Secretary of State

SHIRLEY N. WEBER, Ph.D.

STATE OF CALIFORNIA

CALIFORNIA APPLICATION FOR APPROVAL OF A VOTING TECHNOLOGY

APPLICATION INSTRUCTIONS

APPLICATION INSTRUCTIONS

INTRODUCTION

Pursuant to California Elections Code Sections 19202, 19283 and 2550 and California Code of Regulations Sections 20707, prior to considering any new voting technology for approval, or any modification to a currently approved voting technology, the Secretary of State (SOS) must conduct a thorough examination and review of the proposed system. The examinations typically include:

- Examination of application and technical documentation.
- Development of a detailed system test plan that reflects the scope and complexity of the system.
- Code review for selected software components.
- Witnessing of a system 'build' conducted by the manufacturer to conclusively establish the system version and components being tested.
- Operation and function testing of hardware and software components.
- Security testing that includes a full source code review and penetration (red-team) testing.
- Volume testing of the system and/or all devices with which the end user directly interacts.
- Functional and performance testing of the integrated system, including testing of the full scope of system functionality, performance tests for telecommunications and security; and examination and testing of the system operations and maintenance manual.
- Accessibility examination and testing of the system.

GENERAL INSTRUCTIONS

This document provides detailed instructions for completion and submission of a voting technology application. 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 five parts:

- **Part 1 – Request For Approval & System Identification**
- **Part 2 – Ownership & Control**
- **Part 3 – References**
- **Part 4 – Index of System Technical Documentation**
- **Part 5 – System Description & Configuration**
- **Part 6 – System Change Log**

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. The application should be located in the root directory of the submitted electronic media. The technical data package (TDP) file(s) should be located in a sub-directory named "Technical_Data_Package". Do not order the documentation into further sub-directories. Identifying photographs may be submitted in .JPG, .BMP, .GIF or .TIF format.

Upon receipt of an application, the submitted documentation will undergo review by the SOS. 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.

For additional information regarding the approval process, refer to the Secretary of State's website at: http://www.sos.ca.gov/elections/voting-systems/certification-and-approval/voting-system-approval/ or contact the Office of Voting Systems Technology Assessment at (916) 695-1680.

SHIRLEY N. WEBER, Ph.D. | SECRETARY OF STATE
STATE OF CALIFORNIA
OFFICE OF VOTING SYSTEMS TECHNOLOGY ASSESSMENT
1500 11th Street | Sacramento, CA 95814 | **Tel** 916.653.7244 | **Fax** 916.653.4620 | www.sos.ca.gov

PART 1 OF 6
REQUEST FOR APPROVAL AND SYSTEM IDENTIFICATION

Part 1 must be completed by all applicants and submitted electronically. In addition, a hard copy of Part 1 must be printed, signed and submitted with the electronic submission. All information contained on this form is a matter of public record.

- Questions 1-6 apply to all application types.
- Questions 7-13 apply only to Remote Access Vote by Mail (RAVBM) and Voting System (VS) applications.
- Question 14 applies only to Electronic Poll Book (ePB) applications.

1. VOTING TECHNOLOGY TYPE - Select a voting technology type from the available options.

☐ Remote Access Vote by Mail (RAVBM) ☐ Voting System (VS) ☐ Electronic Poll Book (ePB)

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

3. SYSTEM NAME AND VERSION - Official name and version number of the system**.**

4. APPLICANT(S) – Provide the following for each entity party to this application. If more than two applicants, provide the required information for the additional applicants on a separate copy of this form.

- **Name** – Full legal name.
- **Standing to Present Application** - Explain each applicant's legal standing to present an application for this system (e.g., licensed distributor, licensed user, manufacturer, jurisdiction, etc.). California Elections Code Section 19210 only allows parties with interest in the voting technology to present an application.
- **Entity Type** - Identify the applicant entity type from one of the following options:
  - Manufacturer - Distributor - Jurisdiction - Other (Elaborate)
- **Principle Address** - If business entity, provide the legal principal address of the business. If government entity, provide the official address of the entity. This must be a physical address, not a post office box.

APPLICANT 1

Name: Standing to Present Application:
Entity Type: Principle Address:

APPLICANT 2

Name: Standing to Present Application:
Entity Type: Principle Address:

5. APPLICANT CONTACT - Person who will serve as official point of contact for this application and the approval process for this system. Please provide all of the following:

Name: Mailing Address:
Telephone: Fax: Email:

6. TYPE OF APPLICATION - Indicate the nature of this application.

☐ **Entirely New System -** No version of this system has previously been approved for use in California.
☐ **Amended Application -** This is an updated/amended application for a system currently under review.
☐ **Administrative Approval –** This is limited to minor changes to a voting technology. Pursuant to CCR 20707, the request shall, at minimum, include:
- Documentation supporting the need for each change or modification. (Please provide justification for administrative approval request on a separate and clearly identified document.)
- A list of every system component – hardware, firmware or software – that interacts directly with the component(s) for which administrative approval is being requested.
- Version numbers of all affected software, hardware and firmware.
- Classification of each modified component as commercial-off-the-shelf (COTS), third-party or vendor developed.

☐ **Blended System-** This is an approval requested to combine elements of separately approved systems. Requests for blended systems follow the same guidelines as Administrative Approvals above.

7. IDENTIFICATION OF SYSTEM COMPONENTS:

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

- **Name (Model #)** - Provide the official name of the hardware component and, if applicable, the model number assigned to that hardware component.
- **Version** - Provide the exact version number of any firmware that runs on the hardware component. Software applications that actually run on a hardware component should be separately listed in the software section below.
- **Type** - Indicate whether the hardware component is:
  - New - No version of the component has previously been approved for use in California.
  - Updated - Other versions of the component have previously been approved for use in California.
  - No Change - This particular version of the component has already been approved for use in California.
- **Description** - Provide a brief description of the hardware component, such as "precinct-based mark-sense ballot scanner," "high speed ballot scanner," or ‘”touch screen DRE." In addition, indicate whether the hardware component is third-party, COTS or vendor developed.

Name (Model #)	Version	Type	Description

b) Software - Identify the following for each software component of this system:

- **Name** - Provide the official name of the software component.
- **Version** - Provide the exact version number of the software component. Software applications that run on a hardware component but are not firmware should be separately listed in this section.
- **Type** - Indicate whether the software component is:
  - New - No version of the component has previously been approved for use in California.
  - Updated - Other versions of the component have previously been approved for use in California.
  - No Change - This particular version of the component has already been approved for use in California.
- **Description** - Provide a brief description of the software component, such as "election definition and ballot formatting application," or "vote tabulation and reporting application." In addition, indicate whether the software component is third-party, COTS or vendor developed.
  - If the software is an election management system with multiple modules or sub-components, list the overall system name and version number, then list each sub-component application in the lines immediately following, indicating each subcomponent in the "Name (Model #)" field.

Name (Model #)	Version	Type	Description

c) COTS Components - For each Commercial Off The-Shelf (COTS) component of the system (hardware or software), identify:

- **Name -** If a make and version of the component is specified for the system, provide the exact name. Alternatively, if minimal specifications are prescribed for the component, provide a descriptive name.
- **Model/Version -** If a make and version of the component is specified for the system, provide the exact model and/or version. Alternatively, if minimal specifications are prescribed for the component, provide a descriptive name.
- **Manufacturer or Specs; Description -** If a particular make and version of the component is specified for the system, identify the manufacturer. Also include a brief description of the component and its role in the system.

Name (Model #)	Version	Type	Description

8. **FEDERAL QUALIFICATION NUMBER(S) AND DATE QUALIFIED -** Provide all applicable federal qualification numbers for this system and the date qualified.

9. **ACCESSIBILITY**

Describe the Modalities of Physical Disabilities that are Supported by this System and Detail the Nature of that Support - Be specific with respect to each type of disability, how it is supported and the system component that provides the support.

Detail the Alternative Languages that are Supported by this System - If a particular make and version of the component is specified for the system, identify the manufacturer. Include a brief description of the component and its role in the system. A separate and clearly identified document providing the aforementioned will suffice.

10. **UPGRADE PLAN FOR EXISTING CUSTOMERS –** Identify all current California customers that will be affected if this system is approved and detail the plan for their upgrade. If approval of this system will require existing customers to upgrade part or all of their current system, identify each of those customers and detail the plan for their upgrade. This plan should be specific as to the components that will be upgraded, the timeframe for that upgrade, who will perform the upgrade and who will be responsible for any costs associated with the upgrade. A separate and clearly identified document providing the aforementioned will suffice.

11. **USERS' GROUP –** Provide detail on the existing users' group or detail the plan for creating a users' group. If a California users' group already exists for this system (or previous versions of the system), provide the details on that users' group, including: how frequently it meets; where it meets; who plans the meetings, sets the agendas and chairs the meetings; and how minutes or information from the meeting are distributed to all California users of the system. If a California users' group does not currently exist, provide the plans to form such a group, providing the detail identified above. A separate and clearly identified document providing the aforementioned will suffice.

12. COMPLIANCE WITH CONDITIONS OF APPROVAL FOR SYSTEMS CURRENTLY USED BY CALIFORNIA CUSTOMERS – Has the applicant and, if applicable, any parent or subsidiary company, fully complied with all conditions set forth in the SOS approval document for all versions of systems manufactured or sold by the applicant or parent or subsidiary company that is currently used by one or more California customers?

☐ YES ☐ NO

If NO, identify every condition with which the applicant, parent or subsidiary company has not fully complied and explain the reason(s) for the lack of full compliance below. An attached document explaining the aforementioned will suffice.

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

Customer	Customer	Customer

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 all hardware and software changes from previously approved versions of system components have been clearly identified in Section 5 – Change Log. Finally, I certify that I am legally authorized to sign and submit this application on behalf of the applicant organization(s)."

Signature	Signature
Name (printed)	Name (printed)
Organization	Organization
Date	Date

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PART 2 OF 6
OWNERSHIP AND CONTROL

Part 2 must be completed by all applicants and submitted electronically. If there is more than one applicant entity for this application, a separate Part 2 should be completed for each applicant. Each file should be named "Application Part 2 – XXXX.doc" (or .pdf), where XXXX represents the applicant's name. All information contained on this form is a matter of public record.

APPLICATION DATE:

SYSTEM NAME AND VERSION:

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1. **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 entity. If "Other," explain in the space provided**.**

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

   c) Date Established - If 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 - 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 the name, title, telephone number and mailing address**.**

Name	Title	Telephone Number	Mailing Address

g) Agent of Record - Provide the name, telephone number and mailing address of the designated agent for service of process in California.

Name	Telephone Number	Mailing Address

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.

Name	Mailing Address

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.

2. MANUFACTURING AND SOFTWARE DEVELOPMENT

a) Applicant Addresses for Manufacturing and Development - For each hardware or software component of the system manufactured or developed by the applicant, identify the component and the primary address of manufacture or development.

b) System Components Not Manufactured or Developed by Applicant - For each hardware or software component of the system that is manufactured or developed by an entity other than the applicant, identify (a) the component, (b) the name of the entity that develops or manufactures the component, (c) the financial relationship between that entity and the applicant, (d) the principal address of that entity and (e) the primary address where that component is manufactured or developed.

(a) Component	(b) Developer / Manufacturer	(c) Relationship	(d) Developer/ Manufacturer Address	(e) Address Component Developed/ Manufactured

c) Intellectual Property Rights - For each component of the system for which the applicant does not own full intellectual property rights, identify (a) the component, (b) the name of any entity that owns any intellectual or other rights in the component, (c) the contractual relationship between that entity and the applicant, and (d) the principal address of that entity.

(a) Component	(b) Rights Owner	(c) Relationship	(d) Developer/ Manufacturer Address

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PART 3 OF 6
REFERENCES

Part 3 must be completed by all applicants and submitted electronically. All information disclosed in Part 3 is a matter of public record.

APPLICATION DATE:

SYSTEM NAME AND VERSION:

1. CERTIFICATION IN OTHER STATES

a) For Each State Where This Exact Version of System is Already Certified or Application Has Been Made - If necessary, list all additional states in a separate and clearly identified document, providing the following information for each:

- Any states that have denied approval of this system
- States that have approved the system
- States in which application is still pending (under consideration)

For each state listed, provide the following information:

(a) The name of the state.
(b) The date on which the application for approval of this exact system was first submitted to the state.
(c) Current status of that application -
  - Pending
  - Denied
  - Approved
(d) Provide the date the system was approved or denied, otherwise, leave the field blank.
(e) If the status is denied, provide the reason given by the state for that denial.
(f) Provide the name, mailing address, telephone number and email address of the government employee in that state who is most knowledgeable about the actual testing and evaluation of the system.

(a) State	(b) Date Submitted	(c) Status	(d) Date	(e) Reason for Denial (if applicable)	(f) State Contact Information – Including Mailing Address Telephone Number & E-mail

b) For Each State Where Other Versions Of This System Are Certified - Identify other states where another version of this system has been certified. Do not include states listed in table 1.1, above, where the status is identified as "Approved." If ten or less states qualify, list all. If more than ten, give preference to states in which the version has been approved for the longest time.

For each state listed, provide the following information:

(a) The name of the state.
(b) The version certified.
(c) The date on which a version of the system was first approved in that state.
(d) Provide the name, mailing address, telephone number and email address of the government employee in that state who is most knowledgeable about the actual testing and evaluation of the system.

(a) State	(b) Version	(c) Date 1st Approved	(d) Contact Information – Including Mailing Address Telephone Number & E-mail

c) If State Approval/Certification Has Ever Been Revoked On Any Version Of This System - Identify all states in which approval of any version or component of this system has been revoked or denied, including the State of California. If more than one version or component has been revoked or denied by a state, list each instance on a separate line. If necessary, either add additional lines to the table or list all additional instances in a separate and clearly identified document, providing the required information for each.

For each revocation or denial listed, provide the following information:

(a) The name of the state.
(b) The version of the system or component for which approval was revoked or denied.
(c) The date on which that approval was revoked or denied.
(d) The reason given by the state for revoking or denying approval.
(e) Identify the government employee who is most knowledgeable about the circumstances regarding that revocation or denial. For this person, provide the mailing address, telephone number and email address.

(a) State	(b) System Version	(c) Date Revoked	(d) Reason for Revocation	(e) Contact Information – Including Mailing Address Telephone Number & E-mail

2. JURISDICTIONS USING THE SYSTEM

a) Jurisdictions Outside California Using This System - Identify jurisdictions outside California that are using a version of this system, or components of this system. If ten or less, identify all such jurisdictions. If more than ten, list only ten in the following order of preference:

- Any jurisdictions using this exact version of the system, with preference to the largest over the smallest; then
- Jurisdictions using any version of this system, with preference to the most current versions.

For each jurisdiction listed, provide the following information:

(a) The name of the jurisdiction.
(b) The population of the jurisdiction.
(c) Whether the version used in the jurisdiction is the same version for which approval is requested.
(d) The date the jurisdiction first purchased or leased a version of the system.
(e) Identify the chief elections official for the jurisdiction. For this person, provide the mailing address, telephone number and email address.

(a) Jurisdiction	(b) Jurisdiction Population	(c) Version	(d) Date Purchased or leased	(e) Contact Information – Including Mailing Address Telephone Number & E-mail

b) California Jurisdictions Using A Version Of This System - Identify all California jurisdictions using a version of this system. For each such jurisdiction, provide (a) the name of the jurisdiction, (b) the type of jurisdiction (e.g., county, city, etc.), and (c) the version.

(a) Jurisdiction	(b) Jurisdiction Type	(c) Version

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PART 4 OF 6
TECHNICAL DATA PACKAGE (TDP) CHECKLIST

Applicants must submit a complete TDP prior to the initiation of any certification testing. The TDP shall include all of the items listed within this section according to application type. If the TDP is incomplete, or if the Secretary of State cannot clearly identify each of the items listed within this section, the entire application may be rejected or pended until made satisfactory by the applicant.

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) - Technical Data Package". Identifying photographs may be submitted in .JPG, .BMP, .GIF or .TIF format.

Information disclosed in Part 4 is a matter of public record. The vendor 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. Marking the entire package as confidential and/or proprietary is insufficient. All pages of the documentation that contain information the vendor considers confidential and/or proprietary information must be clearly marked as such.

APPLICATION DATE:

SYSTEM NAME AND VERSION:

ELECTRONIC POLL BOOK (EPB)

TDP MAIN PART - The main part of the TDP is relevant for conformity assessment and certification.

- ☐ **Customer Maintenance Documentation** - Documentation describing any maintenance that the vendor recommends can be performed by a customer with minimal knowledge of the system shall be provided.
- ☐ **Operations Manual** - Documentation that is normally supplied to the customer for use by the person(s) who will operate the equipment shall be provided.
- ☐ **Use Procedures** - Specific election administration procedures recommended for use with the system shall be provided. These must be written to conform to the template for such procedures that is available from the Secretary of State's website at: http://votingsystems.cdn.sos.ca.gov/cert-and-approval/vsysapproval/use-procedures-2006.pdf .
- ☐ **Software System Design** - Documentation describing the logical design of the software shall be provided. This documentation should clearly indicate the various modules of the software, their functions, and their interrelationships with each other. This shall include the data format(s) for which the system is capable of importing and exporting.
- ☐ **Test Data** - Any available test data that can be used to demonstrate the various functions of the electronic poll book or verify that the version of the applications submitted are identical to the versions that will be certified shall be provided. This includes test reports for certification of the identical system in other jurisdictions.
- ☐ **Security Procedures** - Documentation of the recommended security procedures and system hardening settings to ensure the optimum security and functionality of the system shall be provided.
- ☐ **Training Manual** - Documentation for use by the person(s) that will conduct staff and poll worker training.

ANCILARY DOCUMENTATION

- ☐ **Beta Test Results** – Provide all information regarding beta test results for this system, if applicable.
- ☐ **Vendor Proposed Test Plan** – Describe the scope, approach, resources and schedule of intended activities.
- ☐ **Identifying Photos** – Provide identifying photos of the hardware components of the system.
- ☐ **Substantiation of Elections Code Section 2550 -** Identify which document(s) and pages substantiate that the e-poll book system meets the requirements outlined in California Elections Code Section 2550.

REMOTE ACCESS VOTE BY MAIL (RAVBM) / VOTING SYSTEM (VS)

TDP MAIN PART - The main part of the TDP is relevant for conformity assessment and certification.

- ☐ **Implementation Statement** – Provide declaration of which standard options were implemented in the system.
- ☐ **System Hardware Specification** – Provide detailed specifications of the hardware components of the system, including specifications of hardware used to support telecommunications capabilities of the system.
- ☐ **Application Logic Design and Specification** – Provide detailed specifications of all included non-COTS software, firmware, and hardwired logic. In addition, provide precise identification of all included COTS software, firmware, and hardwired logic. This may include: overview, standards and conventions, the operating environment, functional and programming specifications, system databases, interfaces, etc.
- ☐ **System Security Specification** - Provide detailed descriptions of all system security specifications (design/interface specifications, security architecture, development environment specifications, security threat controls, security testing, vulnerability analysis documentation, etc.).
- ☐ **System Test Specification** – Provide all information regarding development tests, usability test reports, etc.
- ☐ **System Change Notes** - If a revision of a previous system, supply detailed specifications of the changes.
- ☐ **Configuration for Testing** – Provide the configuration actions necessary to obtain conforming behavior.
- ☐ **Quality and Configuration Management Manual** – Detail the manufacturer's quality and configuration management processes and procedures.

TDP USER DOCUMENTATION - The documentation must be produced with end users as the target audience.

- ☐ **System Overview** - Provide information that identifies the functional and physical components of the system, how the components are structured, and the interfaces between them.
- ☐ **System Functionality Description** – Provide the scope of the system's functional capabilities, establishing the performance, design, test, manufacture, and acceptance context for the system.
- ☐ **System Security Manual** – Provide all aspects of system design, development, and proper usage that are relevant to system security. This may include: access controls, system event logging, software installation, setup inspection, communications, voter verifiable paper audit trail (VVPAT), etc.
- ☐ **System Operations Manual** - Provide all information necessary for system use by all personnel who support pre-election and election preparation, polling place activities and central counting activities, as applicable, with regard to all system functions and operations identified. This may include: operational environment and features, system installation and test specification, operating procedures, documentation for poll workers, operations support, transportation and storage, etc.
- ☐ **System Maintenance Manual** – Provide maintenance procedure information in sufficient detail to support election workers, information systems personnel, or maintenance personnel in the adjustment or removal and replacement of components or modules in the field. Technical documentation needed solely to support repair ordinarily done by the manufacturer or software developer is not required.
- ☐ **Personnel Deployment and Training Requirements** - Provide information about the staff needed to run the system, as well as the training required for the various roles.

ANCILARY DOCUMENTATION

- ☐ **Beta Test Results** – Provide all information regarding beta test results for this system, if applicable.
- ☐ **Vendor Proposed Test Plan** – Describe the scope, approach, resources and schedule of intended activities.
- ☐ **Use Procedures** - Must be written to conform to the template for such procedures that is available from the Secretary of State's website at: http://votingsystems.cdn.sos.ca.gov/cert-and-approval/vsysapproval/use-procedures-2006.pdf .
- ☐ **Identifying Photos** – Provide identifying photos of the hardware components of the system.

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PART 5 OF 6
VOTING TECHNOLOGY APPENDIX A

System Description & Configuration - Complete each of the following tables where applicable to your system. If a table is not applicable to your system, please simply mark N/A, for not applicable on the first line.

1. **Proprietary Hardware/Software** - List all components of the system that are proprietary. This includes your custom software solution, and hardware not considered commercial off the shelf (COTS).

Component	Hardware Version(s)	Software Version

2. **COTS Hardware/Software** - List all components of the system that are commercial off the shelf products. This list should not include any items listed in Table 1.

Component	Version/Model	Manufacturer

3. **Configurations -** List all possible configurations your system has. For example if the system has multiple devices or servers of varying sizes (Small, Medium, Large), please list each of those configurations separately.

Configuration	Description

4. **Server Hardware Requirements** - List any minimum server hardware components in your system.

Component	Requirement

5. **Workstation Hardware Requirements** - List any minimum workstation components in your system.

Component	Requirement

6. **Lines of Source Code**

Software	
Firmware	
Total Lines of Code:	

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PART 6 OF 6
SYSTEM CHANGE LOG

Part 5 must be completed if any components, hardware, firmware or software of the proposed system have been previously approved in California under another version and have encumbered changes. The intent of this form is to clearly identify all hardware, firmware or software changes made to system components between the previously approved version and the version for which approval is being requested.

A separate and clearly identified log must be submitted for each change to a system component. All changes must be accounted for and clearly identified. For each component, list all changes that have occurred since the last approved version. Each change type must appear on its own row. Changes should be listed in chronological order, starting with the oldest and ending with the most recent.

INSTRUCTIONS

For each change, the following must be provided unless otherwise indicated:

a) **Applicant ID#** (optional) **–** This is the internal tracking number, if any, that the applicant has assigned to this bug or modification.

b) **Version Changed –** Identify the version of the system component in which the change was made.

c) **Type of Change** – Indicate the nature of the change. Valid options are:

- Cosmetic – Minor changes that affect the appearance of the component that have no impact on the actual functionality or performance of the component. This would include things like minor cabinet changes on hardware, or minor changes to screen layout in software.
- Minor Bug Fixes – Minor fixes to resolve bugs that did not materially affect the usability, accuracy, security or reliability of the system.
- Major Bug Fixes – Modification of the component to resolve a bug that materially affected the usability, accuracy, security or reliability of the system.
- New Feature – Introduction of a new feature for this system component.
- Performance Enhancement – Modification that substantially improves performance of the system without other functional changes. For example, a modification to make a report run faster, without changing the composition or layout of the report.

d) **Description of Symptom/Problem** – This should be a plain language description of the symptom, bug or problem the modification was meant to address. Be specific. The description should be written to be understood by someone who is not intimately familiar with the system.

e) **Version Discovered** – Identify the version of the component in which the problem or bug originated, or, if that is not known, the version in which the problem or bug was first identified.

f) **Describe the Fix/Modification/Enhancement** – Provide a concise, specific description of the modification made. This should be a plain language description. The description should be written to be understood by someone who is not intimately familiar with the system.

COMPONENT: CURRENT VERSION: LAST VERSION APPROVED:

Applicant ID#	*Type of Change*	*Description of Symptom / Problem*	*Version Discovered*	*Describe the Fix / Modification / Enhancement*