Checklist for Minimum Security Procedures for Voting Systems
1S-2.015 Section 101.015(4),F.S.

County: _____

Date Received: **xx/xx/xxxx** Start review date: **xx/xx/xxxx** End review date: **xx/xx/xxxx**	
Reviewed by: _____ Signature: _____ Date : **xx/xx/xxxx**	
Reviewed by: _____ Signature: _____ Date : **xx/xx/xxxx**	

Requirement Addressed

	REFERENCE #	REQUIREMENT	Yes/No/NA	PAGE #
		1. Purpose: This checklist provides the objective evidence of the review		
		2. Definitions		
		3. Filing of Security Procedures		
		Date this security procedures document was filed with the Division of Elections(DOE)		
		Date of commencement of early voting (EV) for which these revisions will apply		
	3(b)	Have these revisions been submitted at least 45 days prior to the EV date?		
	3(c)	Are the revisions a result of an emergency situation or other unforeseen circumstance?		
	3(c)	If revised for emergency situation/unforeseen occurrence, are reason(s) provided?		
	3(c)	Did SOE submit revision to DOE within 5 days that revision to security procedures document was made?		
		4. Review of Security Procedures		
1		Do these procedures meet the minimum requirements set forth in this rule?		
2	4(a)1	Did DOE complete review within 30 days of the date revisions to the security procedures were received from SOE?		
3	4(a)1	Did DOE notify SOE with findings within 5 days after completion of the review?		
4	4(a)2	Does DOE response include specific information regarding items which were found to be incomplete or those which do not otherwise meet provisions of rule?		
5	4(a)2	Did SOE provide required information to bring procedures into compliance within 30 days of the date of DOE review notice?		
6	4(a)2	Did DOE issue a notice of compliance or continued compliance within: either 10 days of receipt of updated information OR 10 days from the end of the 30 day period?		
7	4(a)3	Are the procedures temporarily approved because DOE could not complete review within 30-day timeframe?		
8	4(a)3	Has SOE been notified that procedures are temporarily approved because DOE could not complete review within 30-day timeframe?		
9	4(b)1	Is this review being conducted as a biennial (odd year) review, pursuant to Section 101.015(4)(b), F.S.? If "Yes", answer Question 10-12. If "No", skip to 22		
10	4(b)1	If review is due to a biennial year requirement, was SoE properly notified that the DoE would begin review based on version certified last by SoE, or the last revision on file, whichever occurred last?		
11	4(b)1	If review is due to a biennial year requirement, and the SoE was not properly notified that the DoE would begin review based on version certified last by SoE, or the last revision on file, whichever occurred last, why didn't the notification take place? Did the notification take place at a later date? WHY WASN'T SOE NOTIFIED?: _____ NOTIFICATION DATE (if applicable): _____		
12	4(b)1	If review is due to a biennial year requirement, was the review conducted during the first quarter (January 1 - March 31)?		
13	4(b)1	If review is due to a biennial year requirement and if it was not done during the first quarter (January 1 - March 31), when was the review conducted and why wasn't it done during the first quarter? REVIEW DATE: _____ WHY?: _____		
14	4(b)2	If review is due to a biennial year requirement and if the SoE was properly notified that would begin review based on version certified last by SoE, or the last revision on file, whichever occurred last, did the SoE respond within 15 days of DoE's notice by either recertifying the version on file or by submitting and certifying a revision or replacement version?		

15	4(b)3	If review is due to a biennial year requirement, did the DoE complete its review of the procedures no later than 90 days of beginning its the review?		
16		If "YES" to 4(b)3, did the DoE notify the SOE within 5 days of completion as to whether its county security procedures were in compilance with subsection (5)?		
17		If "NO" to 4(b)3, why wasn't the review completed within 90 days of the begin date? WHY?: _____		
18	4(b)4	If review is due to a biennial year requirement and if the DoE finds that procedures are incomplete and do not comply with subsection (5), does DOE response include specific information regarding items which were found to be incomplete or those which do not otherwise meet provisions of rule?		
19	4(b)4	If review is due to a biennial year requirement and if the DoE found that procedures were incomplete and did not comply with subsection (5), did SoE provide required missing/incompliant information no later than 30 days from the date of DoE notice?		
20	4(b)4	If review is due to a biennial year requirement and if the DoE found that procedures were incomplete and did not comply with subsection (5) and if SoE did not provide required missing/incompliant information within 30 days from the date of DoE notice, did SoE provide within that same timeframe, a status report and a plan including timeline for completing or bringing the procedures into compliance?		
21	4(b)4	If review is due to a biennial year requirement and if SoE provided either required information or status report and a plan including timeline for completing or bringing the procedures into compliance, did DoE issue a notice of compliance or continued noncompliance (whichever is applicable) within 10 days from the receipt of the supervisor's response?		
22	4(c)	Upon approval of security procedures by the DoE, did the supervisor submit within 15 days of DoE notification of compliance a copy of the approved version of the procedures that has all confidential and exempt information redacted from the procedures, along with the statutory citations for each redaction contained in the document? *** *NOTE: Security procedures will no longer be released as public record pursuant to section 282.318, Florida Statutes and to the U.S. Department of Homeland Security's designation of elections as a critical infrastructure. Therefore, submission of a redacted document is no longer required.*	**N/A**	
5. Standards for Security Procedures				
	5(a) Staffing and facilities security				
23		Do procedures have a description of the supervisor of elections' organization and physical facilities' security?		
24		Do procedures address chain of custody procedures and security measures to protect the integrity of the voting systems, election materials, and ballots?		
	5(b) Election Schedule Templates				
25		Do procedures include one or more schedule templates for each type of election [NOTE: Municipal Election schedule template may be included, but is not required]?		
26	5(b)	Does the election schedule template begin at least 90 days prior to each regularly scheduled election and 20 days before the date of a special election? [NOTE: The supervisor is not required to provide a previously submitted schedule template before an election unless changes have been made since the prior submission]		
27	5(b)	If SoE has revised the election schedule template, was it properly submitted at least 45 days before EV begins (pursuant to #3(b))?		
	5(b)	The election schedule template shall contain the following:		
28	5(b)1	A list of all tasks necessary to conduct the election		
29	5(b)2	Legal deadline, where applicable, or tentative date each task is to be completed		
	5c Ballot preparation procedures must include the following:				
30	5c	Steps necessary to ensure that all ballots contain the proper races, candidates and issues for each ballot variation		
31	5c	Steps necessary to ensure successful tabulation of ballots		
32	5(c)1	Assignment of unique marks or other coding necessary for identifying ballot variations or precincts		
33	5(c)2	Steps to verifiy that unique marks or other coding necessary for tabulation are correct		

34	5(c)3	Description of method used to verify that all ballots and ballot variations are accurately prepared and printed		
	5(d)	**Filing of election information**		
		Description of the process for filing a copy of the information used within the election management system to define the tabulation/reporting instructions for each election regardless of filings for prior elections, including the following:		
35	5(d)1	A copy of the election database used to define the election		
36	5(d)2	A DS-DE 132 Form completed by an individual who created the election database and definition IF the individual is not an employee of the SoE		
	5(e)	**Preparation and configuraton of Tabulation system**		
	5(e)1	Do the procedures relating to the preparation and configuration of the tabulation system include the following:		
37	5(e)1a	Description of tests for 100% of voting system components that will be used in the election, after conclusion of maintenance and programming, including Americans with Disabilities Act (ADA) voting devices, early voting devices, precinct voting devices, and absentee voting devices, and the procedures for verification of correctness		
38	5(e)1b	Description of how tabulation systems will be secured		
39	5(e)2	Description of test materials utilized and the voting system tests performed prior to the conduct of the public logic and accuracy tests		
	5(f)	**Public logic and accurary test**		
		Description of the following aspects of logic and accuracy testing of all automatic tabulating equipment publicly tested as required by Section 101.5612, F.S.:		
40	5(f)1	Each component of the test performed including the test materials utilized for early voting devices, precinct voting devices, and absentee voting devices		
41	5(f)2	Ballot test decks and pre-audited results		
42	5(f)3	Procedures for sealing, securing, and retaining the programs, ballots, test results, other test materials, and records of proceedings		
	5(g)	**Pre-election steps for voting systems**		
		Description of the process for sealing & securing the voting devices on Election Day and daily during the early voting period. Description includes:		
43	5(g)1	Process for identifying electronic media type such as memory packs, compact flash cards, PC Cards or PCMCIA cards, and any instrument used to activate a voting machine, including:		
44	5(g)1a	Process to create and maintain an inventory of all electronic media		
45	5(g)1b	Chain of custody process and procedure for identifying, documenting, handling, and tracking electronic media from the point of collection or transfer from their storage location, through election coding, through the election process, to their final post-election disposition and return to storage		
46	5(g)2	Process for establishing/maintaining a secure location for storing the electronic media when not in use, for coding an election, for creating the election media, for transferring and installing the election media into the voting device, and for storing these devices once the election parameters are loaded		
47	5(g)2a	Process to ensure that no election media is left unattended or in an unsecure location once it has been coded for an election. If applicable, coded election media must be immediately loaded into the relevant voting device, logged, and made secure or must be placed in a secure and controlled environment and inventoried		
48	5(g)2b	Process to ensure that election media is sealed in its relevant voting device or container utilizing one or more uniquely identified tamper-resistant or tamper-evident seals, that there is a combined master tracking log of the voting device, election media, and seal(s), and, if applicable, that election media that are device independent (e.g, voter card encoders) devices are stored in a secure, sealed container and are identified on the master tracking log		
49	5(g)2c	Process for maintaining and tracking custody of voting devices once they are loaded with an election definition, including information regarding the chain of custody, which must specifically provide for identifying, documenting, handling, and tracking of devices from the point of loading to final post-election disposition		

50	5(g)3	Recovery plan to be followed in the event of a security breach of the accountability and chain of custody procedures, as well as the process for ensuring that a security breach was confirmed by more than one individual		
51	5(g)4	Training plan for relevant election officials, staff, and temporary workers that addresses these security procedures and the relevant work instructions		
	5(h)	**Ballot distribution**		
		Information for marksense ballots or paper outputs from a hybrid voting system, including on Election Day and during the early voting period, procedures include the following:		
52	5(h)1	Description of how the number and variations of ballots required by each precinct is determined		
53	5(h)2	Description of the method for securing the ballots		
54	5(h)3	Description of the process for distributing the ballots to precincts, to include an accounting of who distributed and who received the ballots, the date, and how they were checked		
	5(i)	**Distribution of precinct equipment**		
55		Information regarding the distribution of precinct equipment		
	5(j)	**Election Board Duties**		
	5(j)1	Description of Election Board duties on Election Day and during the early voting period with regard to marksense ballots or paper outputs from a hybrid voting system, including provisional ballots, including the following:		
56	5(j)1a	Process for verifying that the correct number of precinct ballots were received, and that they are the proper ballots for that precinct		
57	5(j)1b	Process for verifying the operability or readiness of the voting devices		
58	5(j)1c	Process for checking and sealing the ballot box		
59	5(j)1d	Description of how unscanned and spoiled ballots are handled		
60	5(j)1e	Description of how write-in and provisional ballots are handled		
61	5(j)1f	Accounting for all ballots and paper outputs from a hybrid voting system after the polls close		
	5(j)2	Description of Election Board duties on Election Day and during the early voting period with regard to voting devices, including the following:		
62	5(j)2a	Process for verifying the identification numbers, seal numbers, and protective counter numbers, if available, of precinct tabulation and/or voting devices		
63	5(j)2b	Process for checking the operability or readiness of the voting device		
64	5(j)2c	Process for verifying that all counters except protective counters are set at zero on each voting device		
65	5(j)2d	Securing a printed record from each voting device, if applicable;		
66	5(j)2e	Checking the correctness of the ballot;		
67	5(j)2f	Preparing voting devices for voting;		
68	5(j)2g	Verification when other than electronic or other means are used to track a voter during the voting process that the correct number of voter authorization slips were received;		
69	5(j)2h	Checking and sealing the voter authorization slips container(s) if voter authorizations slips were used;		
70	5(j)2i	Handling write-in ballots;		
71	5(j)2j	Handling voting system malfunctions;		
72	5(j)2k	Process for securing voting machines at the close of the polls (including the close of each early voting day) to prevent further voting		
73	5(j)2l	Process for accounting for voter authorization slips received, if applicable		
74	5(j)2m	Process for recording and verifying votes cast		
	5(k)	**Transport of ballots and/or election materials**		
		Description of the process used for transport of ballots and/or election media, to include the steps ensuring a complete written record of the chain of custody of ballots, paper outputs from a hybrid voting system, and election materials on Election Day and during the early voting period, including the following:		
75	5(k)1	Description of the method and equipment used to transport all ballots, paper outputs from a hybrid voting system, and/or election materials		

76	5(k)2	Method of recording names of the individuals transporting ballots and/or election materials from one site to another and the time they left the sending site		
77	5(k)3	Method of recording the time individuals transporting ballots, paper outputs from a hybrid voting system, and/or election materials arrived at the receiving site and name of individual at the receiving site who accepted ballots, paper outputs from a hybrid voting system, and/or election materials		
	5(k)4	Description of process used create and maintain a secure location for storing and transporting voting devices once the election definitions are loaded, including procedures to be used at locations outside the direct control of the SoE, such as overnight storage at a polling location or early voting site, including the following:		
78	5(k)4a	Process for creating and maintaining an inventory of voting devices for each storage location, for each election		
79	5(k)4b	Description of the chain of custody process for identifying, documenting, handling, and tracking of voting devices from the point of storage to transfer to final disposition or when the voting devices have been left unattended for any length of time, including information about verifying the integrity of tamper-resistant or tamper-evident seals		
80	5(k)5	Recovery plan to be followed in the event of a security breach of the accountability and chain of custody procedures. Plan includes a process for dealing with inadvertent damage to seals or accountability/chain of custody documentation errors and a process for ensuring that a security breach, documentation errors, or seal damage are to be confirmed by more than one individual		
81	5(k)6	Training plan for relevant election officials, staff, and temporary workers that addresses these security procedures and the relevant work instructions		
	5(l)	**Receiving and preparing voted ballots**		
		Description of the process of receiving and preparing paper outputs from a hybrid voting system and voted ballots, including provisional ballots, election data and memory devices to include the following:		
82	5(l)1	Description of the process used to verify that all ballot containers are properly secured and accounted for and that the seal numbers are correct		
83	5(l)2	Description of the process used to verify/reconcile that ballot container(s) for each precinct contain paper outputs from a hybrid voting system, unused ballots, and voted ballots, including provisional ballots, unscanned ballots, spoiled ballots, and write-in ballots as shown to exist on the forms completed by each election board for that purpose		
84	5(l)3	Description of the process used to inspect marksense ballots or paper outputs from a hybrid voting system to identify those that must be duplicated or upon which voter intent is unclear, thus requiring a determination by the Canvassing Board, including the process for keeping a record of which marksense ballots or paper outputs from a hybrid voting system are submitted to the Canvassing Board and the disposition of those marksense ballots or paper outputs		
85	5(l)4	Description of the process for duplicating and recording the voted marksense ballots or paper outputs from a hybrid voting system which are damaged or defective		
	5(m)	**Tabulation of vote**		
	5(m)1	Description for each step of the ballot tabulation process on Election Day and daily during the early voting period, including the following:		
86	5(m)1a	Counting and reconciliation of voted marksense ballots or paper outputs from a hybrid voting system		
87	5(m)1b	Processing, tabulation and accumulation of voted ballots and election data		
88	5(m)1c	Processing and recording of all write-in and provisional ballots		
89	5(m)1d	Process for handling unreadable ballots		
90	5(m)1e	Description of backup and recovery of tabulated results and voting system programs		
91	5(m)1f	Procedure for public viewing of the accumulation process and access to results		
92	5(m)2	Description of each step of ballot tabulation during the early voting period		
	5(m)3	Description of each step of the ballot tabulation process in the precincts on Election Day, including the following:		
93	5(m)3a	Printing of precinct results and results from individual tabulating devices		
94	5(m)3b	Processing and recording of write-in votes		

95	5(m)3c	Endorsing the precinct results by the Election Board		
96	5(m)3d	Posting a copy of precinct results		
97	5(m)3e	Transport of precinct results to central or regional site		
98	5(m)3f	Consolidation of precinct and provisional ballot results		
99	5(m)3g	Process for public viewing of the accumulation process and access to results		
100	5(m)4	Procedure for resolving discrepancies between the counted ballots and voted ballots and any other discrepancies found during the accumulation process		
	5(n)	**Electronic access to voting systems**		
		Identification of all methods of electronic access to the vote tabulation system, including on Election Day and daily during the early voting period, as well a the procedures for authorizing electronic access and specific functions, and specifying methods for detecting, controlling and reporting access to the vote tabulation system, also including the following:		
101	5(n)1	Procedure to ensure that default or vendor supplied passwords, encryption keys, or other identifiers have been changed and the following:		
102	5(n)1a	Access control keys/passwords are maintained in a secured and controlled environment and individual(s) with access to these items have been delineated		
103	5(n)1b	Discretionary authority to grant individuals the access to change encryption keys and passwords has not been delegated to anyone other than the SoE.		
104	5(n)1c	Method for maintaining 'user control' access within the election management system and/or equipment. (i.e. where applicable, an individual's access is limited to certain menus, software modules, or other component of the voting system)		
105	5(n)2	Process for governing access to any device, election media, or election management system with a requirement to use an encryption key		
106	5(n)3	Training plan for relevant election officials, staff, and temporary workers that addresses these security procedures and the relevant work instructions		
	5(o)	**Absentee ballot handling**		
		Description of the process for absentee ballot handling to include the following:		
107	5(o)1	Process for determining and verifying absentee ballot variations		
108	5(o)2	Process to assure voters are issued the proper absentee ballot		
109	5(o)3	Process for receipt of absentee ballots by mail or other methods permitted by law and security measures in place to ensure safekeeping and timely receipt by the SoE		
110	5(o)4	Process for precluding voters from voting at the polls and casting an absentee ballot		
111	5(o)5	Process for opening valid absentee ballots in preparation for tabulation		
112	5(o)6	Process for recording the receipt of all absentee ballots, including regular absentee ballots, State write-in ballot, and Federal write-in ballots, and process for determining which ones should be counted if more than one per voter is received		
113	5(o)7	Description of the security measures for transporting, collecting, and storing blank and voted absentee ballots and related materials prior to and after an election, including but not limited to physical security, chain of custody, secured access, and monitoring		
	5(p)	**Ballot Security**		
114		Description of ballot accountability & security measures, beginning with their receipt from a printer or manufacturer until such time as they are destroyed, including physical security procedures employed on Election Day & during the early voting period & identities of all individuals who have authorized access and individuals who have the authority to permit access		
	5(q)	**Voting system maintenance and and storage**		
115	5(q)1	Description of maintenance and testing performed on all components of the system to assure that it is in proper working order and is within manufacturer's operating specifications including on Election Day and during the early voting period. Procedures shall also describe storage and nonoperational maintenance of all voting devices.		
116	5(q)1	Description of storage and nonoperational maintenance of all voting devices.		

117	5(q)2	Description of the process used to update anti-virus software installed on the election management system, including the timeframe and method for updating the software NOTE: If a system does not have anti-virus software, disregard this item as it is not a requirement.		
	5(r)	**Post-election audit**.		
		The security procedures shall include, at a minimum, the following:		
118	5(r)1	Description of the method for the random selection of the races and precincts for a manual audit or automated independent audit, or both		
119	5(r)2	Description of the method for the random selection in the event that municipal or other local elections are held on the same day (as Election Day) and the Canvassing Board certifies the elections, if applicable		
120	5(r)3	Description of the method to determine the ballot count, segregated by ballot type, of the random selection		
121	5(r)4	Description of the method used to ensure the public does not interfere or otherwise disturb the audit		
122	5(r)5	Description of the method for determining the security of ballots, paper outputs from a hybrid voting system, chain of custody controls, protocols for authorized access, and secure storage of ballots and paper outputs from a hybrid voting system, that may be used in an audit		
	6. FORM DS-DE 132	DS-DE 132 information is shown in 5(d)2		