

STATE OF MAINE
Department of Department of the Secretary of State
Bureau of Corporations, Elections, and Commissions

REQUEST FOR INFORMATION

Accessible Voting System and UOCAVA Ballot Solution

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This RFI is non-binding, for the State and all interested parties, and no contract award will be made as a result of the RFI process. This document is for market research purposes only. All contact with the State regarding this RFI must be made through the aforementioned RFI Coordinator. No other person/State employee is empowered to make statements regarding this RFI.

Responses Due Date: July 7, 2015, 2:00 p.m. local time

Responses are to be submitted to:

Julie.Flynn@maine.gov

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PART I INTRODUCTION

A. Definitions and Abbreviations

The following are definitions for the stated terms and acronyms as they relate to this Request for Information:

- **AVS:** Accessible Voting System
- **COTS:** Commercial off-the-shelf
- **FOAA:** Maine Freedom of Access Act
- **HAVA:** Help America Vote Act of 2002
- **MOVE:** Military and Overseas Voter Empowerment Act
- **PDF:** Portable Document Format
- **Respondent:** Any individual or organization submitting a response to this RFI.
- **RFI:** Request for Information
- **RFP:** Request for Proposal
- **SaaS:** Software as a Service
- **UOCAVA:** Uniformed and Overseas Citizens Absentee Voting Act
- **VVPAT:** Voter Verifiable Paper Audit Trail

B. Purpose and Background

This Request for Information (RFI) is an information gathering and market research tool, not a formal solicitation of a specific requirement (such as in a “Request for Proposals” document). The Department of the Secretary of State (“Department”) is seeking information from interested parties regarding Accessible Voting Systems (AVS) with a companion or integrated solution for UOCAVA ballot delivery as defined in this RFI document. The Department is specifically interested in hearing from vendors with a proven solution that has been implemented and used successfully in one or more previous elections. This is an opportunity for interested parties to help the Department better understand a marketplace and/or specific subject matter.

State and federal elections in Maine are conducted in a manner common to the New England states, involving a cooperative effort between the State and local jurisdictions (“municipalities”); there is no county-level election administration. The Department has central authority to approve any voting systems used by the municipalities and the State and to centrally design, prepare, and distribute ballots for Federal, state and county offices and referenda to ensure that materials are consistent and meet all applicable election laws.

There are approximately 535 voting places throughout the State which require at least one set of AVS equipment to be available onsite during all federal and State elections for use by voters with disabilities. The State provides an AVS at each voting place to ensure that voters with disabilities

have the option to vote privately and independently. Since 2006, Maine's AVS has been the Inspire Vote-By-Phone™ system which uses a telephone to access an audio ballot and a telephone facsimile machine to generate a ballot marked according to the voter's selections. The AVS ballots currently are hand-counted at the voting place regardless of whether the municipality uses an optical scan tabulator to count other ballots. The Department would like the ability to scan and tabulate marked AVS ballots, as well as UOCAVA absentee ballots described below.

For State and federal elections, UOCAVA absentee ballots are issued and received centrally by the State Elections Division, where they are hand counted after polls are closed. In addition to the audio ballot which is accessed via telephone at the voting place, the AVS vendor provides the ability for Maine election staff to generate individual PDF ballots for every ballot style in the State. These PDF ballots are printed and mailed to UOCAVA voters who request a mailed ballot. The vendor also provides a web-based "software as a service" (SaaS) solution for UOCAVA voters who request their ballot electronically to log in and print the PDF ballot and supporting documentation such as an instruction sheet, voter affidavit, postage paid envelope facing, and a blank cover sheet for the ballot. The ballot and required affidavit may be returned to the Elections Division by mail, fax, or email. The Department provides the ability for UOCAVA voters to track the status of their absentee ballots online.

The State's AVS was selected in 2006 as part of an RFP process to implement accessible voting as required under HAVA. The RFP required that the contract could be renewed every other year for a total of eight (8) consecutive years. It is the Department's intention to author and publish an RFP later this year for the purpose of selecting an accessible voting and UOCAVA ballot solution. The purpose of this RFI is to gather information about existing solutions and technologies that may not have been available at the time of the initial RFP or have since been enhanced to provide additional functionality, security, and voter privacy.

C. General Provisions

1. This is a non-binding Request for Information (RFI). Therefore, no award shall be made as a result of the RFI process.
2. Issuance of this RFI does not commit the Department to pay any expenses incurred by a Respondent in the preparation of their response to this RFI. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
3. Issuance of this RFI in no way constitutes a commitment by the State of Maine to issue a Request for Proposal (RFP).
4. All responses should adhere to the instructions and format requests outlined in this RFI and all written supplements and amendments, such as the Summary of Questions and Answers, issued by the Department.
5. All submissions in response to this RFI will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 et seq.).
6. The Department, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in responses received by vendors in response to this RFI.
7. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer's/Vendor's responsibility to determine the applicability and requirements of any such laws and to abide by them.

PART II INFORMATION SOUGHT

Responses to this RFI should be entered into the Question & Answer Table in Appendix B. Various questions in the table will address the following requirements.

The AVS must:

- Comply with State and federal election laws and rules, including the error rate standards established under section 3.2.1 of the voting systems standards issued by the Federal Election Commission;
- Provide voters with disabilities the option of hearing and/or reading the ballot by presenting the ballot in both an aural and visual format;
- Allow voters with disabilities to accurately mark the ballot with their choices without requiring assistance;
- Generate a human-readable paper ballot that may be scanned and tabulated (optical, barcode, etc.);
- Ensure voter privacy in the voting place and anonymity during recounts;
- Prevent the voter from over-voting one or more contests prior to casting their ballot;
- Notify the voter when they have under-voted one or more contests prior to casting their ballot and provide them the opportunity to make a selection for any under-voted contests on the ballot;
- Provide the voter with the ability to mark a write-in candidate; and
- Provide a permanent paper record of tabulated votes with a manual audit capacity.

In addition, the respondent shall:

- Address any existing system rules and constraints for the creation of ballots used with the system (i.e. ballot size, weight of paper, digital formats, etc.);
- Explain whether the equipment and software are certified, or are in the process to become certified, under federal voting system standards and indicate the certification sought and where they are in the process;
- Describe the physical attributes of the equipment including the mechanism for marking ballots for accessible voting in the voting place, processing the ballots and placing them in the ballot box, handling ballots that cannot be fully processed (e.g. blank ballots, write-ins, etc.) and tabulating the ballots;
- Explain the method of handling technical support requests when these concern ballot preparation, the operation of equipment, and election programming of the equipment;
- Include a description of the available training and documentation for users of the system; and
- Describe any additional functionality or components of the system that would make it compatible with the ability to print sample ballots and the electronic transmission of UOCAVA absentee ballots.

PART III KEY RFI EVENTS

A. Timeline of Key RFI Events

Event Name	Event Date and Time
Due Date for Responses	July 7, 2015 at 2:00pm, local time

B. Submitting the Response

1. Responses Due

Responses must be received no later than the date and time listed in the timeline above.

2. Delivery Instructions

Responses must be submitted to the RFI Coordinator, via e-mail, listed on the cover page of this RFI document.

PART IV SUBMISSION REQUIREMENTS

This section contains instructions for Respondents to use in preparing their responses. It is requested that all responses follow the outline suggested below, including the numbering, section, and sub-section headings as they appear here. The Department seeks detailed yet succinct responses that demonstrate the Respondent’s experience and familiarity with the subject matter.

A. Response Format

1. Provide the response as an electronic copy submitted via email to the RFI coordinator listed on the cover page of this document.
2. Use the Question & Answer table in Appendix B to respond to each question. The table rows will expand to accommodate the answers provided.
3. For clarity, the response should be typed or printed. Responses should be single-spaced with 1” margins on white 8 ½” x 11” paper using a font no smaller than 12 point Times New Roman or similar.
4. All pages should be numbered consecutively beginning with number 1 on the first page of the narrative (this does not include the cover page or table of contents pages) through to the end, including all forms and attachments. For clarity, the Respondent’s name should appear on every page, including Attachments. Each Attachment should reference the section or subsection number to which it corresponds.
5. Respondents are asked to be brief and to respond to each question and instruction listed in the “Submission Requirements” section of this RFI. If you have no response to a question or instruction, or if it does not apply to your product or service, please respond with “NR” in the

answer. Number each response to correspond to the relevant question or instruction of the RFI. The response should be limited to a maximum total of thirty (30) pages.

6. Include pictures and graphical representations of the goods and/or services described in the RFI response, including photographs, screenshots, and/or diagrams. These may be inserted in the body of the response or as attachments referenced in the description.
7. Include any forms provided in the package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in the RFI.
8. Please provide all information requested in the RFI package at the time of submission.

B. Response Contents

Section I. Organization

1. Complete Cover Page (provided as Appendix A to this RFI).
2. Complete Response Form (provided as Appendix B to this RFI).

Section II. Required Attachments

The Department does not require any specific attachments be presented in response to this RFI.

PART V REVIEW OF RESPONSES RECEIVED

General Information

1. The Department will review responses received for the purpose of gathering information and market research. The Department will not score or rate responses received.
2. The Department reserves the right to communicate and/or schedule interviews/presentations with Respondents, if needed, to obtain clarification of information contained in the responses received.

PART VI LIST OF RFI APPENDICES AND RELATED DOCUMENTS

1. Appendix A. Response Cover Page
2. Appendix B. Questions & Answers

PART VII APPENDICES

Appendix A: Response Cover Page

**STATE OF MAINE
DEPARTMENT OF THE SECRETARY OF STATE
BUREAU OF CORPORATIONS, ELECTIONS, AND COMMISSIONS
RESPONSE COVER PAGE**

Accessible Voting System and UOCAVA Ballot Solution

Lead Point of Contact for Response - Name/Title:	
Respondent's Organization Name (if applicable):	
Tel:	Fax:
E-Mail:	Website (if applicable):
Street Address:	
City/State/Zip:	

Appendix B: Questions & Answers

**STATE OF MAINE
DEPARTMENT OF THE SECRETARY OF STATE
BUREAU OF CORPORATIONS, ELECTIONS, AND COMMISSIONS
RESPONSE FORM: Questions & Answers**

Accessible Voting System and UOCAVA Ballot Solution

Please answer the questions as completely as possible in the table below. You may include any additional information as attachments if you believe it is pertinent to this RFI and will provide the Department a more complete understanding of the service or product described. Please note that such attachments must not cause the response to exceed the thirty (30) page limit. Enter your company name in the page footer below.

QUESTIONS & ANSWERS	
Please answer the following questions in the white space provided beneath each question. If the question is not applicable to your product or service, enter “NR” in the answer row. If additional space is required to completely answer a question, please attach additional documentation as needed and reference it in the answer row.	
Vendor Qualifications	
1.	Provide a description of your organization’s main products and/or services.
2.	Describe your main market or customer base (federal, state, or local government).
3.	List the product(s) and service(s) that are pertinent to this RFI.
4.	Who is your customer base for these products or services?
5.	Where are your company locations?
6.	Which company location would provide support for Maine?
7.	How many years has your organization been in business and how long have you provided the specific products or services pertinent to this RFI?
8.	Provide a description of your company’s management structure.

9.	Describe the skills pertinent to the specific work described in this RFI.
10.	Is there more than one organization involved in developing, providing and/or supporting the product(s) and/or service(s) described in this RFI? If so, please provide the name of the organization(s).
11.	Provide a list of current clients that are using comparable products or services (including contact information).
12.	Explain the method of handling technical support requests when these concern ballot preparation, the operation of equipment, and election programming of the equipment.
13.	Describe the available training and documentation for users of the system.
AVS Product Details	
14.	Describe how the AVS complies with the error rate standards established under section 3.2.1 of the voting systems standards issued by the Federal Election Commission.
15.	Is the AVS hardware and software certified, or in the process to become certified, under federal voting system standards? Please indicate the certification sought and, if the certification process is incomplete, the status.
16.	Describe the physical attributes of the AVS equipment including the mechanism for marking ballots for accessible voting in the voting place, processing the ballots and placing them in the ballot box, handling ballots that cannot be fully processed (e.g. blank ballots, write-ins, etc.) and tabulating the ballots.
17.	Of what technology or mix of technologies does the AVS consist?
18.	If applicable, describe which components of the AVS are COTS (commercially available).
19.	Describe which components of the AVS consist of custom software and hardware.

20.	Is the AVS management software a hosted solution (SaaS) or does it require/include a locally installed solution to be managed by the Department?
21.	How is system security managed with the AVS?
22.	Are there any networking requirements (LAN, internet, phone, etc.) for the full functioning of the AVS at the voting location on Election Day? Please describe all connectivity requirements.
23.	Is the AVS compatible with any ballot scanning software and hardware? Please describe.
24.	Describe any rules and/or constraints for the creation of ballots used with the AVS, such as ballot size, weight of paper, digital formats, or other criteria.
25.	Describe any licensing requirements for the hardware and software components of the AVS.
26.	Describe the operating system and browser (if applicable) required for the AVS.
27.	Describe how the Department's election data (jurisdictions, offices, and candidates) would be imported into the AVS.
28.	How does the AVS provide voter instructions for completing the ballot?
29.	Can voter instructions be customized? If so, describe the method to do this and how often it may be done.
30.	Does the AVS provide voters with disabilities the option of hearing and/or reading the ballot by presenting the ballot in both aural and visual formats? Please describe the options available.
31.	Describe the method by which the voter marks the ballot using the AVS without requiring assistance from another person.
32.	How does the AVS provide for the privacy of the voter when voting and after the ballot has been cast?

33.	How does the AVS provide for anonymity of the voter during recounts?
34.	How does the AVS generate a human-readable voted ballot with a voter verifiable paper audit trail (VVPAT)?
35.	Is the ballot generated by the AVS able to be scanned and tabulated?
36.	How does the AVS prohibit over-votes on a ballot contest?
37.	How does the AVS notify voters that there is an under-voted contest?
38.	How does the AVS provide the voter with the ability to review their ballot selections and make changes?
39.	Does the AVS have the ability to provide audio stating the name of a declared write-in candidate, allow the voter to select that candidate, and print the candidate name on the ballot in the write-in space?
40.	Describe how the AVS provides the ability for a voter to enter the name of an undeclared candidate as a write-in?
41.	Does the AVS provide for the ability to attach a municipal ballot to the state ballot with the corresponding jurisdiction(s)?
42.	Does the AVS have the ability to print oversized and watermarked sample ballots?
43.	Describe any reporting capability of the AVS (such as usage statistics by municipality and voting location, successful ballots, and system issues).
44.	Does the AVS support pre-election Logic & Accuracy testing?
45.	Does the AVS log events such as failed/completed ballot transmission or printing, software/hardware failures, and failed login attempts? Please describe.

UOCAVA Product/Service Details

46.	Does the AVS described in the previous section have an integrated UOCAVA absentee ballot module?
47.	If not, is your AVS software able to be configured or extended to provide for the creation and electronic transmission of UOCAVA absentee ballots?
48.	<p>If the UOCAVA solution is not integrated in the AVS system:</p> <ul style="list-style-type: none"> a. Has it been successfully used in a local or statewide election? b. Is the system certified, or in the process of being certified, under federal voting system standards? c. Does the system comply with the error rate standards established under section 3.2.1 of the voting systems standards issued by the Federal Election Commission.
49.	Describe any supporting software and/or hardware required by the voter to access and submit their ballot.
50.	Describe how the Department's election data (jurisdictions, offices, and candidates) would be imported into the UOCAVA solution.
51.	Does the UOCAVA solution provide for the ability to attach a municipal ballot to the state ballot with the corresponding jurisdiction(s)?
52.	Describe how UOCAVA ballots may be electronically transmitted to the voter.
53.	Describe how the voter will access and complete the ballot.
54.	Does the UOCAVA solution allow the voter to mark their ballot online? If so, does it provide the voter with options to print the marked ballot or electronically transmit the marked ballot to the Elections Division?
55.	How does the system allow a UOCAVA voter with disabilities to read or hear the ballot and mark it independently?
56.	Does the UOCAVA solution prevent over-votes on a ballot contest?

57.	Does the UOCAVA solution notify voters that there is an under-voted contest?
58.	How does the UOCAVA solution provide the voter with the ability to review their ballot selections and make changes?
59.	Are marked ballots generated by the system able to be scanned and tabulated? Please describe.
60.	Describe the methods by which the ballot may be transmitted or returned to the Elections Division.
61.	Describe the process or protocols used by the system to authenticate the voter.
62.	Describe any security protocols, such as encryption, used by the system to prevent tampering and to protect voter privacy.
63.	Does the UOCAVA solution provide the ability to automate the processing of returned absentee ballots, such as barcoded voter information? Please describe.
64.	Does the UOCAVA solution provide the ability to automate the tabulation of returned absentee ballots by election officials? Please describe.
65.	How does the system prevent a voter from submitting more than one ballot?
66.	How does the system prevent the processing or printing of duplicate ballots by State election officials and provide a warning notification?
67.	Please describe the data and statistics collected by the system and how those may be reported to the Department.
68.	Please describe the system security which prevents unauthorized access to the system and protects election integrity.