State Certification at a Glance
The Five Phases of Certification

Phase I – Application

- Six (6) day period
- Voting systems department within Secretary of State's office receives application from the vendor and determines if the application is complete.

Each vendor submits a formal application accompanied by specific documentation as required by Secretary of State Election rules.

The voting systems department verifies that it has received all documents that the vendor has indicated it would submit. A detailed analysis of the documentation occurs later in the process.

Upon receipt of the documentation, the voting systems department assigns a certification number to the application. The voting systems department then creates electronic folders and thirty (30) binders to record information related to the certification process.

After reviewing the documentation for completeness, the Secretary of State's office contacts the vendor to notify them of any documents that are missing or to inform the vendor that it is approved to move on to Phase II.

Phase I notes, requirements and documentation are placed in Binder 1.

Phase II – Document Review

- Sixteen (16) day period
- Voting systems department reviews the documentation submitted by the vendor for compliance with state and federal regulations. The work is cross-checked by two other test monitors to verify that all documentation has been submitted and that the requirements were verified accurately.

During Phase II, the voting systems department communicates with the vendor to request clarification regarding documents received or to ask the vendor to submit missing documentation.

Also during Phase II, the Secretary of State's office holds public demonstrations for each system, as prescribed in Rule 45.

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Phase II documentation is included in Binders 2-6 for each system.

Refer to Section 4 of "Procedures Document for Certification" posted on the Secretary of State's website for more information on the document review phase.

Phase III – Functional Testing

- Thirty six (36) day period
- Voting systems department conducts more than 400 functional tests on each voting system. Typically this process evaluates the system in an end-to-end fashion, identifying the election management components (software) and how these components interact with each of the voting devices (hardware).

The voting systems department only verifies state law requirements. These are specifically described in state statutes and Secretary of State Election Rules. Each of the requirements is identified with the rule and/or appropriate statute in the testing matrix.

During Functional Requirements Testing, the majority of documentation is generated by the testing board ("Board"). In addition to the more than 1,200 pages of written documentation generated, the Board will correlate digital photographs, video documentation and sections from vendor documents with each testing requirement.

The entire process will be video recorded by both surveillance level systems and hand-held camcorder recordings of individual tests.

Phase III documentation is included in Binders 7-30 for each system.

Refer to Section 5 of "Procedures Document for Certification" posted on the Secretary of State's website for additional information on the functional testing.

- At the conclusion of this phase, an independent panel of experts will audit the Secretary of State's entire State Certification process up to this point. This audit will independently verify the performance and accuracy of the Board, as well as provide an external perspective that will offer any corrective actions or reevaluation necessary before the Secretary of State decides whether to certify a voting system for use within the State of Colorado.

Phase IV – Certification Documents

- Two (2) day process
- Testing Board presents its recommendations, and the results of the independent audit, to the Secretary of State.

Based on these meetings, the Secretary of State determines whether to certify a particular system. The Secretary's office will mail a letter and certificate to each vendor, notifying it of the Secretary's decision.

Typically, the Secretary of State will select one of four options for each vendor:

1. Full compliance certification
2. Certification with restrictions on use
3. A temporary certification (requesting the vendor to address certain items)
4. Refusal to certify the system

Phase V – Qualification Report

- Thirty (30) day process
- After the Secretary of State's decision to certify a system, the voting systems department issues a qualification report that summarizes the testing information, notes, documents and findings of the Board.

The qualification report serves the public interest by detailing the process that the State used to make a certification decision. The report will assist voting system vendors in identifying shortcomings in their system, and will also assist Colorado counties that rely on the system.

The qualification report is the summary of all the testing information, notes, documents and findings of the testing board that led to the qualification of a specific system.

Pursuant to Rule 45 the qualification report is a public record that will be available for inspection and posted on the Secretary of State's website.

A more detailed description of each phase, along with additional information, can be found in the "Procedures Document for Certification" on the Secretary of State's website.