

Standards and Compliance Checklist for County Minimum Security Procedures

County: _____ Date Last Revised: _____

Standards Requirements		Page number(s) where standards requirement can be found in county procedures
(5)(a)	Staffing, training, and facilities security	
1.	Describe the Supervisor of Elections' organization and physical facility(ies) security.	
2.	Describe the training plan pertaining to physical facility(ies) for all relevant election officials, staff, and temporary workers.	
(5)(b)	Pre-election requirements	
(5)(b)1.	Voting system maintenance and storage	
a.	Describe the maintenance and testing performed on all voting system components to ensure that the system is in proper working order and that it is functioning per manufacturer's operating specifications.	
b.	Describe the storage and nonoperational maintenance of all voting system components.	
c.	Describe how all components of the voting system will be secured.	
d.	Describe the chain of custody process to send, receive, conduct acceptance testing, and secure all components of the voting system which have been sent offsite to vendors for repair or maintenance.	
e.	Describe any certified antivirus software that has been installed on the voting system's election management system's computing equipment, including timeframe and method for installing software updates.	
(5)(b)2.	Voting system devices, elections storage media, maintenance, and storage	
a.	Describe the process for sealing and securing all voting devices on Election Day and each day of the early voting period.	
b.	Describe the process to create and maintain an inventory of all elections storage media, as well as all instruments used to activate all components of the voting system.	
c.	Describe the chain of custody process for identifying, documenting, handling, and tracking elections storage media from the point of collection or transfer from a storage location, through election coding and the election process, to post-election disposition, and return to storage. Include detailed information explaining the process to verify that no elections storage media is left unattended or in an unsecure	

	location, and to ensure that this media is inventoried, logged, and placed in a secure, controlled environment.	
d.	Describe the process for ensuring any elections storage media prepared for an election is free of malicious software.	
e.	Describe the process for maintaining a secure location for elections storage media when it is not in use, when coding an election, when creating election definition media, when installing the election definition media on the voting device, and when storing media once the election definition is loaded on the voting device.	
f.	Describe the process for distributing voting system equipment to the precincts.	
g.	Describe the process used to ensure that elections storage media is sealed in its relevant voting device or container utilizing uniquely identified tamper-resistant or tamper-evident seals, include details regarding a master tracking log for each voting device, as paired with a device's specific election media, and seal(s) information.	
h.	Describe the chain of custody process for identifying, documenting, handling, and tracking voting devices from the time they are loaded with an election definition through the election process, to post-election disposition, and return to storage. Include detailed information explaining the process to verify that voting devices are never left in an unsecure location and that they are placed in a secure, controlled environment, including information about verifying the integrity of tamper-resistant or tamper-evident seals.	
i.	Describe the recovery plan to be followed in the event of a security breach of accountability and chain of custody procedures, as well as the process for ensuring that a security breach was confirmed by more than one individual. This plan must include a process for dealing with inadvertent damage to seals or accountability/chain of custody documentation errors.	
j.	Describe the training plan pertaining to voting systems devices, elections storage media, maintenance, and storage for all relevant election officials, staff, and temporary workers.	
(5)(b)3.	Electronic access to voting system	
a.	Identify all methods of electronic access to the voting system, as well as the procedures required for authorizing electronic access and specific functions, and specifying methods for detecting, controlling, and reporting access to the system.	
b.	Describe the process to ensure that the Supervisor of Elections' discretionary authority to grant individuals (<i>i.e.</i> , job titles) the authority to change encryption keys and passwords has not been delegated to anyone.	
c.	Describe the process to ensure that default or vendor supplied passwords, encryption keys, or other identifiers have been changed as appropriate.	

d.	Describe the process to verify that the system's access control keys/passwords are maintained in a secure and controlled environment and that individuals (<i>i.e.</i> , job titles) with access have been specifically delineated.	
e.	Describe the method for maintaining 'user control' access within the election management system and/or equipment, such that an individual's (<i>i.e.</i> , job titles) access is limited to certain menus, software modules, or components of the voting system.	
f.	Explain the procedure used to verify that all elections storage media used on the voting system is free of malicious software.	
g.	Describe the training plan pertaining to electronic access to the voting system for all relevant election officials, staff, and temporary workers.	
(5)(b)4.	Pre-election steps for voting systems	
a.	Describe the method used to ensure that 100% of the voting system components to be used in an election have been tested and found to be functioning accurately after the conclusion of annual maintenance and programming, including accessible voting devices, early voting devices, precinct voting devices, and vote-by-mail voting devices.	
b.	Describe the test materials utilized and the specific voting system tests performed prior to conducting the public logic and accuracy testing.	
(5)(b)5.	Ballot preparation procedures	
a.	Describe the process to verify that all ballots contain the proper races, candidates, and issues for each ballot variation.	
b.	Describe the process to verify the accuracy of the assignment of unique marks or other coding used to identify ballot variations or precincts.	
c.	Describe the method used to verify that all ballots and ballot variations are accurately prepared and printed.	
d.	Describe the process to verify proper tabulation of the unique marks or other coding used to identify ballot variations or precincts.	
(5)(b)6.	Ballot and election materials security—pre-election	
a.	Describe ballot accountability and storage measures, as well as specific security measures taken for ballots and election materials, beginning with creation, or receipt from a printer or manufacturer.	
b.	Identify the individuals (<i>i.e.</i> , job titles) who have authorized access to ballots and election materials and the job titles of individuals (<i>i.e.</i> , job titles) who have the authority to permit access.	
(5)(b)7.	Ballot distribution – marksense ballots and hybrid voting system paper outputs	
a.	Describe how the number and variations of ballots required by each precinct is determined for Election Day and during the early voting period.	
b.	Describe the method for securing and controlling access to ballots.	

c.	Describe the process for distributing the physical ballots to precincts, to include an accounting of who distributed and who received the ballots, the date, and how they were checked to ensure that the correct ballots were delivered to the correct polling place.	
(5)(b)8.	Public logic and accuracy test	
a.	Explain, in detail, each test performed, including information about the test materials used for early voting devices, precinct voting devices, and vote-by-mail voting devices.	
b.	Provide information about the ballot test decks and pre-audited results used in testing.	
c.	Describe the procedure used to seal, secure, and retain the election definition, test ballots, test results, and other test materials (if applicable), as well as the method used to maintain a record of the proceedings.	
(5)(b)9.	Filing of election information	
a.	Describe the process used to properly file, with the Florida Division of Elections, a copy of the election management system's L&A tested election database to be used in an election.	
b.	Provide, as appropriate, a DS-DE 132 Form completed by any individual who created the election database and definition IF the individual is not an employee of the Supervisor of Elections. <i>Form DS-DE 132 is available online at the Division of Elections website at: https://www.dos.myflorida.com/elections/forms-publications/forms. By request to the Division of Elections, R.A. Gray Building, Room 316, 500 South Bronough Street, Tallahassee, FL 32399-0250, or by contact at (850)245-6200</i>	
(5)(c)	Election	
(5)(c)1.	Transport of ballots and/or election materials	
a.	Describe the equipment and method used for recording the date, time, and names of individuals (<i>i.e.</i> , job titles) at a sending site who transported ballots, hybrid voting system paper outputs, and/or election materials to a delivery site.	
b.	Describe the equipment and method used for recording the date, time, and names of individuals (<i>i.e.</i> , job titles) at a delivery site who received the transported ballots, hybrid voting system paper outputs, and/or election materials.	
c.	Describe the process used to create and maintain a secure location for storing and transporting voting devices once election definitions are loaded, including procedures to be used at locations outside the direct control of the Supervisor of Elections.	
d.	Describe the process for creating and maintaining an inventory of voting devices, at each storage location, for each election.	
e.	Describe the training plan pertaining to the transport of ballots and/or election materials for all relevant election officials, staff, and temporary workers.	

(5)(d)	Election board duties	
(5)(d)1.	Early voting requirements	
a.	Describe ballot accountability and storage measures, as well as specific security measures taken for ballots and election materials during early voting.	
b.	Describe the process election workers perform to verify that the expected number of early voting ballots were received at an early voting site prior to the opening of polls.	
c.	Describe the process for verifying that a voter, choosing to vote at an early voting site, receives the correct ballot.	
d.	Describe the process for verifying the identification numbers, seal numbers, and protective counter numbers of voting devices used at early voting sites.	
e.	Describe the process for sealing or verifying the seals on the ballot box(es) used at early voting sites.	
f.	Describe the process for verifying the operability and readiness of voting devices used at early voting sites.	
g.	Describe the process for verifying that all counters except protective counters are set at zero on each voting device used at early voting sites.	
h.	Describe the process for securing a printed record, before polls open, from each voting device used at early voting sites, to ensure that there are no votes on the voting device (<i>i.e.</i> , zero tapes).	
i.	Describe how unscanned and spoiled ballots are handled at early voting sites.	
j.	Describe the process for accounting for and monitoring of vote-by-mail ballots deposited at a drop box at an early voting site location, Supervisor's office/branch office, or other site that qualifies as an early voting site, including: the process used to empty drop boxes, the method used to ensure that the vote-by-mail ballots are checked-in before the deadline; and the process by which the retrieved vote-by-mail ballots will be returned to the Supervisor of Elections office at the end of each day of early voting.	
k.	Describe the process for verification when electronic or other means, such as paper poll books or voter authorization slips/stubs, are used to track a voter during the voting process during early voting.	
l.	Describe the process for handling voting system malfunctions at an early voting site.	
m.	Describe the process for securing voting machines at the close of the polls to prevent further voting at an early voting site, including details regarding the process for the close of each early voting day.	
n.	Describe the process for accounting of all ballots and hybrid voting system paper outputs after the polls close at an early voting site.	

o.	Describe the process for sealing or verifying the seals on the voter authorization slips container(s) if voter authorizations slips were used during early voting.	
p.	Describe the process for recording and verifying votes cast (<i>i.e.</i> , ballot accounting forms, etc).	
q	<i>Tabulation of votes - early voting</i>	
(I)	Describe the daily process for counting and reconciliation of voted marksense ballots and hybrid voting system paper outputs during the early voting period.	
(II)	Describe the daily process for processing, tabulation, and accumulation of voted marksense ballots and hybrid voting system outputs and election data during the early voting period.	
(III)	Describe the method for processing and recording write-in and provisional ballots during the early voting period.	
(IV)	Describe the process for handling unreadable ballots during the early voting period.	
(V)	Describe the process for backup and recovery of tabulated results and voting system programs during the early voting period.	
(VI)	Describe the process for handling the results from each of the early voting tabulators.	
(VII)	Describe the process for endorsing the early voting results by the Election Board.	
(VIII)	Describe the process used to transport early voting results to the SOE central or regional site.	
(IX)	Describe the process used to handle provisional ballot results.	
(X)	Describe the process for public viewing of the poll closing process at early voting sites.	
(XI)	Describe the process for reconciling discrepancies between the unused, counted ballots (<i>i.e.</i> , tabulated) and voted ballots (provisional, unscanned, etc.) and any other discrepancies found during the accumulation process during early voting.	
(5)(d)2.	Election Day requirements	
a.	Describe ballot accountability and storage measures, as well as specific security measures taken for ballots and election materials on Election Day.	
b.	Describe the process election workers perform to verify that the expected number of precinct ballots were received at Election Day precincts, prior to the opening of polls, and that they are the correct ballots for that precinct.	
c.	Describe the process for verifying that a voter, choosing to vote on Election Day, receives the correct ballot.	

d.	Describe the process for verifying the identification numbers, seal numbers, and protective counter numbers, if available, of precinct tabulation and/or voting devices used at Election Day precincts.	
e.	Describe the process for sealing or verifying the seals on the ballot box(es) used at Election Day precincts.	
f.	Describe the process for verifying the operability and readiness of voting devices used at Election Day precincts.	
g.	Describe the process for verifying that all counters except protective counters are set at zero on each voting device used at Election Day precincts.	
h.	Describe the process for securing a printed record, before polls open, from each voting device used at Election Day precincts to ensure that there are no votes on the voting device. (i.e., zero tapes).	
i.	Describe how unscanned and spoiled ballots are handled at Election Day precincts.	
j.	Describe the process for accounting for and monitoring of vote-by-mail ballots deposited at a drop box at the Supervisor's office/branch office, including: the process used to empty drop boxes, the method used to ensure that the vote-by-mail ballots are checked-in before the deadline; and the process by which the retrieved vote-by-mail ballots will be returned to the Supervisor of Elections office at the end of Election Day.	
k.	Describe the process for verification when electronic or other means, such as paper poll books or voter authorization slips/stubs, are used to track a voter during the voting process at Election Day precincts.	
l.	Describe the process for handling voting system malfunctions at Election Day precincts.	
m.	Describe the process for securing voting machines at the close of the polls to prevent further voting at Election Day precincts.	
n.	Describe the process for accounting of all ballots and hybrid voting system paper outputs after the polls close at Election Day precincts.	
o.	Describe the process for sealing or verifying the seals on the voter authorization slips container(s) if voter authorizations slips were used at Election Day precincts.	
p.	<i>Tabulation of votes - Election Day</i>	
(I)	Describe the process for counting and reconciliation of voted marksense ballots and hybrid voting system paper outputs at Election Day precincts.	
(II)	Describe the method for processing and recording write-in and provisional ballots at the Election Day precincts.	
(III)	Describe the process for handling unreadable ballots at Election Day precincts.	
(IV)	Describe the process for backup and recovery of tabulated results and voting system programs on Election Day.	

(V)	Describe the process of the printing of precinct results and results from individual tabulating device. Additionally describe the process of recording and verifying votes cast (<i>i.e.</i> , ballot accounting forms).	
(VI)	Describe the process for endorsing the Election Day precinct results by the Election Board.	
(VII)	Describe the process used to post a copy of Election Day precinct results.	
(VIII)	Describe the process used to transport Election Day precinct results to the Supervisor of Elections central or regional site.	
(IX)	Describe the process for the consolidation of precinct and provisional ballot results.	
(X)	Describe the process for public viewing of the accumulation process.	
(XI)	Describe the process for reconciling discrepancies between the unused, counted ballots (<i>i.e.</i> , tabulated) and voted ballots (provisional, unscanned, etc.) and any other discrepancies found during the accumulation process.	
(5)(d)3.	Vote-by-mail ballot handling	
a.	Describe the security measures for transporting, collecting, and storing blank and voted vote-by-mail ballots and related materials prior to and after an election, including but not limited to physical security, chain of custody, secured access, and monitoring.	
b.	Describe the process for determining and verifying vote-by-mail ballot variations (<i>i.e.</i> , UOCAVA, state write-in, federal write-in, or stateside vote-by-mail ballots).	
c.	Describe the process used to verify that voters are issued the correct vote-by-mail ballot.	
d.	Describe the process for precluding voters from voting at the polls and casting a vote-by-mail ballot.	
e.	Describe the process used for receiving and recording the receipt of all vote-by-mail ballots, including regular vote-by-mail ballots, state write-in ballots, Federal write-in ballots, or other methods permitted by law and process for determining which ones should be counted if more than one per voter is received.	
f.	Describe the security measures in place to ensure safekeeping of vote-by-mail ballots by the Supervisor of Elections.	
g.	Describe the process for opening valid vote-by-mail ballots in preparation for tabulation.	
h.	Describe the process for recording and storing the voted marksense ballots or hybrid voting system paper outputs which were duplicated as a result of being damaged or defective.	
i.	Describe the process for allowing the public to examine vote-by-mail ballots prior to opening and processing.	
(5)(d)4.	Post-election (after 7 p.m. on Election Day) - receiving and preparing voted ballots	

a.	Describe the process for receiving and preparing hybrid voting system paper outputs and voted ballots, including provisional ballots, election data, and memory devices.	
b.	Describe the process used to verify that all ballot containers are properly secured and accounted for and that the seal numbers are correct.	
c.	Describe the process used to verify/reconcile that ballot container(s) for each precinct contain hybrid voting system paper outputs, unused ballots, and voted ballots, including provisional ballots, unscanned ballots, spoiled ballots, and write-in ballots as shown to exist on the ballot accounting forms completed by each election board for that purpose.	
d.	Describe the process used to inspect marksense ballots or hybrid voting system paper outputs 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 used for keeping a record of which marksense ballots or paper outputs are submitted to the Canvassing Board and the disposition of those marksense ballots or paper outputs.	
(5)(d)5.	Post-election audit	
a.	Describe the method for the random selection of races and precincts for a manual audit or automated independent audit, or both.	
b.	Describe the method for the random selection of races and precincts in the event that a separate municipal or other local election is held on the same day (as Election Day) and the Canvassing Board certifies the elections, if applicable.	
c.	Describe the method to determine the ballot count of the random selection, segregated by ballot type.	
d.	Describe the process used to allow the public to inspect the vote-by-mail ballots before moving forward with conducting the post-election audit.	
e.	Describe the method used to ensure the public does not interfere with or otherwise disturb the post-election audit.	
f.	Describe the method for ensuring the security of the ballots and hybrid voting system paper outputs, as well as the chain of custody controls, protocols for authorized access, and secure storage of ballots and hybrid voting system paper outputs that will be used in the audit.	
(5)(d)6.	Ballot and election materials security – post election	
a.	Describe the ballot accountability, storage, and security measures of ballots and election materials until such time as they are destroyed.	
b.	List of the individuals (<i>i.e.</i> , job titles) who have authorized access, and individuals (<i>i.e.</i> , job titles) who have the authority to permit access to stored election materials.	

