State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE1-P3 - 101

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The voting system shall meet the following requirements for network security: The voting system shall be tested to contain provisions for updating security patches, software and/or service packs without access to the open network.

Purpose:
The Purpose of this test is to: verify that the voting system shall allow for patches, updates and/or service packs without access to the open network.

Variances Used During Testing:
The voting system is capable of updates to operating system without the need to access an open network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
Additional Observations and Findings

Observations:
See 1921-133-101. Software/firmware is installed and updated. This vendor's proprietary software on a closed, direct connection with the device and a computer.

Findings: Voting system meets the requirements of this test.
CDOS Certification Number: **2007-CDOS-HAR-001-0404**

Manufacturer: **Hart Interivic**

Application Date: **04/04/2007**

Test Number

BE1-P3 - 102
2007-CDOS-HAR-001-0404

The reporting subsystem contains all mechanical, electromechanical, and electronic devices required to print reports of the tabulation. The subsystem also may include data storage media and communications devices for transportation or transmission of data to other sites. Communications Devices shall not be used for the preparation or printing of an official canvass of the vote unless they conform to a data interchange and interface structure and protocol that incorporates auditing and error checking as required by 45.5.2.7.

Purpose:
The purpose of this test is to verify that communications devices are not used for the printing of an official canvass of the vote and to the requirements herein and in 45.5.2.7.

Prerequisites: BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variance Used During Testing: N/A

Communications devices conform to 45.5.2.7 if they are to be used for preparation or printing of official canvass of votes.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, testing, stop and restoring the system as necessary.
### Post Election

**2007-CDOS-HAR-001-0404**

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Description</th>
<th>Acceptable Compensating Controls</th>
<th>Post Election Status</th>
</tr>
</thead>
</table>

#### Attachments

- **Documents** (list all documents): No ☐ Yes ☐
- **Videos** (list all videos): No ☐ Yes ☐
- **Photos** (list all photos): No ☐ Yes ☐

#### Results Summary

The voting system fails to meet the requirements.

**FAIL**

**1st Review**

- Tim Bishop
  - Printed name
  - Signature
  - Date

**2nd Review**

- Jerome Luvado
  - Printed name
  - Signature
  - Date

**Supervisor Approval**

- John Gardner
  - Printed name
  - Signature
  - Date
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequired test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the test requirements.

1st Review
T. Bishop
Printed name

2nd Review
Sherry Layke
Printed name

Supervisor Approval
John Gardner
Printed name

Signature  Date

Signature  Date

Signature  Date
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

**CDOS Certification Number:** 2007-CDOS-HAR-001-0404

**Manufacturer:** Hart Intercivic

**Application Date:** 04/04/2007

---

(Test Number)

BE1-P3 - 103

(This page intentionally left blank)
The voting system shall meet the following requirements for network security: All components of the voting system shall only be operated on a closed network only for the use of the voting system.

Purpose:
The Purpose of this test is to verify that all components for the voting system are operated on a closed network as in their rule.

Test Procedures:
Verify closed connections used for purpose.

Voting system is capable of supporting a closed network including only devices used for the voting system.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, reporting, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
</tr>
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<tbody>
<tr>
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</table>

### Test Log

<table>
<thead>
<tr>
<th>Activity</th>
<th>Details</th>
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</thead>
<tbody>
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</tbody>
</table>

### Acceptable, Compromising, Control

Files required - see attached photo.

### Results Summary

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approval</th>
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</thead>
<tbody>
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<th>1 Bishop</th>
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<tbody>
<tr>
<td>Printed name</td>
<td>Date</td>
<td>Signature</td>
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<tr>
<th>2 Bishop</th>
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<td>Printed name</td>
<td>Date</td>
<td>Signature</td>
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<tr>
<td>Printed name</td>
<td>Date</td>
<td>Signature</td>
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</tbody>
</table>

Created by the Colorado Secretary of State's Office
Observations:
Voting device will meet requirements if component part connections are sealed. See attached photo.

Findings:
Voting system will meet requirements of this test if conditions are correct.

1st Review: [Signature] 9/13/07
2nd Review: [Signature] 10/11/07
Supervisor Approval: [Signature] 10/11/07
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: **2007-CDOS-HAR-001-0404**

Manufacturer: **Hart Intervivc**

Application Date: **04/04/2007**

Test Number

BE1-P3 - 104
Purpose:
The purpose of this test is to verify that telecommunications transfers shall be able to be recovered and handled as described herein.

Prerequisites:
BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variances Used During Testing:
N/A

Test Expected Outcome:
Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retaining, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Test Results</th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Documents</strong> (list all documents)</td>
<td>No [X] Yes [ ]</td>
</tr>
<tr>
<td><strong>Videos</strong> (list all videos)</td>
<td>No [X] Yes [ ]</td>
</tr>
<tr>
<td><strong>Photos</strong> (list all photos)</td>
<td>No [X] Yes [ ]</td>
</tr>
</tbody>
</table>

**Acceptable Compromising Controls**

**Result Summary:**
The voting system fails to meet this requirement.

**FAIL**

**1st Review**

Tim Bishop

Printed name

Signature 9/22/07

Date

**2nd Review**

Seanne Kells

Printed name

Signature 9/11/17

Date

**Supervisor Approval**

John Gardner

Printed name

Signature

Date

Created by the Colorado Secretary of State's Office
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequisited test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE1-P3 - 105
2007-CDOH-HAR-001-0404

Date of Submission
45.5.2.6.1(b)(ii)

Test Number
BE1-P3-105

Test Date
9/26/2007

Test End Date
9/27/2007

Test Type (DRE)
Functional

Instr. Type
DRE

Equipment Model
eSlate

System Version
A0542, V0017, D01263

Manufacturer
Hart InterCivic

Purpose:
The purpose of this test is to verify that the voting system uses non-routable IP addresses for any device connected to the closed network as required herein.

Prerequisites:
BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variance Used During Testing:
N/A

Voting system is capable of supporting a closed network containing non-routable IP addresses.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, rerunning, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Activities and Results</th>
<th>Incident Reports</th>
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</tbody>
</table>

Continue to next page...
The voting system fails to meet this requirement.

FAIL

Tim Bishop
Printed name
Signature Date

Joanne Santos
Printed name
Signature Date

John Gardner
Printed name
Signature Date
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number: BE1-P3 - 106
2007-CDOS-HAR-001-0404

In any situation in which the voting system provider's system transmits data through any telecommunications medium, the system shall be able to recover, either automatically or with manual intervention, from incomplete or failed transmission sessions and resume transmissions automatically when telecommunications are re-established.

Purpose:
The purpose of this test is to verify that any transmission through public telecommunications devices can be recoverable and reestablished once communication is restored.

Prerequisites:
BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variance Used During Testing:
N/A

Test System

Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retarding, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Actions and Results</th>
<th>Feedback Reports</th>
</tr>
</thead>
</table>

Continue to next page...
The voting system fails to meet this requirement.

**Documents** (list all documents) | **Videos** (list all videos) | **Photos** (list all photos) 
--- | --- | --- 
No ☒ | Yes ☐ | No ☐ | Yes ☐ | No ☐ | Yes ☐ 

**Acceptable Compensatory Controls**

**Results Summary**

FAIL

**Tim Bishop**

Printed name

Signature

Date 9-27-07

**Jeanece Lujan**

Printed name

Signature

Date 11/1/07

**John Gardner**

Printed name

Signature

Date 11/1/07
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.

1st Review
T. Bishop

2nd Review
Jeremy Ladds

Supervisor Approval
John Gardner

Signature
Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE1-P3 - 107
2007-CDOS-HAR-001-0404

Purpose:
The purpose of this test is to verify that modems from remote devices shall be programmed as indicated herein.

Prerequisites:
BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variances Used During Testing:
N/A

Outcome:
Voting system modems strings cannot be modified to allow incoming calls.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
The voting system fails to meet this requirement.

**Results Summary**

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ☐</th>
<th>Yes ☑</th>
<th>Videos (list all videos)</th>
<th>No ☐</th>
<th>Yes ☑</th>
<th>Photos (list all photos)</th>
<th>No ☐</th>
<th>Yes ☑</th>
</tr>
</thead>
</table>

**Acceptable Compromising Controls**

**Results Summary**

The voting system fails to meet this requirement.

**FAIL**

**1st Review**

<table>
<thead>
<tr>
<th>Name</th>
<th>Printed name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td></td>
<td></td>
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</table>

**2nd Review**

<table>
<thead>
<tr>
<th>Name</th>
<th>Printed name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jerome Lvery</td>
<td></td>
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</table>

**Supervisor Approved**

<table>
<thead>
<tr>
<th>Name</th>
<th>Printed name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Gardner</td>
<td></td>
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</tbody>
</table>
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE1-P3 - 108
All electronic transmissions from a voting system shall meet the following minimum standards: All communications of data in transfer shall be encrypted, authenticated and verified to the Fips 140-2 standard and verified to the FIPS 180 standard.

Purpose:
The purpose of this test is to verify that electronic transmissions meet the security requirements identified herein.

Prerequisites:
Completion of trusted build and documentation from vendor.

Test Procedures:
Verify documentation provided by voting system vendor to meet the requirements herein.

Variance Used During Testing:
N/A

Test Procedure Outcomes:
Voting system communications meet FIPS 140-2 and FIPS 180 as documented and tested.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, returflng, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Decider</th>
<th>Result</th>
<th>Filing and Status</th>
<th>Test Number</th>
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<tbody>
<tr>
<td></td>
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<td>True</td>
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<td>DEI-P3-109</td>
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</tbody>
</table>

### Audit Details

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
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<th>Yes ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>Videos (list all videos)</td>
<td>No ☐</td>
<td>Yes ☐</td>
</tr>
<tr>
<td>Photos (list all photos)</td>
<td>No ☐</td>
<td>Yes ☐</td>
</tr>
</tbody>
</table>

### Acceptable Compromising Controls

### Result Summary

The voting system fails to meet this requirement. **FAIL**

### First Review

- **Tim Bishop**
  - Printed name
  - Signature: [Signature]
  - Date: 2-27-09

### Second Review

- **Jerome Levine**
  - Printed name
  - Signature: [Signature]
  - Date: 10/11/17

### Supervisor Approval

- **John Gardner**
  - Printed name
  - Signature: [Signature]
  - Date: 1/17/17

**Voting Systems Certification Program**

Created by the Colorado Secretary of State's Office
Observations:
The voting system provider did not supply documentation to prove meeting this requirement.

Findings:
The voting system provider failed to supply documentation to meet this requirement.
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number: BE1-P3 - 109
**Purpose:**
The purpose of this test is to verify that the voting device has disabled all wireless components on the voting system as required herein.

**Test Procedures:**
Verify lack of wireless transmissions using Fluke Air Analyzer

**Prerequisites:**
BE1-P3-406

**Variances Used During Testing:**

**Test Expected Outcome:**
Voting system contains no functional wireless components with the exception shielded line of sight infrared technology. The system does not generate nor accept any other wireless signals.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Activities and Results</th>
<th>Findings/Remarks</th>
</tr>
</thead>
<tbody>
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<td>Time</td>
<td>Operator</td>
<td>Notes</td>
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</tbody>
</table>

### Documents
- **List all documents:**
  - See BE4-P3-466

### Videos
- **List all videos:**
  - See BE4-P3-466

### Photos
- **List all photos:**
  - See BE4-P3-466

---

**Acceptable Components/Controls**

**Result Summary**

The voting system meets this requirement.

**First Review**

T. Bishop

**Second Review**

Jerome Watts

**Supervisor Approval**

John Gardner

---

**Signed**

T. Bishop

Date: 9/24/17

Jerome Watts

Date: 11/13/17

John Gardner

Date: 12/17/17

---

Created by the Colorado Secretary of State's Office
Observations:
See documentation attached to BE-4-P3-406

Findings:
Voting system meets the requirements of this test.
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007
All systems that transmit data over public telecommunications networks shall maintain a clear audit trail that can be provided to the Secretary of State when election results are transmitted by telephone, microwave or any other type of electronic communication.

Purpose:
The purpose of this test is to verify that audit logs include the necessary audit trail data for any data transmitted over the public network.

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Prerequisites:
BE1-P3-108

Variance Used During Testing:
N/A

Audit logs include audit trail for data transmitted over any public network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, returing, stop and restoring the system as necessary.
Document 2007-CDOS-HAR-001-0404

<table>
<thead>
<tr>
<th>Name</th>
<th>Operator</th>
<th>Date</th>
<th>Document(s)</th>
<th>Video(s)</th>
<th>Photo(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td></td>
<td></td>
<td>[X] No</td>
<td>[ ] Yes</td>
<td>[ ] Yes</td>
</tr>
<tr>
<td>Jerome Sparks</td>
<td></td>
<td></td>
<td>[ ] Yes</td>
<td>[X] No</td>
<td>[ ] No</td>
</tr>
<tr>
<td>John Gardner</td>
<td></td>
<td></td>
<td>[ ] Yes</td>
<td>[X] No</td>
<td>[ ] No</td>
</tr>
</tbody>
</table>

Acceptable Conforming Control

Results Summary

The voting system fails to meet this requirement.

Final Test Status: FAIL

Tim Bishop
Printed name: [Signature] Date: 9/27/07

Jerome Sparks
Printed name: [Signature] Date: 10/1/17

John Gardner
Printed name: [Signature] Date: 10/1/17

Created by the Colorado Secretary of State's Office
Observations:
See findings on BE1-P3-108. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.

T. Bishop  
Printed name
Signature  6-27-07  Date

Seana Lauts  
Printed name

John Gardner  
Printed name
Signature  10/17  Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE1-P3 - 111

(This page intentionally left blank)
Systems designed for transmission of voter information (i.e. electronic pollbooks) over public networks shall meet security standards that address the security risks attendant with the casting of ballots at remote sites controlled by election officials using the voting system configured and installed by election officials and/or their voting system provider or contractor, and using in-person authentication of individual voters.

**Purpose:**

The Purpose of this test is to:

Verify that the electronic pollbook meets the requirement identified in Rule 38 or as required.

**Prerequisites:**

Any electronic pollbook components meet security requirements identified in Secretary of State Rule 38.

**Test Procedures:**

N/A

**Variances Used During Testing:**

N/A

Voting Systems Certification - Testing Log rev. 2.1
approved 03/05/07

Created by the Colorado Secretary of State's Office
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurement, shut down, restarting, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Onboard Time</th>
<th>Activity and Events</th>
<th>Incident Reports</th>
</tr>
</thead>
</table>

Continue to next page...
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Activity and Intent</th>
<th>Test Log</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Attachments**

- **Documents** (list all documents)
  - No ☑ Yes ☐
- **Videos** (list all videos)
  - No ☑ Yes ☐
- **Photos** (list all photos)
  - No ☑ Yes ☐

**Acceptable Compensatory Controls**

**Results Summary**

**Paid Test Status**

- Not Applicable

**1st Review**

- Printed name: [Signature]
- Date: 9/18/07

**2nd Review**

- Printed name: [Signature]
- Date: 10/1/07

**Supervisor Approval**

- Printed name: [Signature]
- Date: 10/1/07
Observations: N/A

Findings: N/A Voting system does not contain an Electronic Pollbook.
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE1-P3 - 112
Purpose:
The purpose of this test is to verify that transaction logs shall include notations of interrupted and resumed transmissions as indicated herein.

Prerequisites:
BE1-P3-108

Test Procedures:
See instructions from BE1-P3-108. Document findings of telecommunications for device.

Variance Used During Testing:
N/A

Voting system logs include information of data transmission interruptions.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retuning, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ☐ Yes ☐</th>
<th>Videos (list all videos)</th>
<th>No ☐ Yes ☐</th>
<th>Photos (list all photos)</th>
<th>No ☐ Yes ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Supplemental Corruption Controls**

**Results Summary**

The voting system fails to meet this requirement.

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jeanne Lands</td>
<td>John Gardner</td>
</tr>
</tbody>
</table>

Printed name

Signature Date

Signature Date

Signature Date
Additional Observations and Findings

Observations:
See findings on BE1-P3-108. Without the passing of the prerequisted test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.

1st Review
T. Bishop
Printed name
Signature Date 2-22-07

2nd Review
Jesse Leutz
Printed name
Signature Date 10/1/07

Supervisor Approval
John Gardner
Printed name
Signature Date 10/1/07
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007
Recovery of transmissions shall include notations of the interrupted transmission session and the resumed transmission session in the system and application transaction logs.

**Purpose:**

The purpose of this test is to verify that transaction logs shall include notations of interrupted and resumed transmissions as indicated herein.

**Test Procedures:**

\[ \text{Test Procedure Details} \]

**Prerequisites:**

BE2-P3-201

**Variance Used During Testing:**

\[ \text{Variance Details} \]

Voting system logs include information of data transmission interruptions.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retarget, stop and restoring the system as necessary.
## 2007-CDOS-HAR-001-0404

### Post Election

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Operator</th>
<th>Accreditation and Limitations</th>
<th>Additional Support</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Attachments

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ☐ Yes ☐</th>
<th>Videos (list all videos)</th>
<th>No ☐ Yes ☐</th>
<th>Photos (list all photos)</th>
<th>No ☐ Yes ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SEE BE2-P3-2014</td>
<td></td>
</tr>
</tbody>
</table>

### Acceptable Compounding Controls

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Results Summary

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Final Test Summary

- **Not Applicable**

### Test Review

- **Initial Review**
  - **T. Bishop**
    - Printed name: 
    - Signature: [Signature]
    - Date: 9-18-07

- **2nd Review**
  - **Jerome Lanza**
    - Printed name: 
    - Signature: [Signature]
    - Date: 10/1/07

- **Supervisor Approval**
  - **John Gardner**
    - Printed name: 
    - Signature: [Signature]
    - Date: 10/17

---

*Voting Systems Certification Program*

*Created by the Colorado Secretary of State's Office*
**Observations:**

eScan does not contain a modem. See BE\textsuperscript{P3-204}

**Findings:**

n/a
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Text Number
BE2-P3 - 202
The voting system shall meet the following requirements for network security: All components of the voting system shall only be operated on a closed network only for the use of the voting system.

Purpose:
The purpose of this test is to verify that all components for the voting system are operated on a closed network as required in this rule.

Prerequisites:
BE2-P3-209

Test Procedures:
See BE2-P3-209

Variances Used During Testing:
n/a

Test Expected Outcome:
Voting system is capable of supporting a closed network including only devices used for the voting system.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retaring, stop and restoring the system as necessary.
### Test Number
- **BE2-P3 - 202**

### Test Details

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Operator</th>
<th>Test Date</th>
<th>Test Details</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Attachments

- **Documents**
  - List all documents
  - Yes [ ]
  - No [x]  

- **Videos**
  - List all videos
  - Yes [x]
  - No [ ]

- **Photos**
  - List all photos
  - Yes [x]
  - No [ ]

### Test Meets Expected Outcome

- **1st Review**
  - **T. Bishop**
  - Printed name: 
  - Signature: 
  - Date: 9-18-07

- **2nd Review**
  - **Jason Woods**
  - Printed name: 
  - Signature: 
  - Date: 10/11/07

- **Supervisor Approval**
  - **John Gardner**
  - Printed name: 
  - Signature: 
  - Date: 10/11/07

---

**Voting Systems Certification Program**

Created by the Colorado Secretary of State's Office
Observations:
See BE2-P3-209. Device is only operated on a closed network.

Findings:
Voting system meets the requirements of this test.
CDOS Certification Number: **2007-CDOS-HAR-001-0404**

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number:

BE2-P3 - 203
In any situation in which the voting system provider's system transmits data through any telecommunications medium, the system shall be able to recover, either automatically or with manual intervention, from incomplete or failed transmission sessions and resume transmissions automatically when telecommunications are re-established.

**Purpose:**

The purpose of this test is to verify that telecommunications transfers shall be able to be recovered and handled as described herein.

**Prerequisites:**

BE2-P3-203

**Test Procedures:**

N/A

**Variance Used During Testing:**

**Test Disposed/Outcome:**

Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Activities and Notes</th>
<th>Incident Reports</th>
</tr>
</thead>
</table>

Continue to next page...
### 2007-CDOS-HAR-001-0404

<table>
<thead>
<tr>
<th>Document</th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Videos</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Photos</td>
<td>No</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Attachments**

Documents (list all documents)

- [ ] No
- [ ] Yes

Videos (list all videos)

- [ ] No
- [ ] Yes

Photos (list all photos)

- [ ] No
- [ ] Yes

See BE2-P3-204

### Acceptable Compensating Controls

### Result Summary

- [ ] Not applicable

1st Review:

- T. Bishop
- Printed name
- Signature 9-18-07
- Date

2nd Review:

- Printed name
- Signature
- Date

Supervisor Approval:

- John Gardner
- Printed name
- Signature 10/11/17
- Date

Voting Systems Certification Program

Created by the Colorado Secretary of State's Office
Observations:
eScan does not contain a modem. See BE2-P3-204. Additionally transmission of data is accomplished with other hardware and software which will be tested in another section.

Findings:
n/a
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number: BE2-P3 - 204

[This page intentionally left blank]
All electronic transmissions from a voting system shall meet the following minimum standards:
Modems from remote devices shall be "dial only" and cannot be programmed to receive a call;

Purpose:
The Purpose of this test is to: specify that modems from remote devices shall be programmed as indicated.

Prerequisites:
N/A

Test Procedures:
N/A

Voting system modems strings cannot be modified to allow incoming calls.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, returning, stop and restoring the system as necessary.
Additional Observations and Findings

Observations:
Sheet does not contain a scratch.
See attached photos.

Findings: N/A

1st Review
Signed: [Signature]
Printed Name: [Name]
Date: [Date]

2nd Review
Signed: [Signature]
Printed Name: [Name]
Date: [Date]

Supervisor Approval
Signed: [Signature]
Printed Name: [Name]
Date: [Date]
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE2-P3 - 205
**Purpose:**

The purpose of this test is to verify that communications devices are not used for the printing of an official canvass of the vote and to the requirements herein and in 45.5.2.7.

**Prerequisites:**

BE2-P3-202, completion of trusted build.

BE2-P3-202A

**Test Procedures:**

N/A

**Variance Used During Testing:**

N/A

Communications devices conform to 45.5.2.7 if they are to be used for preparation or printing of official canvass of votes.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, returing, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No □ Yes ☒</th>
<th>Videos (list all videos)</th>
<th>No □ Yes ☒</th>
<th>Photos (list all photos)</th>
<th>No □ Yes □</th>
</tr>
</thead>
<tbody>
<tr>
<td>See video from Trusted Build</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Acceptable Compromising Controls**

**Results Summary**

This test is not applicable to this voting device.

**Test Review**

Tim Bishop  
Printed name:  
Signature:  
Date: 28-Mar-2007

Jerome Leeds  
Printed name:  
Signature:  
Date: 5-Mar-2017

John Gardner  
Printed name:  
Signature:  
Date: 11-Jun-2017
Observations:
N/A

Findings:
See notes on BE2-P3-202. This test is not applicable for this device.

T. Bishop  Printed name  4-28-07  Signature  Date
Seana Lamz  Printed name  10-11-07  Signature  Date
John Gardner  Printed name  10/17/07  Signature  Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number
BE2-P3 - 206
All electronic transmissions from a voting system shall meet the following minimum standards:
All communications of data in transfer shall be encrypted, authenticated and verified to the Fips 140-2 standard and verified to the FIPS 180 standard.

**Purpose:**
The purpose of this test is to verify that electronic transmissions meet the security requirements identified herein.

**Prerequisites:**
Completion of trusted build and documentation from vendor.

**Test Procedures:**
Verify documentation provided by voting system vendor to meet the requirements herein.

**Variance Used During Testing:**
N/A

Voting system communications meet FIPS 140-2 and FIPS 180 as documented and tested.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, stop, and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test</th>
<th>Number</th>
<th>BE2-P3 - 206</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ✗</th>
<th>Yes □</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Videos (list all videos)</th>
<th>No ✗</th>
<th>Yes □</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Photos (list all photos)</th>
<th>No ✗</th>
<th>Yes □</th>
</tr>
</thead>
</table>

**Acceptable Compensation Controls**

**Result Summary**

The voting system fails to meet this requirement.

FAIL

**1st Review**
Tim Bishop

**2nd Review**

**Superior Approval**
John Gardner

Signature: [Tim Bishop/John Gardner]

Date: 9/23/07/10/17

Created by the Colorado Secretary of State’s Office
Additional Observations and Findings

Observations:
The voting system provider did not supply documentation to prove meeting this requirement.

Findings:
The voting system provider failed to supply documentation to meet this requirement.

1st Review  
T. Bishop  
Printed name  
Signature  
9/22/07  
Date

2nd Review  
Jerome Laudo  
Printed name  
Signature  
10/11/07  
Date

Supervisor Approval  
John Gardner  
Printed name  
Signature  
10/17/87  
Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Interivic
Application Date: 04/04/2007

Test Number
BE2-P3 - 207
All wireless components on voting systems shall be disabled with the exception of line of sight infrared technology used in a closed environment where the transmission and reception is shielded from external infrared signals and can only accept infrared signals generated from within the system.

**Purpose:**
The purpose of this test is to verify that the voting device has disabled all wireless components on the voting system as required herein.

**Test Procedures:**
Verify lack of wireless transmissions using Fluke Air Analyzer

**Prerequisites:**
BEU-P3-406

**Variance Used During Testing:**

**Test Expected Outcome:**
Voting system contains no functional wireless components with the exception shielded line of sight infrared technology. The system does not generate nor accept any other wireless signals.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retarding, stop and restoring the system as necessary.
### Documents (list all documents)

- **No** [ ]
- **Yes** [ ]

**See B04-P3-406**

### Videos (list all videos)

- **No** [ ]
- **Yes** [ ]

### Photos (list all photos)

- **No** [ ]
- **Yes** [ ]
Additional Observations and Findings

Observations:
See documentation attached to BE-4-P3-406

Findings:
Voting system meets the requirements of this test.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE2-P3 - 208
<table>
<thead>
<tr>
<th>Purpose:</th>
<th>Prerequisites:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The purpose of this test is to verify that the electronic pollbook meets the requirements identified in Rule 38 or as required herein</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test Procedures:</th>
<th>Variances Used During Testing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test Expected Outcome:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any electronic pollbook components meet security requirements identified in Secretary of State Rule 38.</td>
</tr>
</tbody>
</table>
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retaining, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ☐ Yes ☐</th>
<th>Videos (list all videos)</th>
<th>No ☐ Yes ☐</th>
<th>Photos (list all photos)</th>
<th>No ☐ Yes ☐</th>
</tr>
</thead>
</table>

| Acceptable Compensation Control | Not applicable | | | |

| Result Summary | | | | |
|----------------|-----------------|-----------------|-----------------|
| 1st Review     | Printed name    | Printed name    | Printed name    |
|                | Signature       | Signature       | Signature       |
|                | Date            | Date            | Date            |

<table>
<thead>
<tr>
<th>Final Test Status</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>10/11/07</td>
<td>10/11/07</td>
</tr>
</tbody>
</table>

Voting Systems Certification Program
Observations:
Voting system does not contain an Electronic Ballot

Findings: N/A
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007
The voting system shall meet the following requirements for network security: All components of the voting system shall include the limited use of non-routable IP address configurations for any device connected to the closed network. For the purposes of this requirement non-routable IP addresses are those defined in the RFC 1918 Address base;

Purpose:
The Purpose of this test is to: verify that the voting system uses non-routable IP addresses for any device connected to the closed network as required herein.

Test Procedures:
Verify IP address on device.

Voting system is capable of supporting a closed network containing non-routable IP addresses.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retesting, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>See Attached</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Videos (list all videos)</th>
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<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Photos (list all photos)</th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Test Meets Expected Outcome**

1st Review

- **Bishop**
  - Printed name
  - Signature
  - Date: 9/18/07

2nd Review

- **Devone Lundy**
  - Printed name
  - Signature
  - Date: 10/11/15

Supervisor/Approval

- **John**
  - Printed name
  - Signature
  - Date: 11/12
Observations:
See attached documentation. IP address of the device is not transferable, changeable. It is static and non-rentable. Communication with the device is over a closed network whereas only 1 voting device may be attached at at time.

Findings:
Voting system meets the requirements of this test.
3. Select the "Use the following IP address:" option.
4. Enter the IP address of [192.168.0.10] (which is compatible with the eScan IP address, [192.168.0.1]).
5. Click OK and exit LAN setup.

6. Attempt SERVO connection again. If necessary, contact Hart Support and verify that the SERVO IP address registry entry is set up correctly.
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: **2007-CDOS-HAR-001-0404**

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE2-P3 - 210
2007-CDOS-HAR-001-0404

The voting system shall meet the following requirements for network security: The voting system shall be tested to contain provisions for updating security patches, software and/or service packs without access to the open network.

Purpose:
The purpose of this test is to verify that the voting system shall allow for patches, updates and/or service packs without access to the open network.

Test Procedures:
Document the process and findings for updating the voting system with security, system and/or service packs.

Prerequisites:
Completion of Trusted Build.

Variance Used During Testing:
N/A

Test Expected Outcome:
The voting system is capable of updates to operating system without the need to access an open network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
**Documents** (list all documents)

- No ☐
- Yes ☑

**Videos** (list all videos)

- No ☐
- Yes ☑

See video from trusted build.

**Photos** (list all photos)

- No ☐
- Yes ☑

The voting system meets the test expected outcome.

**Result Summary:**

PASS

**1st Review:**

Tim Bishop

Printed name

Signature 9.26.07

Date

**2nd Review:**

Jerome Landt

Printed name

Signature 10/1/07

Date

**Supervisor Approved:**

John Gardner

Printed name

Signature 10/1/07

Date

Created by the Colorado Secretary of State's Office
Observations:
See notes in trusted build for the system. The voting system was installed and updated without the use of public or open networks as defined by Secretary of State Rules. All updates were administered locally to the device.

Findings:
The voting system meets the test requirements.

T. Bishop  
Printed name  
Signature  9-26-07  
Date

Jerome Lovato  
Printed name  
Signature  10/1/07  
Date

John Gardner  
Printed name  
Signature  10/1/07  
Date
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number
BE2-P3 - 211
Failure and recovery of transmissions shall not cause any error in data transmitted from the polling place to the central election site during a recovered transmission session.

**Purpose:**

The purpose of this test is to verify that any transmission which has failed and been recovered does not cause any error in data transmitted between locations.

**Test Procedures:**

N/A

**Prerequisites:**

**Variations Used During Testing:**

Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Notes or Comments</th>
<th>Attachments</th>
</tr>
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<tbody>
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</table>

Documents (list all documents): No ☐ Yes ☐
Videos (list all videos): No ☐ Yes ☐
Photos (list all photos): No ☐ Yes ☐

Acceptable Security Controls:

Result Summary:
Not Applicable

1st Review: John S. Riley 9.18.07
2nd Review: Jerome Lewis 10.11.07
Supervisor Approval: John (Gardner) 11.17

Printed name: Signature Date
Printed name: Signature Date
Printed name: Signature Date

Voting Systems Certification Program
Created by the Colorado Secretary of State's Office
Additional Observations and Findings

Observations:
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that will be tested in another section.

Findings: N/A
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number

BE2-P3 - 212
Purpose:
The purpose of this test is to verify that audit logs include the necessary audit trail data for any data transmitted over the public network.

Prerequisites:

Test Procedures:

N/A

Variances Used During Testing:

Audit logs include audit trail for data transmitted over any public network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
Observations:
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that is to be tested in another section.

Findings: N/A
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE3-P3 - 301
Systems designed for transmission of voter information (i.e. electronic pollbooks) over public networks shall meet security standards that address the security risks attendant with the casting of ballots at remote sites controlled by election officials using the voting system configured and installed by election officials and/or their voting system provider or contractor, and using in-person authentication of individual voters.

**Purpose:**

The purpose of this test is to verify that the electronic pollbook meets the requirements identified in Rule 38 or as required herein.

**Prerequisites:**

**Test Procedures:**

N/A

**Variance Used During Testing:**

Any electronic pollbook components meet security requirements identified in Secretary of State Rule 38.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, returning, stop and restoring the system as necessary.
Observations:
Voting system server contain an Electronic Ballot.

Findings: 

1st Review: 

2nd Review: 

Supervisor Approval: 

Signature: 

Date: 

Signature: 

Date: 

Signature: 

Date:

Created by the Colorado Secretary of State’s Office 

Voting Systems Certification - Testing Log rev. 2.1

approved 6/6/2007
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE3-P3 - 302
In any situation in which the voting system provider's system transmits data through any telecommunications medium, the system shall be able to recover, either automatically or with manual intervention, from incomplete or failed transmission sessions and resume transmissions automatically when telecommunications are re-established.

Purpose:

The purpose of this test is to verify that telecommunications transfers shall be able to be recovered and handled as received herein.

Test Procedures:

N/A

Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
Observations:
Device does not transmit from a remote location. If necessary that task is accomplished with additional hardware and software that is to be tested in another section.

Findings:
n/a

T. Bishop
Printed name
Signature 9-18-07 Date

Seoane Lavoie
Printed name
Signature

John Gardner
Printed name
Signature 10/17 Date

Voting Systems Certification - Testing Log rev. 2.1
approved 10/01/07

Created by the Colorado Secretary of State's Office
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007
The reporting subsystem contains all mechanical, electromechanical, and electronic devices required to print reports of the tabulation. The subsystem also may include data storage media and communications devices for transportation or transmission of data to other sites. Communications Devices shall not be used for the preparation or printing of an official canvass of the vote unless they conform to a data interchange and interface structure and protocol that incorporates auditing and error checking as required by 45.5.2.7.

**Purpose:**

The purpose of this test is to verify that communications devices are not used for the printing of an official canvass of the vote and to the requirements herein and in 45.5.2.7.

**Prerequisites:**

BE3-P3-308, completion of trusted build.

**Test Procedures:**

N/A

**Variance Used During Testing:**

N/A

Communications devices conform to 45.5.2.7 if they are to be used for preparation or printing of official canvass of votes.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.

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See video from Trusted Build

Acceptable Compensating Controls

Results Summary

This test is not applicable to this voting device.

N/A

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approval</th>
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<tr>
<td>Tim Bishop</td>
<td>Jerome Lauth</td>
<td>John Gardner</td>
</tr>
<tr>
<td>Printed name</td>
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Signature Date

Signature Date

Signature Date

Created by the Colorado Secretary of State's Office
Additional Observations and Findings

Observations:
N/A

Findings:
See notes on BE3-P3-308. This test is not applicable for this device.

T. Bishop
Printed name
Signature Date

Jerome Latta
Printed name
Signature Date

John Gardner
Printed name
Signature Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007
Recovery of transmissions shall include notations of the interrupted transmission session and the resumed transmission session in the system and application transaction logs.

Purpose:
The purpose of this test is to verify that transaction logs shall include notations of interrupted and resumed transmissions as indicated herein.

Prerequisites:

Test Procedures:

N/A

Variances Used During Testing:

Voting system logs include information of data transmission interruptions.
The test log shall contain procedural steps used to conduct and evaluate the tests. As a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retuning, stop and restoring the system as necessary.
Observations:
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that is to be tested in another section.

Findings:
n/a
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number: BE3-P3 - 305
Failure and recovery of transmissions shall not cause any error in data transmitted from the polling place to the central election site during a recovered transmission session.

**Purpose:**

The purpose of this test is to verify that telecommunications transfers shall be able to be recovered and handled as described herein.

**Prerequisites:**

**Test Procedures:**

N/A

**Variances Used During Testing:**

**Test Expected Outcome:**

Voting system provides a redundant process to ensure any incomplete data transmitted will be properly tabulated once communication is restored.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
**Observations:**
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that is to be tested in another section.

**Findings:**
N/A

**1st Review:** T. Bishop  
Signature:  
Date: 9-18-07

**2nd Review:**  
Signature:  
Date: 10/1/07

**Supervisor Approval:**  
Signature:  
Date: 11/17
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number

BE3-P3 - 306
2007-CDOS-HAR-001-0404

Rule of Origin:
45.5.2.7.2(b)

All electronic transmissions from a voting system shall meet the following minimum standards: All communications of data in transfer shall be encrypted, authenticated and verified to the Fips 140-2 standard and verified to the FIPS 180 standard.

Purpose:
The purpose of this test is to verify that electronic transmissions meet the security requirements identified herein.

Prerequisites:

Test Procedures:
N/A

Variances Used During Testing:

Test Expected Outcome:
Voting system communications meet FIPS 140-2 and FIPS 180 as documented and tested.
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
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<th>Admission/Entry Date</th>
<th>Incident Reports</th>
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The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retuning, stop and restoring the system as necessary.
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<tr>
<th>Documents (list all documents)</th>
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Acceptable Compensatory Controls

Results Summary | Not Applicable | 2nd Review | Supervisor Approval

B. S. 400
Delgado
Signed Date 9-18-07

J. Lovato
Signed Date 10/1/07

C. Gordon
Signed Date 10/17

Voting Systems Certification Program

Created by the Colorado Secretary of State's Office
**Observations:**
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that is to be tested in another section.

**Findings:** N/A
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE3-P3 - 307
All systems that transmit data over public telecommunications networks shall maintain a clear audit trail that can be provided to the Secretary of State when election results are transmitted by telephone, microwave or any other type of electronic communication.

Purpose:
The purpose of this test is to verify that audit logs include the necessary audit trail data for any data transmitted over the public network.

Test Procedures:

N/A

Prerequisites:

Variance Used During Testing:

Audit logs include audit trail for data transmitted over any public network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
Observations:
Device does not transmit from a remote location. That task is accomplished with additional hardware and software that is to be tested in another section.

Findings: N/A
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE3-P3 - 308
Purpose:
The purpose of this test is to verify that all components for the voting system are operated on a closed network as required in this rule.

Prerequisites:
Completion of trusted build, instructions to voting system vendors.

Test Procedures:
Document the findings of the voting system processing ballots through all test cases and the network requirements necessary for normal operation.

Variances Used During Testing:
N/A

Test Result/Outcome:
Voting system is capable of supporting a closed network including only devices used for the voting system.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retaring, stop and restoring the system as necessary.
The voting system was tested only with the stand alone ballot now. Other install versions are not to be used.

With the listed controls, the requirement is met.

PASS CONDITIONAL

Tim Bishop
Printed name
Date
Signature

Serene Lente
Printed name
Date
Signature

John Gardner
Printed name
Date
Signature
**Observations:**

The voting device uses "ballot now" software which was installed as a "stand alone" version of the software. This version requires no network connectivity for the workstation (or laptop/server, etc.) to operate under normal conditions. The networked version of the software does use standard windows networking protocols, but was not tested by the testing board. The stand alone function of the software is programmable by way of MBB only which is a more secure method of operation for the device.

**Findings:**

The voting system meets the test requirements provided the "stand alone" version of Ballot Now is used.
CDOS Certification Number: **2007-CDOS-HAR-001-0404**

Manufacturer: **Hart Interivic**

Application Date: **04/04/2007**

Test Number

BE3-P3 - 309
The voting system shall meet the following requirements for network security: All components of the voting system shall include the limited use of non-routable IP address configurations for any device connected to the closed network. For the purposes of this requirement non-routable IP addresses are those defined in the RFC 1519 Address base.

**Purpose:**

The purpose of this test is to verify that the voting system uses non-routable IP addresses for any device connected to the closed network as required herein.

**Prerequisites:**

BE3-P3-308

**Test Procedures:**

See notes on BE3-P3-308. Document the findings of using the device for telecommunication needs.

**Variances Used During Testing:**

N/A

**Test Expected Outcome:**

Voting system is capable of supporting a closed network containing non-routable IP addresses.
The test leg shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
The voting system was tested only with the stand alone ballot now. Other install versions are not to be used.

With the listed controls, the requirement is met.  

**PASS CONDITIONAL**

<table>
<thead>
<tr>
<th>First Review</th>
<th>Second Review</th>
<th>Supervisor Approval</th>
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<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jerome Lukas</td>
<td>John Gardner</td>
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<tr>
<td>Signature 9/29/02</td>
<td>Signature 10/11/07</td>
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Observations:
See findings on BE3-P3-308. The voting device setup is a laptop (or workstation/server) with a direct connection to a scanner device (SCSI). These devices act as stand alone devices for the programming and reporting of the device through the use of MBB's. The testing board did not test the ability to use the "network version" of the Ballot Now software. The voting system provider did not submit this version to the testing board.

Findings:
The voting system meets the test requirements provided the "stand alone" version of Ballot Now is used.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007
The voting system shall meet the following requirements for network security:

The voting system shall be tested to contain provisions for updating security patches, software and/or service packs without access to the open network.

**Purpose:**
The purpose of this test is to verify that the voting system shall allow for patches, updates and/or service packs without access to the open network.

**Prerequisites:**
Completion of trusted build.

**Test Procedures:**
After the completion of the trusted build, document the process for updating the software/system as required.

**Variance Used During Testing:**
N/A

The voting system is capable of updates to operating system without the need to access an open network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
The voting system meets the test requirements. 

Pass

Tim Bishop
Printed name
Signature 9/26/07 Date

Jerome Watts
Printed name
Signature 10/1/07 Date 

John Gardner
Printed name
Signature 10/1/07 Date 

Voting Systems Certification Program

Created by the Colorado Secretary of State's Office
Observations:

The voting system is running on a computer with Windows 2000. No virus protection is present, and the application is updateable by CD-Rom, or copy the files onto a USB key. Windows 2000 is updateable via CD-ROM as well. No components required specific public network access to be updated. All items were verified during the implementation of the trusted build.

Findings:

The voting system meets the test requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number

BE3-P3 - 311
All wireless components on voting systems shall be disabled with the exception of line of sight infrared technology used in a closed environment where the transmission and reception is shielded from external infrared signals and can only accept infrared signals generated from within the system.

Purpose:
The purpose of this test is to verify that the voting device has disabled all wireless components on the voting system as required herein.

Test Procedures:
Verify lack of wireless transmissions using Fluke Air Analyzer

Prerequisites:

Variance Used During Testing:

Voting system contains no functional wireless components with the exception shielded line of sight infrared technology. The system does not generate nor accept any other wireless signals.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retuning, stop and restoring the system as necessary.

<table>
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<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Activities and Details</th>
<th>Incident Report</th>
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</table>
2007-CDOS-HAR-001-0404

Test Number
BE3-P3 - 311

Date

Time
Operator

Result Summary: Test Meets Expected Outcome
Pass Conditional

Attachments:
Documents
(list all documents)
No [ ] Yes [ ]

Videos
(list all videos)
No [ ] Yes [ ]

Photos
(list all photos)
No [ ] Yes [ ]

Computer Compensating Controls:

Laptop or other computer must have wireless network disabled.

1st Review
T. Bishop
Printed name
Signature 9/28/07 Date

2nd Review

Printed name
Signature 10/1/07 Date

Supervisor/Approval
John Gardner
Printed name
Signature 10/1/07 Date
Observations:
See documentation attached to BE-4-P3-406

Findings:
Voting system meets the requirements of this test.
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE4-P3 - 401
The reporting subsystem contains all mechanical, electromechanical, and electronic devices required to print reports of the tabulation. The subsystem also may include data storage media and communications devices for transportation or transmission of data to other sites. Communications devices shall not be used for the preparation or printing of an official canvass of the vote unless they conform to a data interchange and interface structure and protocol that incorporates auditing and error checking as required by 45.5.2.7.

**Purpose:**

The purpose of this test is to verify that communications devices are not used for the printing of an official canvass of the vote and to the requirements herein and in 45.5.2.7.

**Prerequisites:**

BE4-P3-407

**Test Procedures:**

See instructions from BE4-P3-407. Document findings of telecommunications for device.

**Variances Used During Testing:**

N/A

Communications devices conform to 45.5.2.7 if they are to be used for preparation or printing of official canvass of votes.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
The voting system fails to meet the requirements.

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jovone Lanto</td>
<td>John Gardner</td>
</tr>
</tbody>
</table>

Printed name

Signature Date Signature Date Signature Date
Observations:
See findings on BE4-P3-407. Without successfully passing the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the test requirements.

T. Bishop
Printed name

Signature
Date

Jenni Lavelle
Printed name

Signature
Date

John Gardner
Printed name

Signature
Date
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number
BE4-P3 - 402
The voting system shall meet the following requirements for network security: All components of the voting system shall include the limited use of non-routable IP address configurations for any device connected to the closed network. For the purposes of this requirement non-routable IP addresses are those defined in the RFC 1918 Address base;

**Purpose:**
The purpose of this test is to verify that the voting system uses non-routable IP addresses for any device connected to the closed network as required herein.

**Prerequisites:**
BE3-P3-309

**Test Procedures:**
See notes on BE3-P3-309. Document the findings of using the device for telecommunication needs.

**Variances Used During Testing:**
N/A

**Test Expected Outcome:**
Voting system is capable of supporting a closed network containing non-routable IP addresses.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retarding, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Activities and Status</th>
<th>Incident Reports</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Continue to next page...
The voting system was tested only with the stand alone ballot now. Other install versions are not to be used.

With the listed controls, the requirement is met.  **PASS CONDITIONAL**

Tim Bishop  
Printed name

[Signature]  8/29/07  
Date

[Signature]  
Date

Jerome Kerst  
Printed name

[Signature]  
Date

John Gardner  
Printed name

[Signature]  10/17/07  
Date
Observations:

See notes on BE3-P3-309. The software does not require any network connections for functioning provided the "network" version of ballot now is not used.

Findings:

The voting system meets the test requirements provided the "stand alone" version of Ballot Now is used.
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE4-P3 - 403
2007-CDOS-HAR-001-0404

The voting system shall meet the following requirements for network security: All components of the voting system shall only be operated on a closed network only for the use of the voting system.

<table>
<thead>
<tr>
<th>Purpose:</th>
<th>Prerequisites:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The purpose of this test is to verify that all components for the voting system are operated on a closed network as required in this rule.</td>
<td>Completion of trusted build, instructions to voting system vendors.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test Procedures:</th>
<th>Variances Used During Testing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document the findings of the voting system processing ballots through all test cases and the network requirements necessary for normal operation.</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Voting system is capable of supporting a closed network including only devices used for the voting system.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.

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<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Activities and Status</th>
<th>Incident Reports</th>
</tr>
</thead>
</table>

Continue to next page...
The voting system was tested only with the stand alone ballot now. Other install versions are not to be used.

With the listed controls, the requirement is met. **PASS CONDITIONAL**

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approval</th>
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</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jerome Lande</td>
<td>John Gardner</td>
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<th>Printed name</th>
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</table>
Observations:
The voting device uses "ballot now" software which was installed as a "stand alone" version of the software. This version requires no network connectivity for the workstation (or laptop/server, etc.) to operate under normal conditions. The networked version of the software does use standard windows networking protocols, but was not tested by the testing board. The stand alone function of the software is programmable by way of MBB only which is a more secure method of operation for the device.

Findings:
The voting system meets the test requirements provided the "stand alone" version of Ballot Now is used.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007
Systems designed for transmission of voter information (i.e., electronic pollbooks) over public networks shall meet security standards that address the security risks attendant with the casting of ballots at remote sites controlled by election officials using the voting system configured and installed by election officials and/or their voting system provider or contractor, and using in-person authentication of individual voters.

<table>
<thead>
<tr>
<th>Purpose:</th>
<th>Prerequisites:</th>
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<tbody>
<tr>
<td>The purpose of this test is to verify that the electronic pollbook meets the requirements identified in Rule 38 or as required herein</td>
<td>Instructions for voting system vendors.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test Procedures:</th>
<th>Variances Used During Testing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>This test is not applicable for the voting device. The system does not contain an electronic pollbook as part of the voting system solution.</td>
<td>N/A</td>
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</tbody>
</table>

Any electronic pollbook components meet security requirements identified in Secretary of State Rule 38.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
This test is not applicable to this voting device.

Tim Bishop

Jerome Lands

John Gardner

Printed name

Printed name

Printed name

Signature

Signature

Signature

Date

Date

Date
Additional Observations and Findings

Observations:
N/A

Findings:
This test is not applicable for this voting device.

T. Bishop
Printed name
Signature  9/28/07
Date

Jerome Lovato
Printed name
Signature  10/11/07
Date

John Gardner
Printed name
Signature  10/11/07
Date
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number

BE4-P3 - 405
All systems that transmit data over public telecommunications networks shall maintain a clear audit trail that can be provided to the Secretary of State when election results are transmitted by telephone, microwave or any other type of electronic communication.

**Purpose:**
The purpose of this test is to verify that audit logs include the necessary audit trail data for any data transmitted over the public network.

**Prerequisites:**
BE4-P3-407

**Test Procedures:**
See instructions from BE4-P3-407. Document findings of telecommunications for device.

**Variance Used During Testing:**
N/A
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, testing, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Action and Source</th>
<th>Incident/Response</th>
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Continue to next page...
The voting system fails to meet the requirements.

<table>
<thead>
<tr>
<th>Test Number</th>
<th>Post Election</th>
<th>Test 004</th>
<th>Acceptable Components Controls</th>
<th>Result Summary</th>
<th>Final Pass/Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>BE4-P3 - 405</td>
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<td>FAIL</td>
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</table>

**Documents** (list all documents)  No ☐  Yes ☐

**Videos** (list all videos)  No ☐  Yes ☐

**Photos** (list all photos)  No ☐  Yes ☐

---

**Test Review**  

- **Tim Bishop**  
  Printed name  
  Signature  10/3/07  
  Date  10/3/07

- **Serrano Landa**  
  Printed name  
  Signature  10/3/07  
  Date  10/3/07

- **John Gardner**  
  Printed name  
  Signature  10/3/07  
  Date  10/3/07

---

**Voting Systems Certification Program**

Created by the Colorado Secretary of State's Office
Observations:
See findings on BE4-P3-407. Without the passing of the prerequised test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE4-P3 - 406
All wireless components on voting systems shall be disabled with the exception of line of sight infrared technology used in a closed environment where the transmission and reception is shielded from external infrared signals and can only accept infrared signals generated from within the system.

**Purpose:**
The purpose of this test is to verify that the voting device has disabled all wireless components on the voting system as required herein.

**Test Procedures:**
Verify lack of wireless transmissions using Fluke Air Analyzer

**Prerequisites:**

**Variances Used During Testing:**

Voting system contains no functional wireless components with the exception shielded line of sight infrared technology. The system does not generate nor accept any other wireless signals.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, rerunning, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Activities and Remarks</th>
<th>Incident Reports</th>
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<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operator</th>
<th>Details</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
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</table>

**Documents**
- No [ ] Yes [x]
  - See attached

**Videos**
- No [ ] Yes [x]
  - (list all videos)

**Photos**
- No [ ] Yes [x]
  - (list all photos)
  - See attached

---

**Acceptable Component(s)**

---

**Results Summary**

---

**TEST MEETS EXPECTED OUTCOME**

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor/Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>T. Bishop</td>
<td>Jerome Luna</td>
<td>John Gardner</td>
</tr>
</tbody>
</table>

<table>
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<th>Printed name</th>
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*Voting Systems Certification Program*

*Created by the Colorado Secretary of State's Office*
Observations:
See attached photos and screenshots.

Findings:
Voting system meets the requirements of this test with compensating controls.
HART-4FC7F66F91

- Batteries
- Computer
- Disk drives
- Display adapters
- DOD-HP212
- DotHPHP212
- Dot-USB HP212
- DVD/CD-ROM drives
- IDE ATA/ATAPI controllers
- Keyboards
- Mice and other pointing devices
- Modems
- Monitors
- Network adapters
  - Broadcom NetXtreme 57xx Gigabit Controller
  - Dell Wireless 1450 Dual Band WLAN Mini-PCI Card
- PCMCIA adapters
- Ports (COM & LPT)
- Smart card readers
- Sound, video and game controllers
- Storage volumes
- System devices
- Universal Serial Bus controllers
ALL HART DEVICES POWERED ON!
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007
All electronic transmissions from a voting system shall meet the following minimum standards: All communications of data in transfer shall be encrypted, authenticated and verified to the Fips 140-2 standard and verified to the FIPS 180 standard.

<table>
<thead>
<tr>
<th>Purpose:</th>
<th>Prerequisites:</th>
</tr>
</thead>
<tbody>
<tr>
<td>The purpose of this test is to verify that electronic transmissions meet the security requirements identified herein.</td>
<td>Completion of trusted build and documentation from vendor.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Test Procedures:</th>
<th>Variances Used During Testing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verify documentation provided by voting system vendor to meet the requirements herein.</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Voting system communications meet FIPS 140-2 and FIPS 180 as documented and tested.
The test log shall contain procedural steps used to conduct and evaluate the test. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
### Test Results

The voting system fails to meet the requirements.

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>No ☑</th>
<th>Yes ❑</th>
<th>Videos (list all videos)</th>
<th>No ☑</th>
<th>Yes ❑</th>
<th>Photos (list all photos)</th>
<th>No ☑</th>
<th>Yes ❑</th>
</tr>
</thead>
</table>

### Signature and Date

1. **Tim Bishop**
   - **Printed name:**
   - **Signature:**
   - **Date:** 8/22/07

2. **Jerome Lovato**
   - **Printed name:**
   - **Signature:**
   - **Date:** 10/11/07

3. **John Gardner**
   - **Printed name:**
   - **Signature:**
   - **Date:** 12/17
Additional Observations and Findings

Observations:
The voting system provider did not supply documentation to prove meeting this requirement.

Findings:
The voting system provider failed to supply documentation to meet this requirement.

T. Bishop
Printed name

Signature
Date

John Gardner
Printed name

Signature
Date
CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007
Purpose:
The purpose of this test is to verify that transaction logs shall include notations of interrupted and resumed transmissions as indicated herein.

Prerequisites:
BE4-P3-407

Test Procedures:
See instructions from BE4-P3-407. Document findings of telecommunications for device.

Variance Used During Testing:
N/A
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Activities and Contests</th>
<th>Incident Reports</th>
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</thead>
<tbody>
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</tbody>
</table>
The voting system fails to meet the requirements.

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jerome L.</td>
<td>John Gardner</td>
</tr>
</tbody>
</table>

Printed name

Signature Date

9/27/07

Signature Date

10/1/07

Signature Date

10/1/07
Additional Observations and Findings

Observations:

See findings on BE4-P3-407. Without the passing of the prerequisited test, the voting device cannot meet this requirement.

Findings:

The voting system fails to meet the requirements.

1st Review

T. Bishop
Printed name

Signature Date

2nd Review

Seana Lavoie
Printed name

Signature Date

Supervisor Approval

John Gardner
Printed name

Signature Date
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: **2007-CDOS-HAR-001-0404**
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE4-P3 - 409
The voting system shall meet the following requirements for network security: The voting system shall be tested to contain provisions for updating security patches, software and/or service packs without access to the open network.

**Purpose:**

The purpose of this test is to verify that the voting system shall allow for patches, updates and/or service packs without access to the open network.

**Prerequisites:**

Completion of Trusted Build.

**Test Procedures:**

Document the process and findings for updating the voting system with security, system and/or service packs.

**Variances Used During Testing:**

N/A

The voting system is capable of updates to operating system without the need to access an open network.
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, retarding, stop and restoring the system as necessary.

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Operation</th>
<th>Activities and Remarks</th>
<th>Test Number</th>
</tr>
</thead>
<tbody>
<tr>
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<td>BE4-P3 - 409</td>
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</tbody>
</table>

Continue to next page...
The voting system meets the test expected outcome. **PASS**

<table>
<thead>
<tr>
<th>1st Review</th>
<th>2nd Review</th>
<th>Supervisor Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tim Bishop</td>
<td>Jerome Young</td>
<td>John Gardner</td>
</tr>
<tr>
<td>Printed name</td>
<td>Printed name</td>
<td>Printed name</td>
</tr>
</tbody>
</table>

**Signature**

[Signature]

[Date]

[Signature]

[Date]
Observations:

See notes in trusted build for the system. The voting system was installed and updated without the use of public or open networks as defined by Secretary of State Rules. All updates were administered locally to the device.

Findings:

The voting system meets the test requirements.
State of Colorado
Department of State
1700 Broadway
Suite 250
Denver, CO 80290

Mike Coffman
Secretary of State

Holly Lowder
Director of Elections

CDOS Certification Number: 2007-CDOS-HAR-001-0404
Manufacturer: Hart Intercivic
Application Date: 04/04/2007

Test Number
BE4-P3 - 410
**2007-CDOS-HAR-001-0404**

All electronic transmissions from a voting system shall meet the following minimum standards:
Modems from remote devices shall be “dial only” and cannot be programmed to receive a call;

<table>
<thead>
<tr>
<th>Test Number</th>
<th>BE4-P3-410</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Date</td>
<td>9/25/2007</td>
</tr>
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<td>Test Date</td>
<td>9/26/2007</td>
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<tr>
<td>Test Type</td>
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<td>Test Type</td>
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<tr>
<td>Equipment</td>
<td>System 6.0</td>
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<tr>
<td>Supplier</td>
<td>N/A</td>
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<tr>
<td>Manufacturer</td>
<td>Hart Intercivic</td>
</tr>
</tbody>
</table>

**Purpose:**

The purpose of this test is to verify that modems from remote devices shall be programmed as indicated herein.

**Test Procedures:**

See instructions from BE4-P3-407. Document findings of telecommunications for device.

**Prerequisites:**

BE4-P3-407

**Variance Used During Testing:**

N/A

**Voting System Modems Strings cannot be modified to allow incoming calls.**
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, restarting, stop and restoring the system as necessary.
The voting system fails to meet the requirements.

FAIL

Tim Bishop
Printed name
Signature 9/22/07
Date

Sandra Lopez
Printed name
Signature 10/11/07
Date

John Gardner
Printed name
Signature 10/17
Date
Observations:
See findings on BE4-P3-407. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.
CDOS Certification Number: 2007-CDOS-HAR-001-0404

Manufacturer: Hart Intercivic

Application Date: 04/04/2007

Test Number: BE4-P3 - 411
### Purpose:
The purpose of this test is to verify that telecommunications transfers shall be able to be recovered and handled as described herein.

### Prerequisites:
BE4-P3-407

### Test Procedures:
See instructions from BE4-P3-407. Document findings of telecommunications for device.

### Variance Used During Testing:
N/A
The test log shall contain procedural steps used to conduct and evaluate the tests. At a minimum, these procedural steps shall include any items related to the setup, start, process, measurements, shut down, relamping, stop and restoring the system as necessary.
### Treatment

<table>
<thead>
<tr>
<th>Documents (list all documents)</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Videos (list all videos)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Photos (list all photos)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Acceptable Compensating Controls

### Result Summary

The voting system fails to meet the requirements.

### Fail Status

FAIL

### Signature

- **Tim Bishop**
  - Printed name
  - Signature: 8/22/07
  - Date: 8/22/07

- **Jerome Lauer**
  - Printed name
  - Signature: 10/1/10
  - Date: 10/1/10

- **John Gardner**
  - Printed name
  - Signature: 10/1/10
  - Date: 10/1/10

*Created by the Colorado Secretary of State's Office*
Additional Observations and Findings

Observations:
See findings on BE4-P3-407. Without the passing of the prerequisite test, the voting device cannot meet this requirement.

Findings:
The voting system fails to meet the requirements.

T. Bishop
Printed name
9/22/07
Signature
Date

Jerome Levato
Printed name
10/1/07
Signature
Date

John Gardner
Printed name
10/1/17
Signature
Date