/or client(s) in a secure enclosure. [§20272]
- ☐ Procedures for securing the ballot paper, unfinished ballot cards, and/or ballot cards, respectively, while unattended and/or not in use. [§20272]
- ☐ Procedures for daily ballot accounting. [§20272]
- ☐ Procedures for implementing chain of custody (e.g. two person rules) when producing ballot cards. [§20272]
- ☐ Procedures for verification of the ballot style and ballot type printed on the ballot card against the voter registration record. [§20272]
- ☐ Identifying photos of the ballot on demand system installation as requested by the Secretary of State.

Please note the following requirements:

- The Secretary of State shall approve the application if the procedures for use meet the requirements. [§20273]
- The approval is for the jurisdiction in its entirety, so long as the procedures cover all implementations. [§20273]
- A separate application may be submitted for a system to be used solely at a central location for manual and/or batch printing or for a system that will be used off-site in early voting or a vote center. [§20273]
- A jurisdiction shall submit an updated application and updated procedures for use any time that any of the approved procedures for use are modified or changed. [§20274]
- Approval to use the ballot on demand system is valid until revoked by the Secretary of State. [§20275]
- The Secretary of State may inspect, with or without prior notice, the procedures, logs, and equipment, as specified in the approved application, of each approved jurisdiction. [§20276]
- Any system used for the batch printing of ballots shall contain a ballot audit system. [§20277]
- Electronic ballot images utilized by the ballot on demand system must be encrypted. [§20278]

Note: All code citations refer to California Code of Regulations, Title 2, Division 7, Chapter 4

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PART 3 OF 4
APPLICATION FOR BALLOT PRINTER CERTIFICATION

APPLICATION DATE:

SYSTEM NAME AND VERSION:

Please submit clearly labeled documentation for the following:

- ☐ Make and model of printing equipment. [§20221]
- ☐ Type of printing press (e.g. lithographic, xerographic, inkjet, etc.). [§20221]
- ☐ Type of ink or toner used (pigment-based, dye-based, waterproof, solid, etc.). [§20221]
- ☐ All other equipment, chemicals, or substances used for drying or adhering the toner or ink. [§20221]
- ☐ Vendor, brand, and specifications for ballot paper being used. [§20221]
- ☐ Disclosure of flaws or defects that could affect casting or tallying of votes. [§20221]
- ☐ Certification letters for all ballot styles for which certification is being sought. [20222]
- ☐ Sample Ballot Card Accounting Record. [§20235]
- ☐ Sample Warehouse Inventory Control Record. [§20236]
- ☐ Sample Ballot Image Logs. [§20237]
- ☐ Sample Ballot Scrap and Destruction Report. [§20238]
- ☐ Sample Warehouse Access Log. [§20252]
- ☐ Letter listing persons authorized to access each warehouse. [§20252]

Please note the following requirements:

- No ballot printer shall manufacture or finish ballot cards, or accept or solicit orders for ballot cards, unless certified by the Secretary of State. [§20220]
- After an application is accepted by the Secretary of State, it shall require certification and accuracy testing to be conducted pursuant to the regulations. [§20222, §20223]
- Inspection of facilities will be conducted prior to certification. Periodic inspections may also be conducted after certification. [§20225, §20231]
- The Secretary of State will certify in writing any applicant determined capable of manufacturing or finishing ballot cards, sheets, ballot sheets, rolls, or unfinished ballot cards. [§20226]
- No subcontractors may be used unless the Secretary of State approves the subcontractor and the principal vendor has notified the Secretary of State of the order being subcontracted. [§20227, §20228]
- No change in any information contained within the application, excluding contact information (e.g. phone, fax, email, etc.), shall be made without the prior express written certification of the Secretary of State. [§20230]
- Ballot printer certifications are valid until revoked by the Secretary of State. [§20232]
- No ballot cards or unfinished ballot cards shall be manufactured, and no unfinished ballot cards shall be removed from the warehouse for finishing, prior to issuance of a specific release from the Secretary of State for manufacturing or finishing. No ballot cards shall be manufactured or finished except in the format, sheet dimension, tint, watermark, and quantity specified in the applicable release. [§20233]
- No tinted card stock shall be used for any purpose other than manufacturing ballot cards for use in California elections. [§20233]
- Manufacturers wishing to tint rolls in anticipation of receiving releases shall request in writing authorization from the Secretary of State to tint a sufficient number of rolls to meet expected orders. Such requests shall be substantially in the form of a request for release. [§20233, §20234]
- Unfinished ballot cards and ballot cards shall be shipped by covered motor freight, train, or air. The company shipping the unfinished ballots cards or ballot cards is charged with full responsibility for the security of all ballot cards or unfinished ballot cards until acceptance of delivery at destination. [§20241, §20242]
- All unfinished ballot cards shall be placed a secured area of the ballot printer's facility or in a warehouse until converted to ballot cards or shipped. [§20250]
- Warehouses containing unfinished ballot cards shall be secured with a method to determine each person that has accessed the warehouse and have the ability to detect unauthorized access. [§20251]

Note: All code citations refer to California Code of Regulations, Title 2, Division 7, Chapter 4

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PART 4 OF 4
APPLICATION FOR APPROVAL OF A BALLOT ON DEMAND PRINTING SYSTEM

APPLICATION DATE:

SYSTEM NAME AND VERSION:

1. **APPLICATION DOCUMENTATION -** All documents supplied must be current for the version for which approval is being requested. Documents must be titled and submitted according to the subcategories and order outlined below. All documentation must be submitted in a directory titled "(System Name and Version) – Application Documentation". Identifying photographs may be submitted in .JPG, .BMP, .GIF or .TIF format.

   The following shall be included:

   - ☐ Provide a detailed system overview that explains specifications of the system architecture, configurations, option settings and parameters for all software, firmware and hardware (including COTS), as applicable. [§20261]
   - ☐ Provide a directory listing of program, data, and support files required to install, configure, operate, and/or provide supplemental support for the ballot on demand system. [§20261]
   - ☐ Provide detailed use procedures, providing all information necessary for system use by all personnel who support activities with regard to all system functions and operations. The document shall include step-by-step instructions and pictures. The end user should be able to utilize the system from setup to shut down based on the document alone. [§20261]
   - ☐ Provide detailed security procedures identifying the recommended security procedures and system hardening settings to ensure optimum security and functionality of the system. [§20261]
   - ☐ Provide a proposed test plan detailing the scope, approach, resources and schedule of intended activities. [§20261]
   - ☐ Provide identifying photos of the hardware components of the system. [§20261]
   - ☐ Certification letters for all ballot styles certification is sought. [§20262]

   Please note the following requirements:

   - No vendor, company, or person shall sell, lease, or contract with a jurisdiction for the use of a ballot on demand system unless it has been certified by the Secretary of State. [§20260]
   - Applicants must provide all documentation necessary for the identification of the full system configuration submitted for evaluation and for the development of an appropriate test plan for conducting system certification testing. [§20261]
   - If the ballot on demand system is to be used for batch printing, it shall be notated on the application and the necessary documentation shall be provided with the application. [§20261]
   - Within 90 days after a completed application is accepted by the Secretary of State, testing shall be completed by either a State-approved testing agency (S-ATA) or the voting system vendor. [§20262]
   - The ballot on demand system shall conform to the ballot on demand system certification testing criteria as outlined in the regulations. [§20263]
   - The ballot on demand system applicant seeking certification shall be responsible for all costs associated with the certification testing. [§20264]
   - The Secretary of State will certify in writing any ballot on demand system that the Secretary of State determines to be capable of manufacturing or finishing ballot cards. [§20265]
   - No change in the equipment or procedures used by the ballot on demand shall be made without the prior express written certification of the Secretary of State. [§20267]
   - Certifications are valid until revoked by the Secretary of State. [§20268]

Note: All code citations refer to California Code of Regulations, Title 2, Division 7, Chapter 4

2. IDENTIFICATION OF SYSTEM COMPONENTS - Identify the following for each system component:

- **Name (Model #)** - Provide the official name and model number of the component.
- **Version** - Provide the exact version number of any firmware that runs on the component.
- **Type** - Indicate whether the component is "New," being "Updated," or contains "No Change."
- **Description** - Provide a brief description of the component.

a) Hardware - Identify the following for each hardware component of this system:

Name (Model #)	Version	Type	Description

b) Software/Firmware - Identify the following for each software or firmware component of this system:

Name (Model #)	Version	Type	Description

c) COTS Components - Identify the following for each COTS component of the system:

Name (Model #)	Version	Type	Description

3. EXISTING CUSTOMERS – Identify all current California customers that will be affected by this request**.**

Customer	Customer	Customer