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April 10, 2006

Hon. Gary L. Sharpe  
United States District Judge  
James T. Foley U.S. Courthouse  
445 Broadway, Room 441  
Albany, New York 12207

Re: *United States of America v New York State Board of Elections, et al.*  
06-CV-0263 (GLS)

Dear Judge Sharpe:

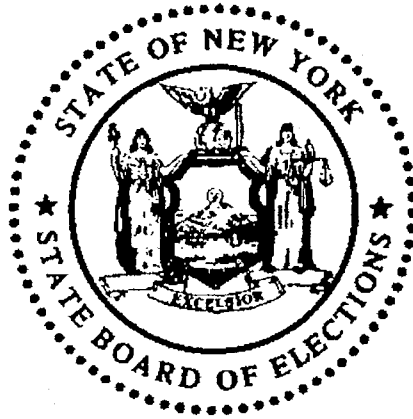
Attached please find a copy of the plan assembled by the State Board of Elections in response to the Court's March 23, 2006 order requiring the State Board to file with the Court a plan for compliance with section 301 and 303(a) of the Help America Vote Act.

Respectfully submitted,

/s/

\_\_\_\_\_  
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cc: All Counsel of record



NEW YORK STATE BOARD OF ELECTIONS  
PLAN for COMPLIANCE  
with the  
HELP AMERICA VOTE ACT  
and  
CHAPTERS 24 & 181 OF 2005 LAWS OF  
NEW YORK

April 10, 2006

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**PLAN FOR COMPLIANCE with  
the HELP AMERICA VOTE ACT and  
CHAPTERS 24 & 181 OF 2005 LAWS OF NEW YORK**

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**PLAN for COMPLIANCE with HAVA and NYS LAWS for 2006**

VOTING SYSTEMS

The State Board of Elections' (State Board) accessible voting device compliance plan involves the identification of existing commercially available ballot marking devices which meet the accessibility requirements of HAVA and New York law. These devices will provide the State's voters with disabilities the ability to conduct unassisted, private and reliable voting. The plan calls for counties to place devices in as many polling places as possible in time for training and use in the September 12, 2006 primary. Appendix A outlines the milestones in the plan.

*Voting System Standards*

Since the devices at issue are only used to mark ballots but not to count votes, testing is accordingly limited to determining the ability of the device to accurately mark the ballot as voted. The State Board shall conduct detailed functional testing to ensure a high level of confidence in the device's ability to mark ballots accurately, to permit voters to verify their ballots, and to evaluate the device's firewalls, virus protection and other security components. On February 1, 2006, the State Board contracted with a private vendor to assist as an independent testing authority with the State's certification and authorization testing of voting systems and ballot marking devices. All testing will be conducted with the assistance of the State Board's independent testing authority, and will occur in a public venue. The Citizens Advisory Committee, appointed pursuant to Chapter 181 of the New York Laws of 2005, will be invited to review the ballot marking devices.

*State Board Authorization*

Pursuant to Election Law section 7-201 the State Board intends to authorize for use one or more types of voting equipment not previously approved by the State Board for use by the County Boards in the 2006 primary and general elections. As part of the authorization process, the voting equipment will undergo an expedited certification process to ensure that the equipment functions properly and is suitable for use in New York State. The State Board and its independent testing authority will be prepared to test, for this authorization, any and every ballot marking device submitted. Authorization by the Commissioners of the State Board is a prerequisite to any vendor selling ballot marking devices for use in this State.

*Use of Ballot Marking Devices for Voters with Disabilities*

The State Board will give priority to and take all actions necessary to provide full certification of, as well as contracting for purchase or lease of ballot marking devices that comply with the requirements for voting device accessibility for individuals with disabilities found in Section 301(a)(3) of HAVA, 42 U.S.C. sec. 15481(a)(3) and Chapter 181, 2005 N.Y. Laws. Such contracts shall provide for such ballot marking devices to be used in the September 12, 2006 primary election for Federal office, and shall provide for delivery of such devices, software, documentation, and training materials to the State Board to permit certification and authorization by the State Board and, once authorized, for delivery of such devices to County Boards, to be used in the September 12, 2006 primary election for Federal office. Delivery shall be in time to allow for post-delivery acceptance testing, training of local election officials, training of poll workers, and voter education, before the September 12, 2006 primary election for Federal office. Given the proximity in time of the September 2006 primary election, and the need to prepare poll workers and to educate the disabled voting public for a new voting technology, the State Board and each County Board shall determine how many such ballot marking devices said local jurisdiction shall use in order best to address the needs of the disabled voting public and to serve the State's fundamental obligation to ensure that every voter can vote and that every vote is properly counted. Where it is determined that every polling place in a local jurisdiction cannot accommodate a ballot marking device accessible to voters with disabilities for use in the September 12, 2006 primary election for Federal office, ballot marking devices accessible to voters with disabilities will be placed in each town and city in the county, in each Assembly

District in the county, in regional centers in the county, in a central location in the county, or in polling places intended to serve concentrations of disabled voters.

*State Contracts for Purchase of Ballot Marking Devices*

An announcement in the March 6, 2006 edition of the New York State Contract Reporter calls for vendors of such devices to respond to the Invitation for Bid to the Office of General Services by March 27, 2006. The State Board shall advise the United States of devices it has identified for use by no later than April 12, 2006. The State Board shall ask the State Comptroller to issue approval by May 17, 2006, for the contract for purchase or lease of accessible ballot marking devices. The State Board shall provide the United States with a list of the accessible ballot marking devices that it shall utilize to fulfill the terms of this paragraph by no later than May 17, 2006. The State will contract with every vendor whose device is authorized by the State Board Commissioners. Contracts for ballot marking devices will be executed at the state level, in conjunction with the Office of General Services, pursuant to New York State law. County Boards of Elections (County Boards) will be able to order the appropriate number of authorized ballot marking devices at the prices established in those contracts.

Evaluation and preliminary selection of ballot marking devices by County Board

Vendors will present their ballot marking devices to the County Boards for evaluation, prior to selection of such devices by the County Boards. This may be done by the vendors either after the authorization process, or prior to the State Board's authorization. A preliminary evaluation of voting systems by County Boards will help speed up the selection process, enabling County Boards to decide which device(s) they prefer, while awaiting the authorization by the State Board.

Notification of authorized ballot marking devices sent to County Boards

Within two (2) business days of any ballot marking device receiving authorization, the State Board shall notify each County Board.

Purchase of ballot marking devices by County Boards

After receiving notification from the State Board that a ballot marking device has been authorized for use in the state of New York and is available for purchase by County Boards, each County Board will have the option of purchasing such device. County Boards shall be required to

notify the State Board by May 22, 2006 of their ballot marking device purchase or lease order. Upon the failure of any County Board to make such order by May 22, 2006, the State shall make such order for the county by no later than May 30, 2006.

#### Delivery of new equipment to County Boards

Each vendor must notify the State Board of estimated delivery dates of ballot marking devices to County Boards as soon as such information is known and must notify the State Board of delivery of such ballot marking devices promptly.

#### *Acceptance Testing*

##### Plan for training for acceptance testing

New York State Election Law section 7-206 requires the State Board to conduct acceptance testing of all voting equipment purchased prior to its use in an election. Because of the need to conduct such tests statewide within a very short time period, the State Board is seeking the assistance of a consultant to help with the development of staffing plans and procedures for implementation and oversight of the testing.

##### Acceptance testing of delivered equipment

Every ballot marking device purchased in New York State is required to undergo acceptance testing. This testing is performed by the County Board under the supervision of the State Board. Acceptance testing will be done to verify that the ballot marking device is the same as that which was authorized by the State Board. Acceptance testing will further ensure that the ballot marking device and its equipment was delivered in good condition and is 100% operational. Acceptance testing will begin within 72 hours of delivery of the ballot marking device and its equipment from the vendor to the County Board. Upon completion of acceptance testing, the County Board must notify the State Board that the devices have passed all acceptance testing requirements, or, if applicable, that a particular device has not passed acceptance testing, and the County Board's remedy for such failure.

#### *Poll Worker Training Programs*

The State Board is required by State Law to develop a poll worker core curriculum for election inspectors and other County Board employees. Such core curriculum shall incorporate all changes in election procedures including disability etiquette and the use of new voting

systems, including ballot marking devices.

State Board staff has researched curriculum programs obtained from a cross-section of counties in New York State and has also reviewed training programs used in a sampling of other states. Towards this end, a survey was developed and circulated to County Boards to solicit input on their existing training efforts in their respective county. Replies were received from 48 County Boards, and the results were compiled.

Additionally, an advisory committee was created by the State Board to bring together a representative group of County Board commissioners and/or their appropriate training personnel. This group met on March 9, 2006. The participants provided an excellent overview of the programs currently in place in the counties. The agenda included discussions on updating the core curriculum with a focus on HAVA specific requirements (disability voting, voter ID, voter's bill of rights, provisional ballots and emergency preparedness), poll worker training including a train-the-trainer program by the State Board, the best practices, voter education, and the impact on new voting systems on poll worker training and voter education.

State Board staff met regularly to review the core curriculum for necessary updating, primarily focusing on new requirements stemming from HAVA. A Request for Quotes was issued by New York State Office of General Services seeking a vendor to take the updated core curriculum and develop a Poll Worker Training Curriculum and Comprehensive Resource Manual for use by County Boards. ELM Associates was selected as the vendor and a project kick-off meeting was conducted March 22, 2006 between the vendor and State Board staff. The final product will be delivered to the State Board on or about April 17, 2006. The core curriculum is being developed around specific topical modules, so that changes, updates or additions can be easily inserted into the curriculum. The updated core curriculum will incorporate HAVA specific requirements including disability voting, voter ID, voter's bill of rights, provisional ballots and new ballot marking devices. Future updates will incorporate new voting systems as they become certified.

The Poll Worker Training Curriculum and Comprehensive Resource Manual will be completed prior to the State Board's Annual Conference in Syracuse which runs from May 1, 2006 to May 3, 2006. As an initial delivery, two master copies (both electronic and paper) will be provided to each County Board. A session will be conducted by staff to present an overview of the updated core curriculum. In addition, a State Board "Train-the-Trainer" program will be outlined and discussed, and a schedule of the sessions will be further announced. These sessions will be conducted during the second and third weeks of May 2006.



The State Board, in collaboration with the Commission on Quality of Care and Advocacy for Persons with Disabilities (CQCAPD), has developed a training program to offer instruction to meet the needs of voters with disabilities. Disability Etiquette Training is scheduled to take place March 28, 2006 through April 12, 2006. Representatives of CQCAPD will train appropriate County Board personnel through several New York State Election Commissioners' Association Regional Meetings.

State Board staff is continuing to explore the potential for a web-based on-line delivery tool, an inspector handbook, and other automated delivery tools for poll worker training. Such efforts are ongoing and will look to 1) supplement the County Board's face-to-face instruction; 2) serve as a refresher course of information after the local training program; and, 3) serve as a recruitment tool for people to receive a brief outline of the duties of an election day worker and if they are interested, a method for them to sign up as an interested worker.

The State Board, for the purpose of ensuring the smooth functioning of the election process and the continuation and success of necessary poll worker training, will request that county boards provide written plans, and any updates as may be necessary, on how they will conduct poll worker training programs to ensure their success and to identify those ongoing support services, if any, that County Boards may need from the State Board to meet these responsibilities.

No later than May 1, 2006, the State Board shall provide the United States with a detailed draft description of such training program. The United States shall have seven (7) days to review the draft and provide comments to the State Board.

#### *Voter Education Services*

The State Board staff is developing guidelines that County Boards will use to implement an education program for voters on the proper use of new voting systems, including ballot marking devices. Such voter education programs will be conducted by County Boards, in consultation with and with the assistance of State Board staff. The State Board will work to ensure that such programs continue as necessary to ensure the smooth functioning of the election process. In developing these guidelines, the State Board will consider, among other things, voter education classes, the use of direct mail, public service announcements on television and radio and local community public appearances and events. The State Board will prepare generic direct mail materials for use by County Boards on the use of ballot marking devices and new voting systems. The voter education guidelines will include voter education outreach efforts directed to

local community groups and disability groups.

The State Board will provide the voter education guidelines to County Boards at the May 2006 State Board Annual Conference with the recommendation that County Boards use these guidelines and augment them with their own work, if desired, to develop successful voter outreach efforts.

The State Board, for the purpose of ensuring the smooth functioning of the election process and the continuation and success of necessary voter education programs, will request that county boards provide written plans, and any updates as may be necessary, on how they will conduct voter education programs to ensure their success and to identify those ongoing support services, if any, that county boards of elections may need from the State Board to meet these responsibilities.

No later than May 1, 2006, the State Board shall provide the United States with a detailed draft description of such voter education program guidelines. The United States shall have seven (7) days to review the draft and provide comments to the State Board.

#### *Uniform Definition of Vote*

To the extent that New York law does not already do so, consistent with Section 301(a)(6) of HAVA, 42 U.S.C. § 15481(a)(6), no later than July 1, 2006, the State Board shall adopt, by regulation or otherwise, uniform and nondiscriminatory standards that define what constitutes a vote and what will be counted as a vote for each category of voting system used in the State.

STATEWIDE VOTER REGISTRATION DATABASE

In order to achieve compliance with the statewide voter registration list requirements set forth in Section 303(a) of HAVA, the State Board shall take actions necessary to develop and implement NYS Voter I, an interim computerized statewide voter registration list. Appendix B sets forth significant steps in the development and implementation of NYSVoter I and the schedule which the State Board shall follow for full implementation of NYSVoter I. The State Board will finalize rules and regulations for the implementation of NYSVoter I no later than July 1, 2006. Appendix C sets forth the functional requirements and capabilities of the interim NYSVoter I system.

The State Board is implementing NYSVoter I, an interim computerized statewide voter registration list. Upon full implementation, NYSVoter I, among other things:

- (a) shall serve as the single statewide voter registration system for storing and managing the official list of registered voters throughout the State;
- (b) shall be able to generate a computerized statewide voter registration list that is single, uniform, official, centralized, interactive, defined, maintained and administered at the State level, which contains the name and registration information of every legally registered voter in the State, and which shall be the official voter registration list for the conduct of all federal, state and local elections in the State;
- (c) shall assign a unique identifier to every registered voter in the State;
- (d) shall maintain one record for each registered voter in the State, including the statewide unique identifier, immediate voting history and current status of that voter;
- (e) shall ensure that all data in the system complies with the data standards established by the State Board for the database;
- (f) shall provide for the remediation of all county election management systems in the State to ensure:
  - 1) that such systems interface with NYSVoter I to enable county election officials to enter all voter registration information into the statewide official list on an expedited basis at the time the information is provided to the county official,
  - 2) that all data sent to the statewide list by the counties meets State Board standards, and
  - 3) that all counties submit updated county voter registration data to NYSVoter I on a regular basis to enable complete synchronization of the statewide list with the county lists at least once during each 24 hour period;

(g) shall indicate if a voter is a first time voter with no verified identification and flag that voter as requiring identification resolution in order to vote;

(h) shall conduct periodic checks to determine the existence of duplicate registrations in the system;

(i) shall be coordinated with the State Department of Motor Vehicles, the federal Social Security Administration, and appropriate state agencies which keep records of deaths and felon status in order to conduct verification of voter registration information and perform voter registration list maintenance functions as required by HAVA and the National Voter Registration Act (“NVRA”), 42 U.S.C. § 1973gg et seq. The State Board has been informed by the New York State Department of Motor Vehicles that, on February 23, 2006, the Department of Motor Vehicles signed and sent to the United States Social Security Administration (SSA), a Memorandum of Understanding between the New York State Department of Motor Vehicles and the SSA, as required by Section 303(a)(5)(B)(ii) of HAVA, 42 U.S.C. § 15483(a)(5)(B)(ii) ;

(j) shall provide for state monitoring of county actions for compliance with State Board regulations concerning NYSVoter I.

**PLAN for COMPLIANCE with HAVA and New York State LAWS for 2007**

VOTING SYSTEMS

*Voting Systems Standards Regulations*

The State Board has promulgated amendments to its current rules and regulations on voting system standards. These regulations govern the testing process for voting systems to be certified for use in New York State, and delineate maintenance testing once systems have been purchased. The State Board received over 2000 comments and held four public hearings. Changes were made, and a second draft was published on the State Board's website, inviting comments for an additional 10 day period. Those comments have also been reviewed and additional changes have been made. It is anticipated that the Commissioners will consider these changes at their next meeting.

*State Board Certification*

The adoption of State Board regulations gives the vendors of voting systems the guidelines needed for a system to be considered a viable candidate for certification for use in the State of New York. The State Board is prepared to test for certification any and every voting system submitted. The State Board and its independent testing authority are prepared to begin certification testing as soon as the first system is submitted. Certification by the Commissioners of the State Board is a prerequisite to any vendor selling voting systems for use in this State.

Testing of Voting Systems

The State Board and its independent testing authority will perform initial tests on the equipment to ascertain its readiness for certification in conformity with New York State standards, based on statute and regulations.

Once initial testing is completed, a detailed test plan specifically tailored to the voting system being presented by the vendor for certification testing, will be developed. Test dates will be scheduled by the State Board. The tests will be performed by the State Board's staff together with the Board's independent testing authority at a public venue selected by the State Board. Vendor technical staff must be present during testing. The Citizens Advisory Committee, appointed pursuant to Chapter 181 of the New York Laws of 2005, will be invited to review the ballot marking devices.

State Board of Elections to certify voting systems

Once the system has completed the certification process, the State Board staff and the independent testing authority present their findings to the State Board's Commissioners, who will award final certification to the system, allowing the voting system to be used within the state. The State Board shall make every reasonable effort to complete certification testing of any other voting system submitted for certification under the State standards within 45 days of such submission, absent extenuating circumstances

*State Contracts for Purchases to Replace Lever Voting Machines*

It is intent of the State Board to achieve voting machine replacement in the shortest practicable time frame, consistent with HAVA, New York law, and the State Board's need to ensure that the right of every voter to vote is not impaired and that the election process itself is not in any manner jeopardized. To that end, State Board shall ensure that contracts for purchase or lease of voting systems provide for replacement of all lever voting machines in use in New York State with HAVA-compliant voting systems for use in each polling place in the State, in time for the deadline set forth in Chapter 181 of the New York Laws of 2005.

Contracts for voting systems will be executed at the state level, in conjunction with the Office of General Services, pursuant to New York State law. County Boards will be able to order the appropriate number of certified voting systems at the prices established in those contracts. The contracts will include prices for additional items, such as extra year(s) of support services; extended warranties; additional system components, etc.

*Acceptance Testing*

New York State Election Law section 7-206 requires the State Board to conduct acceptance testing of all voting equipment purchased prior to its use in an election. Because of the need to conduct such tests statewide within a very short time period, the State Board is seeking the assistance of a consultant to help with the development of staffing plans and procedures for implementation and oversight of the testing.

NYSVoter – THE STATEWIDE VOTER REGISTRATION DATABASE

Both HAVA and New York State Law require the creation of an interactive, computerized statewide voter registration list, defined and administered at the state level, which shall serve as the single official list of registered eligible voters in the state.

New York State law requires that the statewide database developed and maintained by the State Board, be created by integrating, to the extent possible, existing County Board registration systems with the state system. This “bottoms-up” approach allows County Boards to continue to do business in a manner that is most amenable to their circumstances, while meeting the requirements of both federal and state law.

On December 15, 2005 the State Board Commissioners voted to develop and implement a statewide voter registration list by modifying software provided by the State of Washington, at no cost to New York State. The modifications will be made to the software to meet New York State requirements.

The State Board is in the process of finalizing a Request for Proposals for a systems integrator to make the necessary modifications to the Washington software, and to integrate existing County Board systems into the statewide voter registration database. It is the State Board’s intent to have a contract awarded by September 15, 2006. Full implementation of NYSVoter will be accomplished over a period of months, ending no later than Spring, 2007.

APPENDIX A: Interim Voting Machine Milestone Tasks

Interim Voting Machine Milestone Tasks	Target Start Date	Target Completion Date
State Board to contact possible vendors to submit systems for plan B authorization	3/6/2006	3/28/2006
State Board to accept ballot marking devices for ballot layout review and State Board to notify vendor of intent to proceed or not based upon review of ballot layout. Vendors to forward software, documents, and ballot marking device(s) to State Board's independent testing authority (ITA) through Office of General Services (OGS) (pursuant to Procurement Regulations).	3/28/2006	4/11/2006
State Board's ITA reviews software, documents, and ballot marking device(s), report results of review and submit test plan for ballot marking device for review by State Board's Elections Operations Unit.	4/4/2006	4/17/2006
State Board to reserve venue for testing and notify public and Citizens' Advisory Committee of testing venue and details.		4/18/2006
Authorization testing to be conducted in accordance with independent testing authority's test plan.	4/24/2006	5/5/2006
State Board to oversee Voter Demonstration Test.	4/24/2006	5/5/2006
Independent testing authority to prepare and submit testing report(s) to State Board's Elections Operations Unit.	4/24/2006	5/11/2006
State Board's Elections Operations Unit to make recommendation to State Board Commissioners based upon review of independent testing authority's report.		5/12/2006
State Board to vote on authorization of ballot marking device.		5/17/2006
State Board to notify OGS of Board's authorization of ballot marking device.		5/17/2006
State Board to notify County Boards of authorized ballot marking devices available for purchase.		5/17/2006
County Boards' orders due to State Board on or before May 22, 2006.		5/22/2006
Vendors to deliver training materials to County Boards.		5/31/2006
State Board to select and order ballot marking device(s) for county if County Board has not done so.		5/30/2006
State Board to aggregate orders for OGS.	5/22/2006	5/30/2006
State Board to notify OGS of aggregation.	5/22/2006	5/30/2006
OGS to confirm final price, based upon aggregation, then execute contracts and place orders.		6/6/2006
Vendor to notify State Board of estimated dates of delivery of ballot marking devices to County Boards.		6/19/2006
Delivery of initial quantity of ballot marking devices to County Boards.		6/30/2006
Delivery of balance of ballot marking devices to County Boards.	8/2/2006	
Acceptance testing of initial delivery to begin within 72 hours of delivery.		8/11/2006
Pre-election testing of all ballot styles.	8/28/2006	9/11/2006
Begin voter education program.	5/1/2006	8/1/2006
Election day support.	9/12/2006	11/7/2006
Recanvass Support, AND	9/19/2006	11/20/2006
Audit support, AND	9/13/2006	12/31/2006
Post-election evaluation and analysis.		



APPENDIX B: NYS Voter I Milestone Tasks

<b>NYS Voter I Milestone Tasks</b>	<b>Target Start Date</b>	<b>Target End Date</b>
Procure additional database licenses and hardware for NYS Voter I	2/1/2006	2/28/2006
Modify existing database to accommodate required data for NYS Voter I	3/1/2006	4/28/2006
Establish secure communication method for transferring data to NYS Voter I	2/15/2006	4/28/2006
County EMS software remediated to send required data to NYS Voter I	TBD	5/1/2006
Initial load of data from counties into NYS Voter I	5/1/2006	5/10/2006
Browser interfaces built for county election officials access to NYS Voter I	4/3/2006	5/12/2006
NYS Voter I completes initial duplicate checking and provides report to counties	5/15/2006	5/19/2006
Counties reconcile duplicates identified by NYS Voter I	5/22/2006	6/16/2006
County EMS software remediated to send additions, updates and cancellations to NYS Voter I on a regular basis	TBD	6/30/2006
Final load of data from counties into NYS Voter I	7/3/2006	7/7/2006
Unique identifiers are assigned to voters in NYS Voter I	7/3/2006	7/7/2006
Counties begin providing daily additions, updates and cancellations into NYS Voter I	7/10/2006	Ongoing
CASS addresses are added to NYS Voter I	7/17/2006	7/21/2006
Match new voters entered in NYS Voter I against DMV records	8/15/2004	Ongoing
Match new voters entered in NYS Voter I against SSN records	7/15/2006	Ongoing
Begin matching death and felon records to NYS Voter I for county file maintenance	Pre HAVA	Ongoing monthly

APPENDIX C: NYSVoter Business Requirements

Requirement #	NYSVoter Requirement	Requirement Category (M, D, or TBD)	NYSVoter I Meets?	Requires County EMS Remediation
<b>F.1</b>	<b>GENERAL BUSINESS</b>			
F.1.1	NYSVoter shall serve as the single statewide voter registration system for storing and managing the official list of registered voters throughout the State.	M	Y	
F.1.1.1	NYSVoter must accept voter registration data directly from remediated county voter registration/election management systems (VR/EMS) which will serve as "front ends" to NYSVoter.	M	Y	Y
F.1.1.2	NYSVoter must ensure all voter registration data used for processing and reporting in county VR/EMS Systems is derived subsequently from the official data in NYSVoter and used unchanged.	M		Y
F.1.2	NYSVoter shall maintain one record for each registered voter including the statewide unique identifier, entire history (including voting history, previous names, etc.) and current status of that voter.	M	Y (immediate history only)	
F.1.3	NYSVoter shall provide the ability to automatically archive data based on business rules.	M		
F.1.3.1	Ability to archive data automatically based on user defined parameters.	D		
F.1.3.2	Ability to restore data from archive.	D		
F.1.3.3	Ability to view on-line meta-data for archived records.	D		
F.1.5	NYSVoter shall provide the ability to adjust business policies that govern the acceptance/correctness of data and the ability to change in response to changes in law and policy.	M		Y
F.1.5.1	Whenever possible, business rules must be parameter based and configurable by NYSVoter Administrators.	D		
<b>F.1.2</b>	<b>Data Normalization and Validation</b>			
F.1.2.1	NYSVoter shall ensure all data complies with the data standards for the database (i.e., proper coding for name suffix, street type, gender, etc.).	M	Y	Y
F.1.2.2	County systems must be remediated so that all data sent to the centralized database meet NYSVoter standards.	M	Y	Y
F.1.2.3	NYSVoter shall ensure all required fields have appropriate information.	M	Y	Y
F.1.2.4	County systems must be remediated so that all required data is sent to the centralized database.	M	Y	Y
<b>F.2</b>	<b>VOTER REGISTRATION</b>			
<b>F.2.1</b>	<b>Registration Processing</b>			
F.2.1.1	Using their remediated VR/EMS as their direct interface to NYSVoter, County local election officials shall be able to enter all voter registration information into the list on an expedited basis at the time the information is provided to the county official. County EMS systems shall synchronize with NYSVoter at least every 24 hours.	M	Y	Y
F.2.1.1.1	NYSVoter shall notify county VR/EMS of receipt and status of each registration transaction with appropriate detail.	M		Y
F.2.1.1.2	NYSVoter shall support an exception processing system that will track and report on such registration transactions awaiting resolution.	M		Y
F.2.1.2	NYSVoter shall track, normalize to standards and store voter registrant information provided (current and prior) on the registration applicant including but not limited to:	M	Y	Y

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Requirement #	NYSVoter Requirement	Requirement Category (M, D, or TBD)	NYSVoter I Meets?	Requires County EMS Remediation
F.2.1.2.1	Full Name	M	Y	Y
F.2.1.2.2	Residence Address (standard and non-standard)	M	Y	Y
F.2.1.2.3	Mailing Address (if any) (standard and non-standard)	M	Y	Y
F.2.1.2.4	Birthdate	M	Y	Y
F.2.1.2.5	CASS Address	M	Y	Y
F.2.1.2.6	Telephone Number (if any)	M	Y	Y
F.2.1.2.7	Gender	M	Y	Y
F.2.1.2.8	Last 4 Digits of Social Security Number	M	Y	Y
F.2.1.2.9	Political Party Affiliation (or lack thereof)	M	Y	Y
F.2.1.2.10	Registration Number	M	Y	Y
F.2.1.2.11	New York DL#	M	Y	Y
F.2.1.2.12	Data Entry Date	M	Y	Y
F.2.1.2.13	Application Date (timestamp date)	M	Y	Y
F.2.1.2.14	NVRA Tracking Code	M		Y
F.2.1.2.15	Last Year Voted	M	Y	
F.2.1.2.16	Last County Voted In	M	Y	
F.2.1.2.17	First Time Voter Status Flag	M	Y	
F.2.1.2.18	ID Requirement Met Flag	M	Y	
F.2.1.2.2	NYSVoter must be able to collect/track the source of registration and summarize/report on registration activity in accordance with NVRA reporting requirements.	M		
F.2.1.3	NYSVoter shall capture and store a graphic image of the signature on an registration application.	M		Y
F.2.1.3.1	NYSVoter must receive and store an image of the signature captured and provided by the county VR/EMS. (does not have to be at VR entry time)	M		
F.2.1.3.2	Upon request from the county VR/EMS, system must retrieve and provide the signature image to the requesting NYSVoter, both individually and as part of a batch.	M		
F.2.1.3.3	Associate Signature Image with VR Record – NYSVoter shall provide the ability to link and re-link card and signature image data to an existing voter record.	M		
F.2.1.3.4	Signature Images from VR – Signatures will need to be captured from voter registration forms and.	M		
F.2.1.3.5	Ease of Signature Comparison – The signatures shall be stored in a way to enhance speed of display. NYSVoter shall provide functionality to assist data entry operators to visually verify that the captured signature is from the correct voter or applicant's document before finally associating the signature image to the voter registration/applicant's database record.	M		
F.2.1.4	Images in Format – The scanned images shall be in a standard, non-proprietary format.	M		Y
F.2.1.5	Capabilities and Restrictions of Image Editing – NYSVoter shall provide users with the ability to de-skew, rotate by single degrees or more, and de-speckle all scanned signature images. NYSVoter shall not allow the authorized user to modify the basic characteristics, structure, and recognizable format of the registrant's signature.	M		Y

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Requirement #	NYSVoter Requirement	Requirement Category (M, D, or TBD)	NYSVoter I Meets?	Requires County EMS Remediation
F.2.1.6	NYSVoter shall track and maintain voter registration status, e.g. pending, active, inactive, canceled.	<b>M</b>	<b>Y</b>	
F.2.1.7	NYSVoter shall store and track unverified registrations and provide notice to counties of missing/invalid information for their resolution.	<b>M</b>	<b>Y</b>	
F.2.1.8	NYSVoter shall support eligibility determination of voter registrants.	<b>M</b>	<b>Y</b>	
F.2.1.8.1	NYSVoter shall verify whether the registrant will be at least 18 by any upcoming election. If so, NYSVoter will flag registrant as pending until that election.	<b>M</b>		
F.2.1.9.2	NYSVoter shall have the ability to process voter registrations entered in County VR/EMS system for registrants who are not 18 at the time of entry into the County VR/EMS system (i.e. send registration in early and county enters inactive registration) but will be 18 by election day (for inclusion in poll books).	<b>M</b>		<b>Y</b>
F.2.1.8.3	<i>Change of Political Party Enrollment</i> - Allow for voter registration political party future change to be captured and made effective at a future date, but not disclosed until that future date.	<b>M</b>		
F.2.1.8.4	NYSVoter shall have the ability to process a voter registrant transaction for registrants who change party affiliation according to NYS Election Law (i.e. voter cannot vote in a primary after the party affiliation change if they registered after the last day to register in the previous year).	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.1.9.2	NYSVoter and remediated county VR/EMS system shall allow for exception processing of registrations that do not process completely and automatically, allowing county election officials to resolve any issues in order to accept the registration or officially deny it (e.g., missing/invalid information)	<b>M</b>		<b>Y</b>
F.2.1.9.1	NYSVoter will store and track unverified registrations, and provide notice to counties of missing/invalid information for their resolution.	<b>M</b>		<b>Y</b>
F.2.1.10	NYSVoter shall check ID and if it is determined that voter has no verified ID, county is so notified. If voter is a first time voter with no verified ID, county VR/EMS shall flag voter as requiring ID resolution in order to vote and this flag shall be recorded in NYSVoter.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.1.10.1	When transactions fail, NYSVoter must respond to the county system, providing notice of the failure and its cause(s). Further, a mechanism for notifying a county VR/EMS when a transaction sent from the county is not received by NYSVoter shall be implemented and the ability to re-send transactions from the county VR/EMS shall be implemented (i.e. ACK/NACK).	<b>M</b>		<b>Y</b>
F.2.1.11	NYSVoter must maintain a transaction history associated with each registrant that is a record of changes made to a registration record. NYSVoter must maintain a record history for every transaction associated with an applicant, beginning at the point an application is received. This must include each of the changes made and reasons therefore. The transaction history must include a date and time stamp to record the date of change and the ID of the individual and system that updated the record as well as key data elements that were changed.	<b>M</b>		<b>Y</b>

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Requirement #	NYSVoter Requirement	Requirement Category (M, D, or TBD)	NYSVoter I Meets?	Requires County EMS Remediation
<b>F.2.2</b>	<b>Data Collection from County VR/EMS</b>			
F.2.2.1	NYSVoter must minimize interference with data entry and maintenance activities on county VR/EMS systems by remaining in the background throughout these activities.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.2.2	NYSVoter shall support near real-time data entry and interfacing between NYSVoter and county VR/EMS systems.	<b>M</b>		<b>Y</b>
F.2.2.2.1	Transaction Confirmations - Provide confirming messages on acceptance of every transaction.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.2.3	Flag VR Records - NYSVoter shall allow authorized county users to enter an indicator showing that research on a record is being performed and the record being searched may not be valid.	<b>M</b>		<b>Y</b>
<b>F.2.3</b>	<b>DMV/SSA Verification</b>			
F.2.3.1	NYSVoter shall provide the ability to check by driver license or non-driver number for a previously existing voter registration record in NYSVoter.	<b>M</b>	<b>Y</b>	
F.2.3.2	NYSVoter shall provide the ability to check by driver license or non-driver number or SSN4 in the DMV records for ID verification.	<b>M</b>	<b>Y</b>	
<b>F.2.4</b>	<b>Voter Registration Finalization</b>			
F.2.4.1	NYSVoter shall assign a unique identifier to every registered voter.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.4.1.1	NYSVoter shall the ability to assign a unique identifier that will remain with the voter for their voting life.	<b>M</b>		
F.2.4.2	NYSVoter shall store the registrant's home political subdivision(s).	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.4.2.1	NYSVoter will accept district assignments provided by counties with county-entered registrations.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.2.4.3	NYSVoter will electronically notify the county VR/EMS with a response that includes confirmation of the transaction, an assigned unique identifier and registration status in NYSVoter.	<b>M</b>		<b>Y</b>
F.2.4.4	NYSVoter shall notify the "to" county and "from" county if a voter has moved his/her registration between the counties.	<b>M</b>		<b>Y</b>
F.2.4.4.1	NYSVoter shall facilitate the move process if the "to" county has been informed of the registrant's "from" county on the voter registration form or from the registrant to avoid any exception processing from NYSVoter (e.g. marking the registration as a potential duplicate).	<b>M</b>		<b>Y</b>
F.2.4.4.2	For registration changes involving a move from one county to another, the transaction will be handled as an exception with appropriate notices sent to each county involved for final resolution.	<b>M</b>		<b>Y</b>

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F.2.4.4.3	In the case of an apparent duplicate, NYSVoter shall flag the records and notify the counties of a possible move. The affected counties will determine if a move has occurred between counties. Where both counties definitively determine that a move has occurred between counties, based upon a match of an applicant's name, date of birth, signature and either the state or federal ID number or matching of the previous address of the voter, the "from county" will cancel their voter record and the "to county" will activate a new record and transfer the unique identifier. In all other cases of an apparent duplicate, the "from county" will inactivate their voter record and the "to county" will activate a new record.	<b>M</b>	<b>Y</b>	<b>Y</b>
<b>F.3</b>	<b>VOTER REGISTRATION LIST MAINTENANCE</b>			
<b>F.3.1</b>	<b>Voter Status and Classification Updates (Active, Inactive, Canceled, etc.)</b>			
F.3.1.1	NYSVoter shall provide the ability to identify and track all registered voters regardless of status per HAVA, NYS law and SBOE rules and regulations.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.2	NYSVoter shall have the capability to map status codes and reason codes from county VR/EMS systems into the NYSVoter.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.2.1	NYSVoter shall allow a county election official to designate a voter as inactive, noting the reason for the designation, such as "election material mailed to registrant returned as undeliverable" or "moved with an out of county forwarding address", "affidavit ballots".	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.2.2	NYSVoter shall have the ability to record and track NCOA activities such as identification of new address and provide notification to the appropriate county.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.2.3	NYSVoter shall allow a county election official to reactivate an inactive voter and record the reason for doing so.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.3	NYSVoter shall allow a county election official to cancel a voter registration based upon specific NYS Election Law and county BOE business rules and NYSVoter shall capture reasons for cancellation.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.1.4	NYSVoter shall have the capability to store and inquire on absentee status (e.g. permanents) (for future use pending policy).	<b>M</b>		<b>Y</b>
<b>F.3.2</b>	<b>External Agency Updates (New/Re-Registration Activity, Death, Felon Status)</b>			
F.3.2.1	NYSVoter shall have the ability to receive death notification from DOH and NYCDOH. Upon full implementation, NYSVoter shall be matched against the SSA Master Death Index. Notification shall be sent to the appropriate county for follow-up and determination.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.2.2	NYSVoter shall have the ability to receive felon and mentally incompetent notification from OCA. Notification shall be sent to the appropriate county for follow-up and determination.	<b>M</b>	<b>Y</b>	<b>Y</b>
F.3.2.3	NYSVoter may receive data from DMV regarding license surrenders. Notification shall be sent to the appropriate county for follow-up and determination.	<b>D</b>	<b>Y</b>	<b>Y</b>
F.3.2.4	NYSVoter shall track and flag potential felon, mentally incompetent or deceased voters to allow SBOE to monitor county resolution of these voters.	<b>M</b>	<b>Y</b>	<b>Y</b>
<b>F.3.3</b>	<b>Duplicate Checking</b>			

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Requirement #	NYSVoter Requirement	Requirement Category (M, D, or TBD)	NYSVoter 1 Meets?	Requires County EMS Remediation
F.3.3.1	NYSVoter shall perform a near real time duplicate check to identify existing records at or near the time of data entry for new registration transactions.	M		
F.3.3.2	Ability to perform ad-hoc duplicate checks on demand based on a variety of user defined criteria sets, including phonetic, transposition and like spelling matches. Such checks may be statewide or customized for specific regions (multi-county), and must be conducted weekly.	M	Y	
<b>F.3.4</b>	<b>Coding Accuracy Support NYVoter (CASS) Standardization</b>			
F.3.4.1	NYSVoter shall provide the ability to ensure that the registrant address used for mailing voter materials conforms to USPS standards for optimum mailing rates. (USPS certifies that the list has been cleaned via NCOA process and therefore gets CASS certification.)	M	Y	Y
F.3.4.1.1	NYSVoter should have the capability to process registrant addresses against USPS CASS to determine standardized address for optimal mailing rates.	M	Y	Y
F.3.4.1.2	NYSVoter should separately store the CASS (or other USPS) optimized address for mailing purposes (in addition to the registrant's designated residence and mailing addresses.)	M	Y	Y
F.3.4.1.3	Counties should have the capability to access/download/retrieve these USPS standardized addresses.	M	Y	Y
F.3.4.2	NYSVoter shall provide the ability to ensure that in rural areas where USPS standards are not sufficient, a registrant address conforms to a standard acceptable to the county.	M	Y	Y
<b>F.3.5</b>	<b>Bulk Record Updates</b>			
F.3.5.1	NYSVoter shall provide the ability to process bulk voter registration record updates from counties (e.g., reprecincting, street name changes, area code and zip code changes) and update the State official voter registration records accordingly.	M	Y	Y
<b>F.3.6</b>	<b>Districting</b>			
F.3.6.1	NYSVoter shall have the ability to track and keep up to date official district information maintained in county VR/EMS systems.	M	Y	Y
<b>F.4</b>	<b>ELECTION PROCESSING</b>			
<b>F.4.2</b>	<b>Voter History Updating</b>			
F.4.2.1	NYSVoter shall store whether a voter voted in an election (State, federal, and local elections) after it is captured in the County VR/EMS systems.	M	Y	Y
<b>F.5</b>	<b>REPORTS</b>			
<b>F.5.1</b>	<b>Data Analysis and Management Reporting</b>			
F.5.1.1	NYSVoter shall provide the ability to generate pre-defined and ad-hoc queries and reports in formats as needed	M	Y	
F.5.1.1.1	NYSVoter shall provide a 3rd party reporting tool (e.g. query by example) for ad hoc reporting requests	M	Y	
F.5.1.2	NYSVoter shall provide standard reports that can be easily selected from NYVoter menu by authorized users	D	Y	
F.5.1.3	NYSVoter shall provide the ability to filter reports based on key data fields contained in the output such as date, county, etc.	M	Y	

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F.5.1.4	NYSVoter shall provide the ability to generate a computerized statewide voter registration list that is single, uniform, official, centralized, interactive, defined, maintained and administered at the State level, and contains the name and registration information of every legally registered voter in the State.	M	Y	
F.5.1.5	NYSVoter shall generate the official voter registration list for the conduct of all federal, State and local elections in the State.	M	Y	
F.5.1.6	NYSVoter shall allow state and county users to conduct user-defined searches of the new NYSVoter database.	M	Y	Y
F.5.1.7	NYSVoter shall allow voter registration staff to establish data views, registrant status information, and statistical calculations to inform the decision-making process.	M		
F.5.1.7.1	The NYSVoter must provide the county VR/EMS System access to its data for generation of reports by the county system	M	Y	Y
F.5.1.8	NYSVoter shall provide the ability to sort voter registrant data by district/county, birth date, and other information (e.g., last name, first name, voter registration number, address order).	M	Y	
F.5.1.9	NYSVoter shall provide the ability to compile and report on voter registration changes by registration source in compliance with National Voter Registration Act (NVRA) requirements.	M		
F.5.1.10	NYSVoter shall provide the ability to compile and report on voter registration statistics by party and political district at specific times in compliance with NYS Election Law.	M	Y	
F.5.1.11	NYSVoter shall provide the ability to compile and report on registration data for redistricting purposes.	M	Y	
F.5.1.12	NYSVoter shall provide the ability to compile and report registration data to judicial districts for use in compiling jury pools according to user defined parameters.	M	Y	
F.5.1.13	NYSVoter shall notify the county of all new or updated registrations processed by the state database on a given day (e.g. query by function).	M	Y	Y
F.5.1.14	NYSVoter shall sync with county VR/EMS systems prior to county printing of poll books.	M	Y	Y
F.5.1.15	NYSVoter shall have the ability to produce a report to monitor county file maintenance and resolution of duplicate, felon, mentally incompetent or deceased voters (refer to business requirement F.3.2.4).	M	Y	
<b>F.5.2</b>	<b>Public Service Requests (PSR) Response</b>			
F.5.2.1	NYSVoter shall provide the ability to compile and provide extracts of voter registration data in a variety of formats to qualified users in compliance with NYS Election Law. These may include all or part of the registrant data as appropriate and legally qualified. (For instance, a candidate for a district is only entitled to the registrants within that district.)	M	Y	
F.5.2.1.1	NYSVoter shall provide the ability to compile and provide electronic extracts of registrant data as requested by the purchaser.	M	Y	
F.5.2.1.2	NYSVoter shall provide the ability to compile and provide extracts of registrants sorted by address (e.g., for District Walking Lists).	M	Y	
F.5.2.1.3	NYSVoter shall provide the ability to compile and provide extracts of registrant data formatted for mailing labels.	M		



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<b>F.5.3</b>	<b>Registrant Inquiries</b>			
F.5.3.1	NYSVoter should allow individuals to access to the following information about themselves, including but not limited to:	<b>M</b>		
F.5.3.1.2	Registration status	<b>M</b>		
F.5.3.1.3	Party affiliation	<b>M</b>		
F.5.3.1.4	Assigned district	<b>M</b>		<b>Y</b>
F.5.3.1.5	Assigned polling place	<b>M</b>		<b>Y</b>
F.5.3.1.6	Absentee status	<b>M</b>		
F.5.3.1.7	Whether their provisional ballot was counted for any election, and if not, why not.	<b>M</b>		<b>Y</b>
F.5.3.2	Access must be restricted in such a way that only the individual voter can access their own data.	<b>M</b>		