**Review and Testing for Certification Process Overview**
**For Voting Systems and Remote Accessible Vote-by-Mail Systems**

# CERTIFICATION TEST PHASES

| APPLICATION | PRE-TESTING | TESTING | POST-TESTING |
|---|---|---|---|
| • Application and technical documentation is submitted<br>• Application is reviewed for completeness | • Project Test Schedule<br>• Statement of Work<br>• Open Escrow Account<br>• Trusted Build (Equipment & Software) to SOS<br>• Request for Proposal Bid<br>• Request for Proposal Review<br>• Contract Awarded & Signed<br>• Non-Disclosure Agreements between SOS, Applicant, and Test Laboratory Staff<br>• Test Plan | • Functional<br>• Usability/Accessibility /Privacy<br>• Hardware<br>• Software<br>• Telecommunications<br>• Security<br>• Quality Assurance and Configuration Management<br>• Volume | • Final Reports<br>• Public Hearing & Comment<br>• Certification Awarded or Denied |

# Review and Testing for Certification Process Overview
## For Voting Systems and Remote Accessible Vote-by-Mail Systems

1. Application Phase

   a. The applicant must complete all six parts of the application. There are **no exceptions**. There is no application fee. However, an escrow account is required to cover the costs associated with testing.

   b. The application and technical documentation are reviewed for completeness by the Secretary of State (SOS) Office of Voting Systems Technology Assessment (OVSTA).

      1. **Application Complete** – OVSTA will begin coordinating the test certification process. Each system is different and estimated timelines will be determined upon further review.

      2. **Application Incomplete** – OVSTA staff will notify the applicant in writing of the application deficiencies. OVSTA staff will work with the applicant to resolve the deficiencies.

2. Pre-Testing Activities Phase

   a. **Preliminary Test Schedule** – OVSTA staff will develop a preliminary test schedule with the applicant.

   b. **Statement of Work (SOW) Drafted** – OVSTA staff will draft a SOW for the state testing agency (S-ATA) outlining all deliverables, acceptance criteria, and test laboratory qualifications.

   c. **Open Escrow Account** – Based upon review of the system, an estimated amount to cover the payment of all testing and certification related expenses will be provided to the applicant. An escrow account will be opened to hold and distribute the funds. At the applicant's discretion, any excess funds will either be refunded to the applicant or held for future testing.

   d. **Trusted Build (Equipment & Software) to SOS** – The applicant must provide all hardware and software needed to perform testing. This does not apply to RAVBM systems.

   e. **Non-Disclosure Agreement between SOS, Applicant, and Test Laboratory Staff Signed** – NDA will be executed between the three parties.

   f. **Request for Proposal (RFP) Bid** – The SOW along with a standard State of California RFP package will be placed out for bid using current State of California bid process procedures to procure a S-ATA.

   g. **Proposals Reviewed** – The proposals submitted by the deadline will be reviewed by the SOS for qualifications and price. This process is confidential.

   h. **Contract Awarded & Signed** – The winning proposal will be awarded the contract as the S-ATA and an official agreement signed.

   i. **Test Plan Developed** – The SOS will work collaboratively with the applicant and the S-ATA to develop a test plan, including an updated test schedule.

3.  Testing Phase

    a.  **Functional Testing** – Functionality testing will be conducted, depending on the system's use of specific technologies and configurations, the systems capabilities and the outcomes of previous testing. This testing does not apply to RAVBM systems.

    b.  **Usability, Accessibility & Privacy Testing** – This portion tests the fully integrated system components, internal and external system interfaces, usability, accessibility, and security.

    c.  **Hardware Testing** – Hardware testing, if applicable, will evaluate the ability of the system hardware to withstand exposure to the various environmental conditions, storage, maintenance and transportation.

    d.  **Software Testing** – Software testing looks at programming completeness, consistency, correctness, modifiability, structure, and traceability, along with modularity and construction.

    e.  **Telecommunications Testing** – Telecommunications testing will test for the transmission of certain data including, but not limited to, voter authentication and ballot definition.

    f.  **Security Testing** – Security testing consists of, but is not limited to, effective access control and physical data security.

    g.  **Quality Assurance & Configuration Management** – This portion of the testing involves reviewing the documentation submitted for its completeness and accuracy in describing the system, its conformance to the requirements for manufacturer configuration and quality assurance practices.

    h.  **Volume Testing** – This portion of the testing simulates Election Day, by testing multiple ballot marking devices with constant traffic, essentially stress testing the devices.

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4. Report Issuance & Post-Test Activities Phase

   a. **Final Reports** – Final reports will be issued by the SOS and the S-ATA.

   b. **Public Hearing & Public Comment** – A public hearing will be held at the SOS in Sacramento.

   c. **Certification Awarded or Denied** – The SOS will make a final determination on certification based on the findings during testing and public comment.